Values Inquiry into Leadership Development in the Australian Public Service

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Abstract

This thesis is based on a values-oriented inquiry into leadership development in the Australian Public Service and the implications of values-based approaches for change management in the public sector and beyond. The thesis develops further insight into the professional development needs for senior executives and the role that values can play in their leadership practice. Over an eight month period, the research central to this doctoral study employed a participatory action research methodology that elicited the values of senior executives of the Australian Public Service using the Hall-Tonna Values Framework. Data were collected from three primary sources. Firstly, from pre and post group values profiles drawn from individual values profiles, as measures of changing values positions linked to associated leadership styles. Secondly, from corroborated transcriptions of participatory action research-based professional learning meetings and the iterative outcomes recorded as qualitative narratives. Thirdly, from document analyses of the Australian Public Service [APS] Values and Code of Conduct and the 2005 ‘State of the Service’ Report.

The research found that knowing one’s values position has the effect of enabling a leader to better articulate their position on issues arising in their workplace with heightened consciousness and to more confidently facilitate values conversations with others who might have different values perspectives. This ‘conversational space’ where leaders navigate understanding and meaning and values alignment into values-in-action, was a key finding of the research. This significant leadership practice requires self-knowledge of the values priorities that drive one’s own behaviour.

The thesis identifies that senior executives of the Australian Public Service are positioned in a contentious role divided between their appointment as organisational leaders and their duty as servants to elected Ministers, and that role conflict is inevitable. The research identified that values inquiry enabled the research participants to successfully mediate this conflict through a conscious assessment of the context and ethical considerations therein.

Increasing mastery of the values dynamic was shown to be an appropriate and positive working with leadership practice for senior public servants in these
new times. Mastery of the values dynamic creates the potential for a leaderful organisation with leaders’ efforts concentrated towards both values and behaviour alignment cascading from a workable number of core organisational values. The thesis argues that values-based leadership necessitates mastery of the values dynamic in terms of values language acumen, assessment of ethical priorities in context, adeptness at holding strategic values conversations and awareness of personal values priorities and their impact on behaviour and decision-making. The thesis identifies that firstly, values-based leadership development is a requisite for ethical leadership and secondly, that the construction of this identity be cultivated through iterative peer group professional leadership development programs with a lens on values, morals and the ethical dimension of leadership.
CHAPTER 1: INTRODUCTION

1.1 Background

It came as a surprise to me when I shifted my research interest in my doctoral journey to the discipline of values. I originally set out to explore how adults learn in a variety of workplace contexts, given my role as a consultant in management, education and training to a number of diverse organisations. My initial interest was driven by the requirement for me to design appropriate professional learning and development experiences to suit a range of occupations such as police officers, academics, policy developers, public servants and quarantine inspectors. It seemed possible to identify some common personality and learning characteristics among people doing the same job. Whilst different approaches to workplace learning seemed applicable, organisations were typically not providing the best opportunities and relevant pathways and experiences for adults learning in their workplace. As a consultant to these organisations, I wanted to ensure that my services and advice continued to meet the needs of the respective learners to enhance the organisation’s business outcomes. I wanted to understand how adults learned in different work settings.

Over the course of the first 18 months on my doctoral journey, I was fortunate to be able to conduct various organisational reviews in a professional capacity that elicited much of what I was looking to understand and practice. I was also grateful for the opportunity as part of my doctoral process to study a research unit in ‘Situated Learning at Work’ that completely changed my business and consulting practice. As a consequence, I formed a business entity titled ‘Insitu’ with a colleague and together we set out to apply this learning into practice.

At about the same time, I facilitated a series of team building workshops most notably in the Department of Defence and the Department of Family and Community Services [FaCS] as it was known at the time. I hold a number of psychometric accreditations to deal with a multiplicity of people issues but I recognised that none of them would be able to touch the surface of the problems being experienced by a work unit in the first named organisation that
I was asked to assist with. Deep seated conflict was apparent. I turned to a new values-based psychometric tool to get to the heart of the problem and to workshop with team members strategies for dealing with them. This tool was the McCann (2002a) ‘Window on Work Values’ that I will discuss in the next chapter. Although this tool was ultimately not the chosen methodology for my research, the values clarification process that it guided was successful and the underlying issues were surfaced in a safe way that enabled people to discuss them openly and agree to a set of values and behaviours accordingly. However, it was the work I did with a group within the Department of Family and Community Services [FaCS] that really changed my research direction to study values and their impact on individuals, teams and organisations.

1.1.1 Growing interest in values work

I had worked with a particular group within the Department of Family and Community Services [FaCS] over a number of years but it was noticeable that they had radically changed in their behaviour and attitude after I facilitated a series of workshops on workplace values. I had previously facilitated workshops on a variety of topics to this group but none achieved the obvious changes that this work did. This fact caught my attention. It appeared that their level of self-awareness had increased and their capacity to dialogue about what mattered to them and to their work became noticeable. They continued to articulate their values as a group without my facilitation, resulting in a Team Charter that reflected their values priorities. The mood in the work environment was more positive and the increased motivation to learn a surprise. Team members who were reluctant in the past to contribute to external forums put up their hands to be involved beyond their immediate work requirements.

These behavioural changes caused me to reflect on various phenomena that were happening. For example, some team members’ values priorities differed to the group’s values priorities when measured through a values instrument yet they maintained their confidence to externalise their individual and personal values in the group setting.

The obvious cultural shift that occurred within the FaCS group led me to my research interest to examine values in the workplace. ‘Something’ had
changed. Significant development had occurred on a personal basis and the group had lifted its effectiveness. This group thereafter showed leadership in the department in a number of arenas including knowledge management. Whatever the nature of this intervention, it has become long lasting and self-sustaining and influenced their work practices. Change had become apparent and I wanted to know why.

I was drawn to ask the question: is values work one way that a Learning Organisation might truly be effective? Senge (1990) first introduced the concept of Learning Organisations and the five disciplines to guide organisational learning as a response to changing circumstances. I expand upon this concept in chapter 2. In the workshops that I facilitated, the work on values began with an individual focus. Participants then explored the tension between their personal values and the organisation’s values followed by exploration of incentives to explain why working in that organisation was important to them. This was both a values clarification and values alignment exercise.

A follow-up workshop was conducted where the values of the group as a team were analysed identifying the group’s hierarchy of values. Once again I facilitated dialogue about the tension and alignment between respective individual values priorities. This exercise enabled the team’s values to be processed collectively. The group definitely wanted to draft an agreed set of values and behaviours.

The leader of the team was positioned in the middle management tier of the organisation. She was a unique individual who encouraged learning opportunities for her staff. Her values priorities were different to most members of the group; however, it is because of her initiative that they underwent this values clarification process. As I work with senior managers and executives who are in a position to effect change, I was interested in what might be possible through applying a values process to an executive leadership group.

1.1.2 Leadership and values

In the late 1990s and early into the new century leadership development in the Australian Public Service took a different turn. The Karpin Report (Karpin,
1995) on building Australia as an enterprising nation highlighted the need for effective education at the managerial and leadership levels of organisations. After the Report was released leadership development programs in the public sector ceased. Some programs were stopped mid-stream. Traditional ways of doing things appeared to no longer be working. Professional development for senior executives in the Australian Public Service and in particular leadership development ceased for at least two to three years.

It was during this time that I began to work with values. My FaCS experience alerted me to the potential that values work might hold for personal development. I questioned whether or not values work could make a difference to leadership development if introduced at the senior executive level. I further questioned in what way values understanding could impact upon the values construction of organisations.

1.2 Overview of the research problem

We are at the end of the first decade of the twenty-first century and there is little doubt that the knowledge era marked by rapid change, the rise of the digital age, the increasing speed of communication and the need for knowledge generation has arrived. Organisations are being driven by changes not only in global economic conditions but also by the need to become enterprising in order to survive the challenges in these new times. Organisational learning has become paramount for organisational sustainability and renewal. The Karpin Report (Karpin, 1995) was a direct attempt to raise the issues of organisational learning and management education and to introduce the concepts of a Learning Organisation as the model for Australian organisations to adopt for future growth in a knowledge economy.

A Learning Organisation is premised upon the theory of five inter-related learning disciplines: systems thinking, mental models, shared vision, personal mastery and team learning (Senge, 1990). The emphasis is on the learning process for individuals, teams and the organisation rather than actually arriving to the destination of a Learning Organisation (Senge, 2003) and stopping there. Whilst there have been genuine attempts to apply Learning Organisation theory, organisations in Australia are still evolving into becoming Learning Organisations themselves.
Impediments for Learning Organisation development appear to be a lack of understanding about how people learn in the workplace reflected through a lack of support systems to capitalise on individual, team and organisational learning. There exists a recurring theme of organisational restructure based on economic rationalism (Edwards, 2002) and divisions of labour without consideration for learning and labour networks (Poell et al., 2000). These and other sociocultural constraints continue to exist and prevent these organisations from becoming Learning Organisations. The learning and labour networks and other sociocultural constraints need to be addressed in order for change management strategies that underpin Learning Organisation theory to be successful.

Further, there is a gap in Learning Organisation theory as discourse around communities of practice are not part of it, yet communities of practice are emerging as key sites for collaborative learning and knowledge management (Mitchell et al., 2001) in the new millennium. As we move into the knowledge era with a strong need for generative forms of information flow to become known understandings, that is, knowledge, the rise of the knowledge worker and their professional development needs of the future are becoming more imperative to organisational relevance and growth. Knowledge workers turn information into meaningful understanding through various tools, research and methodologies. They are increasingly using collaborative learning work practices to enable them to generate knowledge that is relevant and applicable from an information environment that is increasingly overloaded. Important filters in this process are the personal values and beliefs of the knowledge worker, though most often they are tacit and hidden and unknown to fellow workers as well as to the individual. Values are the lens through which judgements about what is useful information and what is not are made. Values underlie behaviour (McCann, 2002b; Schwartz, 1992). They can affect relationships in the workplace if they are not in alignment with the organisation and/or with other members of the work group. This in turn can affect the collaboration and knowledge generation process.

Managers in organisations need to comprehend that workplaces are valid and authentic learning environments and that if learning is situated then the opportunity to learn is significantly increased. Yet strategies for situated
CHAPTER 1: INTRODUCTION

Learning in the workplace were not occurring to any significant extent within my large client organisations. There was a tendency for training programs to mirror higher education experiences, with lectures and formal curriculum requirements part of the structure adhered to.

For organisations to be sustainable in the knowledge era, attention must also be given to the issues of today’s multigenerational workforce. We are living in a time when the workforce comprises of four different generations (Pekala, 2001) who hold vastly different values, beliefs and motivators (Stauffer, 2003). Executives and senior managers in my client organisations are finding the task of managing these different generations of workers quite challenging, especially when faced with employment values that differ from their own. The new workforce of knowledge workers is causing leaders to question their strategies for attracting and retaining the workforce of the future.

1.2.1 Values, culture and change

Edgar Schein is a prominent thinker about organisational culture and change. He claims that assumptions from the past that have led to success are now embedded in management behaviour and that these assumptions continue to perpetuate themselves even when they are unproductive (Schein, 1992). Values inform our assumptions as we make decisions based on our worldview and the values that underlie them (Hall, 1995; Senge, 1990).

Values are seen as a strong enabler for learning and connecting people to the organisation’s fundamental identity (Henry, 2004; NSW TAFE, 2004) but this standpoint has, at its focus, organisational core values. Values are interpreted through an individual’s personal lens in different and varying ways. Can a focus on values at the personal level as a strategy for harnessing the innovation and creativity of knowledge workers be a strong enabler of change? What values are important for knowledge workers? There are some generic values identified through Henry’s (2004) research such as generosity, sharing information, honesty and trust. But if the core critical capability for knowledge workers is self motivation to learn (Henry, 2004), what are the values underlying this attribute? What values do knowledge workers look for in their workplace?
The literature review in chapter 2 discusses the importance of organisations holding explicit values that truly reflect the culture of the workplace but how do we align employee values to those of the organisation? What are the potential consequences if personal values do not correlate with the organisation’s values? A recent trend with Generation Y\(^1\) is their interest in pursuing learning opportunities and professional development regardless of the organisation they are situated within. There is an implication here for organisations to accommodate its members to have some agency in the reconstruction of workplace values so that there is better alignment. What are the possibilities of getting some reciprocity between the potentially different sets of values in an organisation? Could these different sets be represented, for instance, as the personal values of knowledge workers, the organisation’s espoused values and the profession’s values [where appropriate]?

Davis (2008) refers to the new age of knowledge workers as an organisation’s ‘golden capital’ to describe the social, emotional and intellectual capital that workers bring to the workplace. This differs to the term ‘gold collar worker’ which has in recent times been used to describe the nuance of Generation Y to look beyond their nation’s boundaries and to see themselves as a global portfolio worker (Wonacott, 2002). For the purposes of this thesis, ‘golden capital’ is a more useful term to help explain the interdependencies of values, culture and change within organisations.

Hall (1995), Argyris (1990) and Schein (1992) believe it is possible to create a shift in worldview, a paradigm shift, through examination of an organisation’s culture through a values process (Argyris, 1990; Hall, 1995; Schein, 1992). Hall called this a ‘values shift’. However, for a different cultural expression to take place it has to be supported by leadership. In other words, the status quo remains unless the organisational leaders’ values and the consequent assumptions about leadership, management and the organisation are not only examined but become a shared reality (Hall, 1995).

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CHAPTER 1: INTRODUCTION

If the leadership in an organisation is not aware of their values, is this a stumbling block for true development of a Learning Organisation which requires at the outset a change in leadership practice as a consequence of a shift in worldview? It appears that there is scope for examination of how organisational leaders learn and the potential impact of values-based approaches to their leadership practice. This is the core premise and inquiry for this study.

1.2.2 Australian Public Service

Since the majority of my work lies in the public sector I have chosen the Australian Public Service [APS] as the site of my values research in this doctoral study. Organisational leaders in the APS are drawn from the Senior Executive Service [SES]. Under the 1996-2007 Australian government the SES were placed on Australian Workplace Agreements [AWAs] and contracted for typically three to five years. These changes were part of the New Public Management principles instituted across many countries at the time as I discuss in chapter 3. The SES are mostly career public servants although statistics have shown that up to a third were recruited more recently from the private sector (Australian Public Service Commission, 2008b).

As I previously mentioned, leadership development opportunities for this tier had been limited, haphazard or mostly non-existent. Whilst the public sector tends to stream its executives into leadership development programs, the experiences themselves have been criticised for not really changing anything. Carkhuff (1989) suggests that organisations need to invest in executive training to move ahead with the times. With limited investment being made in training executives and with new times upon us there is reasonable concern about the fitness of the public sector to be a ‘leaderful’ organisation (Raelin, 2003); that is, an organisation in which the efforts of all in the organisation are recognised in such a way as to foster leadership in everyone. This disquiet reinforced my developing commitment to research whether a values-based approach to leadership development could implement sustainable change in the public sector.

Members of the SES were recruited to form an action research professional peer learning focus group. They self-selected from advertisements placed in the
Canberra Times. These volunteering SES members represented eight small, medium and large public sector organisations. Being values-based research in the Australian Public Service meant that the APS Values and associated Code of Conduct also required examination.

1.2.3 Australian Public Service [APS] Values and Code of Conduct

The 1999 Public Service Act legislated for the first time a set of Australian Public Service [APS] Values and a Code of Conduct for all public servants to uphold. This mandate became the foundation for training and development programs for management and leadership in government agencies and led to the development of generic Units of Competency under the Public Sector Training Package for national accreditation. In addition, the APS Values and Code of Conduct have been adopted as part of all documentation relating to public sector administration, including respective agencies’ mission statements, policies and procedures, goals and values statements.

Despite the heavy emphasis on the APS Values and Code of Conduct within public sector administration, there has been little effort to measure its effectiveness or evaluate its adoption by individual public servants and government agencies. There remains strong cynicism amongst public servants particularly at the lower levels of the organisational hierarchy that the APS Values and Code of Conduct have made little difference to the way senior management at the executive level operate. This is evidenced, aside from qualitative data included in this thesis, through annual Australian Public Service ‘State of the Service’ Reports (Australian Public Service Commission, 2005, 2006/07, 2008b, 2010).

This doctoral research study is situated within the APS which meant that the action research methodology included in the study had capacity to elicit reasons why the APS Values were not working as anticipated.

1.3 Research questions

The aim of this doctoral study was to explore values-based approaches to leadership development and the implications for change management in the Australian public sector. The research explored values priorities, values alignment and the relationship between values-based work and the
transformation of people and organisations. The review of literature in chapter 2 on values and leadership and the review of literature in chapter 3 specific to the Australian Public Service framed the research questions.

The key overarching research question was:

What types of organisational change could be achieved in the Australian Public Service with a values-based approach to leadership development?

Further research questions underpinning the key research question and which were also investigated are listed below.

What are the values priorities of senior executives in the public sector?

What is the relationship between these values and the espoused values of the employing organisation?

Are there value differences at this interface and if so, what are they and how are they managed?

What is the extent to which a values shift is possible within an eight month research project focused on an action based in-situ exploration?

What might successful values-based approaches look like?

The research questions are expounded in chapter 3, unpacked in chapter 7 and answered in chapter 9. These questions were intended primarily to provide orientation and focus for the research direction and the action research professional peer learning group. The research questions posed are issues fundamental to organisational learning for leaders in the Australian public sector which purports to have a values orientation. As such they are linked to performance for sustainability in the new millennium age of knowledge; that is, in these new times.

1.4 Structure of thesis

The thesis is organised in the following manner. This chapter provides an introduction and overview of the research problem and its context and what brought me, as the researcher, to a study on values and leadership. Definitions of terms used in the thesis are provided at the end of this chapter. Chapter 2 is
the literature review of theoretical values frameworks. It provides a synthesis of the literature from over 30 years of research in the discipline of values. Contemporary discourse about organisational learning and leadership practices for these new times is provided as well as critical considerations for sustainability in a knowledge economy. Chapter 3 is the review of literature specific to the Australian Public Service and New Public Management principles. It outlines the importance of a values orientation in the Australian Public Service and discusses its effectiveness. Literature pertaining to values in educational administration and public sector values and their relevance to the APS Values and Code of Conduct is also examined.

Chapter 4 shapes the action research methodology utilised in the research. The values of senior executives in the Australian Public Service [APS] were measured using the Hall-Tonna Values Inventory at the beginning and the end of the research period. Individual profiles were grouped and key business documents produced by the representative APS agencies and departments were analysed to ascertain the values of the employing organisations in reality. Values gap analyses were conducted to ascertain the degree of values alignment between the individuals, the group profile and the public sector which employed them. These analyses were all described in terms of the Hall-Tonna Values Framework to enable the value priorities of individuals, the group and the organisational documents to be directly compared. As well, the corporate principles of the Australian Public Service [APS] were measured through analyses of the APS Values and Code of Conduct and the 2005 ‘State of the Service’ Report (Australian Public Service Commission, 2005). These analyses were also described in terms of the Hall-Tonna Values Framework. Qualitative data was recorded via the focus group meetings and discussions.

Chapters 5 and 6 present the research findings. Chapter 5 is the action research composite narrative which elicits the major findings from the participatory action research focus group. It is organised into major themes which emerged during the eight months of the study and provides discourse on personal values clarification in leadership. Chapter 6 is the document analysis based comparative narrative and considers the interplay between personal and organisational values. It presents the quantitative results also portrayed as major themes.
Chapter 7 presents the interpretations of the composite and comparative narratives and synthesises these findings [from the previous two chapters]. It presents the overall foremost discoveries from the research as key findings and compares these findings with the literature reviewed in chapters 2 and 3. Chapter 7 prefaces chapter 8 on values-based leadership which discusses the broader research findings as higher order approaches for the Australian Public Service. Chapter 9, the concluding chapter for this thesis, answers the research questions presented in chapter 1 and advances knowledge claims as applicable to values-based leadership in organisational contexts more generally. These are claims for new knowledge arising from the doctoral study.

1.5 Definition of terms

Collaborative leadership – a democratic and independent style of leadership with a focus on intergroup participative processes to gather information and make decisions. A feature is a genuine desire to bring groups of people together to share information.

Generation Jones – is the second half of what is traditionally called the ‘baby boomer’ generation. This generation was typically born between 1954 - 1965. Their early life experiences which shaped them were different to their older siblings. Examples include the introduction of colour television and the first modern generation whose parents experienced job losses. Their core values are financial security, quality relationships with their children and an independent self image.

Generation Y – is the generation typically born between 1980 – 1994. Their loyalty rests with their manager and their team rather than with the organisation. They are technologically savvy, expect instant gratification, are driven by their personal priorities and see themselves as global portfolio workers. Their core values are individualism, fairness, conformity and social consciousness.

Golden capital – the combined human, social and intellectual capital of people (Davis, 2006).

Information age – the period of time when humanity shifted from the industrial age to reliance on information as the major means of productivity. This age is
still in existence as the growth in communication technologies has accelerated the speed of information (Staron et al., 2006).

**Knowledge-based intangibles** – these refer to what people bring to the workplace. Intangibles can’t be measured but are critical to the generation of knowledge by people in a knowledge-based economy. They include individual values and are relational in their nature.

**Knowledge-based economy** - reliance is shifting from information as the major commodity to knowledge as the major means of economic production. Knowledge work is the new economic imperative (Staron et al., 2006).

**Knowledge era** – an era is a particular period of history which has distinctive characteristics (Staron et al., 2006). The knowledge era is marked by rapid and turbulent change, the rise of the digital age, uncertainty and ambiguity, complex relationships and the need for creativity and knowledge generation.

**Knowledge worker** – at the core of organisations in a knowledge-based economy are knowledge workers who must be able to work with contradictions and paradoxes and continually learn (Staron et al., 2006). Knowledge workers turn information into meaningful understanding and knowledge through various tools, research and methodologies. Intellect and dexterity with technology are critical skills for knowledge workers.

**Leaderful** – This term was coined by Joseph Raelin (2003) to describe an alternative paradigm of leadership as a collective practice. ‘Being leaderful’ means to share leadership amongst the organisational community. It is concerned with transforming leadership practice.

**Learning Organisation** – a model for organisational learning based on five inter-related learning disciplines of systems thinking, mental models, shared vision, personal mastery and team learning (Senge, 1990). The emphasis is on the learning processes for individuals, teams and the organisation rather than actually arriving at a destination (Senge, 2003).

**Leadership literacy** – Richard Hames (2007) first introduced the notion of literacy to describe the qualities required for global leadership. They include networked intelligence, futuring, deep design, strategic navigation and brand
resonance. Leadership literacy refers to the capability to turn knowledge into practice [praxis] which is transformational.

*Mastery of the Values Dynamic* – a new term introduced by this thesis. It relates to the developmental context of leadership praxis where leaders gain familiarity, skills and confidence to engage with others through the values dynamic.

*Merit principle* – this is an APS Value and relates to the selection and promotion of public servants into the next tiers of management and leadership for public sector administration.

*Servant leadership* – leadership with a basis on value-related goals and objectives for individuals and teams and therefore for the organisation. Servant leaders have a global perspective and an ability to see the whole of an organisation by its component parts. A distinguishing feature of servant leaders from other leaders is their personal values. Servant leadership implies a sound ethical values system and ‘working with’ leadership attributes.

*Values-in-action* – the behaviour which is demonstrated. It is driven by the underlying values at play.

*Values priorities* – the hierarchical order of chosen values as they relate to an individual or to an organisation. The order of importance determines behaviour.
2.1 Introduction

This inquiry is fundamentally concerned with adult learning in the context of organisational learning. It has a focused lens on organisational leaders and their professional development requirements. We are living in new times characterised by rapid change, the arrival of the digital age, the increasing speed of communication and the need for knowledge generation in a chaotic, ambiguous and complex work environment. These are distinguishing features of the knowledge era. Individual learning is becoming increasingly enmeshed with organisational learning as organisations focus on learning and capacity-building opportunities which will enable their employees to achieve organisational objectives (Henry, 2002).

Organisational leaders are a catalyst to this achievement. They are expected to create, articulate and model a compelling shared vision of the future; they are expected to build relationships, develop supporting organisational cultures, guide implementation and achieve results. These skills are the hallmarks of transformational leaders (Bass, 1985; Bass & Steidlmeier, 1999; Refer Pielstick, 1996) who themselves must be transformative learners (Mezirow, 1997). Such leaders must negotiate frames of reference and meaning through critical reflection and dialogue - on purpose, values, beliefs and assumptions (Hall, 1995; Mezirow, 1991, 1997). As nations engage more intricately in a global knowledge economy there is a growing shift in emphasis towards moral and ethical leadership (Evers, 1999; Starratt, 1999) underpinned by a system of core values operating at the individual, organisational and cultural level, thus adding complexity to the demands and expectations of leadership practice.

Leadership and learning about leadership is critical for these times. Carlin and Goode (1999) argue for a need to realign the balance between leadership and management with a greater emphasis on the maturity of leadership praxis.
Schon’s work (1983, 1991; 1993) influenced new management theory to encourage leaders to take the time to reflect on their practice. Lafleur (1999) made the link between our perceptions and use of ‘time’ and the values we draw upon to make the decisions that we do. This study offered an opportunity for busy public sector leaders to take time out and to reflect on their leadership praxis from a values standpoint. An understanding of one’s own values and how they influence behaviour and moral decision making is fundamental to the practice of ethical leadership. Hall (1995) maintained that a study on values can provide insight and understanding on how the transformation of people and of organisations occurs.

The notion of values has long been a contested space with the term itself being a value-laden word. Contemporary values management theorists have been conducting values research throughout the world for nearly four decades proposing various theoretical values frameworks to elicit values understanding. Eminent researchers in the field of social psychology include Brian Hall and Benjamin Tonna [1979-2004] who developed the Hall-Tonna Values Framework which influenced ensuing studies by Charles Joiner (1992), Paul Chippendale (1995), Clare Colins (1995), Michael Henderson (2004) and Carol Lewis-Shaw (1997). Unrelated but equally compelling in the field of management are the studies by Dick McCann (2002b) and Geoffrey Abbott (2006) which emanated from the seminal work of Shalom Schwartz (1992) who developed a universal hierarchy of values from a psychological standpoint. These two pillars of values research identified significant themes related to values, beliefs and motivation which were supported by the work of Abraham Maslow (1970), Milton Rokeach (1973), Robert Greenleaf (1970) and Clare Graves (1959). The work of Clare Graves created a third pillar of values research and although based in the health arena, his work influenced the development of Spiral Dynamics, out of which Richard Barrett (2006) developed his Cultural Transformation Tools. These latter values frameworks have been applied in the field of leadership development and organisational change. The differences between the three pillars of values research are surprisingly subtle; however, they are defined by the purpose of the particular research undertaken.
This study is situated in the field of values and public sector administration. Comparable research into values and educational administration which might highlight similarities is a relatively new field. Begley (1999a) claims there is still little consensus on how values influence educational administration. He examined values language and identified consistency through tabling a threefold linguistic metaphor model (Begley, 1996). Hodgkinson (1982, 1983, 1991, 1996, 1999) has been a key contributor to this field with his values model which focuses on the basis for motivation for adoption of particular values and beliefs. There are some useful applications in his model to understanding values in public sector administration. Starratt (1993; 1999) builds on the work of Burns (1978), who distinguished between transactional and transformational leadership, and proposed transitional leadership as a theory to build competent leadership praxis. Transitional leadership shifts the focus from the individual to the group with an emphasis on the group’s core values. This can evolve to include broader organisational and community core values. This concept aligns with Tuckman’s (1965; 1977) model of group development in that teams go through stages of growth to become a highly performing team. It is probable that some of the reasons for the development of the workgroup mentioned in chapter 1 were due to the work they had covered together over a period of time. Six months earlier this same workgroup were not cooperating at all with each other and had acknowledged [through applying Tuckman’s model] that they had been in a ‘storming’ phase for a long time. Working with group dynamics and theories of team learning and the roles team members play such as Belbin (2010), Jacques (in Fekete, 2005) and Kolb (1984) are well known strategies for learning in groups which assist transition. However, it was the leader of the group who decided upon working with the group’s core values in an effort to forge what was a group of individuals into a fully functioning team. The result was transformational which inspired me to take up this study on values and leadership.

A growing area of values research interest is in the rise of servant leadership (Greenleaf, 1970, 1998) as a twenty first century worldly leadership attribute. For the purpose of this study, the locus of servant leadership is understood as ‘to give service’. It is not to be confused with the bestowed title of ‘public
service’. Servant leaders ask their workforce “how can I be of service to you” and “how can I assist you in your role”? In many of the theoretical values frameworks reviewed in this chapter, servant leadership can be identified at the higher end of a cycle of evolved consciousness. This concept parallels the movement for moral and ethical leadership in that ‘the demands of moral leadership require a certain amount of cognitive elitism’ (Evers, 1999 p.93). In Maslow’s (1970, 1976) theory of human development, servant leadership can be identified as extending beyond self actualisation because other physical, social and cognitive needs have been met to support the ‘other centred-ness’ (Davis, 2010) that servant leadership implies. This study accepts the premise of ‘other centred-ness’ as a servant leadership attribute.

Servant leadership necessitates ‘working with’ leadership practice espoused by global thought leaders such as Peter Drucker (1999, 2000, 2002), Donald Schon (1983), Edgar Schein (1992), Peter Senge (1990), Chris Argyris (1990; 1993), John Kotter (1996; 1990), Manfred Kets De Vries (2008; 2007), Stephen Covey (1989, 1991) and Howard Gardner (2007; 1990). The notion of ‘working with’ leadership can be traced back to the 1920’s through the work of Mary Parker Follett and her notion of ‘power through’ leadership (P. E. Graham, 1995). ‘Working with’ leadership practices and transformative learning previously alluded to necessitate collaborative social discourse in the workplace. Whilst learning in the workplace is not a new phenomenon, the recognition of workplaces as legitimate sites for learning is a relatively new research field. Stephen Billett’s premise that workplaces are valid learning environments for situating the learning of vocational workplace practices (Billett, 2001) resonated with my belief that there is a place for professional development to be conducted within the workplace and for leadership development of an insitu nature. As outlined in the previous Chapter, one of the reasons which encouraged me to undertake this research was the disappointing observation that very little changed in organisations despite sending senior executives to expensive external professional programs for the purpose of honing their leadership skills. Billett’s work strengthened my belief that workplaces are viable and authentic learning environments and appropriate sites for action research. The meta-research question considers whether or not
values inquiry into leadership development can make a difference to Australian organisations and, if so, what and how could values work be effective?

The following review of literature scopes some of the key values research fields in relation to this thesis by first discussing problematic issues associated with a study on values. Noteworthy values research fields are then explored through a comparison of significant values theory frameworks and discussion on their relative contribution to this study. Throughout this chapter I consider the impact of ‘values work’ upon individuals, leaders and organisations. The concept of ‘values work’ means working with intangible yet powerful motivators and drivers of behaviour in a conscious way. By understanding its effect on individuals and organisations, it may also be possible to assess the impact of values work on organisational development programs and theories of transformation. The focus of the review positions my research as a study on values within the Australian Public Service and explores the links between values, ethics and leadership development in public sector administration in Australia. The chapter concludes with compelling research questions about the nature and function of values in this context.

2.2 A study on values

Leaders already act out of a set of values, be they silent, unaligned or purposeful. The intention of this study is to bring to conscious awareness the values that senior executives might hold which drives their behaviour as organisational leaders in the public sector and which influence the decisions they make and the actions they take based on those decisions. In any given situation a range of values could be chosen which lead to different outcomes. Do leaders make values choices according to their own set of values, the organisational values or the values of the culture in which they work? Where is there alignment of values and where are there clashes in the choices to be made? Could a values inquiry (Beck, 1999 p.246) be a suitable approach to leadership development to inform leadership praxis?

The domain of values research is a contested space of enquiry for mainly two reasons. Firstly, the word ‘value’ is itself value-laden and frequently used in
everyday language to signify worth. For example, objects such as choice of motor vehicle and certain personal items are considered to hold value (Leonard, 1999). Historically ‘value’ was a measurement tool used in economics to signal the financial worth of a certain attribute, depending upon the market need at the time. Secondly, while ‘value’ in economic terms is still used it has become a term to notate human worth in social, psychological and educational terms (Hall, 1995). For example, values such as ‘happiness’ or ‘physical delight’ imply a state of mind (Rokeach, 1973) and values such as ‘courtesy’ and ‘ethics’ imply particular behaviour in that they refer to one’s conduct (Leonard, 1999; Rokeach, 1973). The values clarification movement which evolved from the mid 1960s regarded human values as personal, subjective and pertaining to what was important to the individual (Hall, 1995; Kirschenbaum, 1977). Beck (1999) explains the distinction in the following way:

The term value has two connected but different meanings. In one sense, values are the things we pursue and consider important in life, the things we value. However, in the context of educational philosophy and theory the focus is normally on a narrower category of values, namely, the things that are worthy of valuing, the things that are actually valuable (Beck, 1999 pp.244-245).

Hall (1995) defined values as “the ideals that give significance to our lives, that are reflected through the priorities that we choose, and that we act on consistently and repeatedly” (Hall, 1995 p.21). Schwartz (1994) found that values motivated people to act and were fuelled by emotional intensity. Hall (1995; Hall & Thompson, 1980) reported that energy-laden words were in fact values being expressed. Schwartz (1994) defined values as “desirable, trans-situational goals, varying in importance, that serve as guiding principles” in people’s lives (Schwartz, 1994; 2001 p.271). For the purpose of this study, values were accepted as deeply held beliefs that prompted people to act (Schwartz, 1992) and were related to motivational goals (Lewis-Shaw, 2002; Maslow, 1970) because they reflected unconscious personal beliefs. Values were understood as important drivers of behaviour and the standards by which we communicate our understanding of the world. People judge themselves and others and justify their choices through their set of values (McCann, 2002b) but
CHAPTER 2: LITERATURE REVIEW OF THEORETICAL VALUES
FRAMEWORKS

individual values are generally hidden and rarely articulated. They are
unconsciously exposed, however, through patterns of behaviour such as work-
related performance. The intention of this study was to investigate individual
values and their resultant behaviour in an organisational setting.

Covey (1991) introduced the concept of principles-based leadership to new
management theory as a guide to leadership behaviour. However ‘principles’
and ‘values’ are not the same thing. Principles are ‘time- tested truths’
(Henderson, 2004) much like the principle of gravity and individuals may take
them on as self imposed rules to guide the way they live their lives (Covey,
1991). This study accepts that principles are not values in themselves, however,
principles can equate to agreed values statements about values-in-action
[behaviour] in a workplace. I will expand upon values statements in a later
section.

Beck’s (1996, 1999) central concern in his values research was for human
wellbeing. He differentiated between values which are end states in themselves
such as ‘respect’, ‘love’ and ‘competence’ and values which are a means
towards achieving wellbeing such as ‘truth’, ‘wealth’ and ‘punctuality’. The
latter values are not particularly important in themselves (Beck, 1999 p.246)
but they do provide ‘energy’ to motivate individuals towards their desired end
state. Rokeach (1973, 1979), a pioneer of values research, organised his list of
values into either terminal values [ends in themselves] or instrumental values
[means that are used to achieve the terminal values]. This concept is similar to
Hall and Tonna’s goal values and means values. In the Hall-Tonna values
framework detailed later in this chapter, goal values represent the end state that
individuals or organisations desire “to be” whereas means values are associated
with the skills development necessary to move towards achieving the goal
values (Hall, 1979; Hall, 1995).

These values theorists agree that values can be classified as goal values or
means values. This understanding is accepted as a premise in the study.
However, values per se do not operate in isolation. Rokeach was one of the
first researchers in the values field who differentiated between a value and a
values system (Hall, 1995; Rokeach, 1968). Having stated that a value was an
end state in itself, a belief related to a specific mode of conduct, a value system was “an enduring organization of beliefs…along a continuum of relative importance” (Rokeach, 1973 p.5). This is an important concept which underscores the dynamic way values interact with each other. Hall and Tonna (1995) extended this understanding. They concluded that values always occur in binary combinations of a goal value with one or more means values. In their values framework, combinations of means values are linked to skills development within the confines of the associated goal value. This combination of values is referred to as values tracking and is a method to identify the skills needing to be developed for individuals or groups or an organisation to reach the goal values they have nominated as most important to them.

The notion of a values system is further supported by Graves (1974) who promoted a values system approach for health care practitioners to facilitate interaction so that the needs of patients could be better understood. His eight ‘Levels of Human Existence’ (Graves, 1974) emerged from his research and understanding about multiple levels of ethics and values, leading ultimately to his theory of Values Levels. Although a student of Abraham Maslow and therefore aware of Maslow’s hierarchy of needs (Maslow, 1970), Graves differentiated from Maslow in that he believed values development were cyclical in the same way that Hall and Tonna believed in a cyclical movement through their Values Framework. The notion of cycles brings forth the dynamic nature and interplay of values which this study sought to comprehend through a lens of values inquiry on organisational leadership in the public sector. In contrast to this standpoint, Maslow did not explain how an individual might return to lower levels in certain situations. Although neither Graves nor Hall and Tonna acknowledged each other’s contribution to values research, they both moved beyond Maslow’s highest order of ‘self-actualisation’ through the discovery that higher levels of consciousness were possible. As well, the values system (Graves, 1959) and values framework (Hall & Tonna, 1986) were open-ended whereas Maslow’s hierarchy terminated with ‘self-actualisation’.
Schwartz (1992) produced a values framework that incorporated thirteen values clusters from his enquiry into human universal values. From his extensive research in 20 countries he was able to group values together that worked in unison towards the same ideal. These value clusters represent values systems in much the same way as Beck, Graves, Hall and Tonna and others purport. Values therefore represent an extensive interconnected system (Beck, 1999 p.247) in an increasingly interconnected web of human relationships. Abstract notions of values and values systems are pivotal in this study to understanding leadership behaviour. We live in an increasingly pluralistic society with wide variance in values positions. Additionally, the information age and knowledge era has brought with it a whole set of new assumptions about connectivity and human development (Hall, 1995). Toffler refers to this time in human evolution as a ‘power shift’ with the effect of internally shifting us as humans (Toffler, 1990). Hall (1995) believes that this inner connection is captured by our values and that we are capable of changing them to reflect the future we want. His standpoint is that we can be more conscious in making values choices through greater understanding of our values and our value priorities. Schwartz (2001) proved that people hold a hierarchy of values, similar to what Hall and Tonna described as values priorities. Hall and Tonna (1995) found that individuals could hold up to four values priorities at any given point in time whereas organisations could hold up to ten values priorities. Little wonder that staff find difficulty subscribing to all the values espoused by their employing organisation. The hierarchical order of held values gives a difficult motivational focus for the individual. A person who holds the values of ‘competence’, ‘work’ and ‘security’, for example, is interested in how well they are doing and would interpret events as challenges. Another person holding a different set of value priorities, for example, ‘creativity’, ‘service’ and ‘human dignity’ would interpret the same events as opportunities to make a difference. These two people would demonstrate different behaviour regardless of the prevailing organisational values.

Since the 1990s, the concept of organisational values has become more conventional if only to establish a set of guiding principles which may or may not be lived. Instead of personal, subjective choices in an organisational
environment, organisational values become objective standards externally imposed (Hall, 1995) from “the top”. The dynamics of conflicting or very different values in the workplace can leave people disoriented. Bragdon (Bragdon, 2006a) argued that organisations which affirm life in their vision, mission and values statements and practice it in their leadership and management attract loyalty in their employees, clients and stakeholders. He proved that such organisations who focused on their living assets [people and nature] not only produced exceptional financial results but they created value through cultivating a stewardship culture, a culture where “they think and act like living communities” (Bragdon, 2006a p. 55), The glue is a deep respect and care for life and its interconnected web of relationships.

Thus far in this chapter I have presented an analysis of the nature and function of values and value systems and the possible implications for this study on values and public sector leadership. There is agreement amongst values theorists about goals values and means values and that values exist in connectivity with other values in a dynamic interplay. As well, values are better understood as a hierarchy of values priorities in their affect on behaviour and decision making.

The following sections of this chapter examine three seminal theoretical values frameworks in the field of social and behavioural psychology, health and leadership and management as well as noteworthy values frameworks which cascade from these values research pillars. The Hall-Tonna Values Framework and its derivative the Australasian Values Inventory [AVI] are presented first, followed by the Clare Graves Values Levels and its progeny Spiral Dynamics. The third pillar to be presented is Schwartz’ Hierarchy of Values Model and the McCann ‘Window on Work Values’ Model that has been drawn from it. Discussion on values frameworks in the field of educational administration is conducted in chapter 3 as part of a review of literature specific to public service administration and the Australian Public Service.
2.3 Hall-Tonna Values Framework

The Hall-Tonna Values Framework began with the community work of Paulo Freire and Ivan Illich in Brazil in the early 1970s on the use of ‘energy-laden words’ to raise people’s awareness of their social situation (Hall, 1979; Henderson & Thompson, 2003). Brian Hall worked alongside these men and realised the power of these ‘special kinds of words’ in the written and spoken language. He realised that they were in fact indicators of people’s values (Hall, 1995). In collaboration with numerous scholars and researchers and in particular with Benjamin Tonna, Brian Hall developed a universal list of values which he claimed were common to all languages and ethnic groups. It took over thirteen years of research, including three years of validation procedures conducted in several countries and cultures to develop the Hall-Tonna Values Framework.

The Hall-Tonna Values Framework shown in Table 1 is a set of 125 universally defined values measured through a values inventory. They are graphically distributed across a Values Chart much like ‘elements in a Periodic Table of Values’ (Lewis-Shaw, 1997 p.1).
Table 2: Hall-Tonna Values Chart

<table>
<thead>
<tr>
<th>Phase 1</th>
<th>Phase 2</th>
<th>Phase 3</th>
<th>Phase 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>SURVIVING</td>
<td>BELONGING</td>
<td>SELF-INITIATING</td>
<td>INTERDEPENDENT</td>
</tr>
<tr>
<td>The world is a mystery over which I have no control.</td>
<td>The world is a problem with which I must cope.</td>
<td>The world is a project in which I want to participate.</td>
<td>The world is a mystery for which we care on a global scale.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1: SAFETY</th>
<th>2: SECURITY</th>
<th>3: FAMILY</th>
<th>4: INSTITUTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goals:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Self interest/ control</td>
<td>Self Preservation</td>
<td>Wonder/Awe/Fate</td>
<td></td>
</tr>
<tr>
<td>Means:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Food/Warmth/Shelter</td>
<td>Function/Physical Safety/Survival</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5: EVOLUTION</th>
<th>6: NEW ORDER</th>
<th>7: WISDOM</th>
<th>8: WORLD ORDER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goals:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Art/Business</td>
<td>Being Self</td>
<td>Construction/New Order</td>
<td>Contemplation</td>
</tr>
<tr>
<td>Means:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accountability/Ethics</td>
<td>Community/Supportive</td>
<td>Creativity</td>
<td>Human Rights</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>AUTOCRATIC</th>
<th>PATERNALIST</th>
<th>MANAGER</th>
<th>COLLABORATOR</th>
<th>SERVANT</th>
<th>VISIONARY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tyrant dictator with oppressed followers who are totally dependent.</td>
<td>Benevolent paternalist with followers who are dependent and obedient.</td>
<td>Efficient manager with followers who are loyally devoted to the organization.</td>
<td>Facilitator, producer, creator with intermediate peer participation.</td>
<td>Interdependent administrator with collegial participation.</td>
<td>Liberator with a global network of peer visions.</td>
</tr>
</tbody>
</table>
CHAPTER 2: LITERATURE REVIEW OF THEORETICAL VALUES FRAMEWORKS

The Hall-Tonna Values Framework is based on more than 46 theories of human development, motivation and values, beginning with Freud and Jung. Table 2 maps some of the more dominant of these theories onto the Hall-Tonna Values Chart.

Table 2: Human Development Theories embedded in the Hall-Tonna Values Framework

(Adapted from Hall, 1995 p.124)

<table>
<thead>
<tr>
<th>Cycle 1</th>
<th>Cycle 2</th>
<th>Cycle 3</th>
<th>Cycle 4</th>
<th>Cycle 5</th>
<th>Cycle 6</th>
<th>Cycle 7</th>
</tr>
</thead>
<tbody>
<tr>
<td>Freud</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
</tr>
<tr>
<td>Phase 1-A</td>
<td>Phase 1-B</td>
<td>Phase 2-A</td>
<td>Phase 2-B</td>
<td>Phase 3-A</td>
<td>Phase 3-B</td>
<td>Phase 4-A</td>
</tr>
<tr>
<td>Oral</td>
<td>Anal</td>
<td>Genital</td>
<td>Latency</td>
<td>Adolescence</td>
<td>Juridical</td>
<td>Juridical</td>
</tr>
<tr>
<td>Eastern &amp; Western Mysticism</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
</tr>
<tr>
<td>Human &amp; psychological</td>
<td>Conversion</td>
<td>Purification</td>
<td>Illumination</td>
<td>Enlightenment</td>
<td>Enlightenment</td>
<td>Enlightenment</td>
</tr>
<tr>
<td>The primal stage of development</td>
<td>Generation</td>
<td>Growth</td>
<td>Development</td>
<td>Development</td>
<td>Development</td>
<td>Development</td>
</tr>
<tr>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
</tr>
<tr>
<td>Erickson</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
</tr>
<tr>
<td>Trust vs mistrust</td>
<td>Initiative vs guilt</td>
<td>Identity &amp; role confusion</td>
<td>Intimacy vs isolation</td>
<td>Generativity</td>
<td>Creativity vs stagnation</td>
<td>Integrity vs despair &amp; distrust</td>
</tr>
<tr>
<td>Autonomy vs Shame &amp; doubt</td>
<td>Industry vs inferiority</td>
<td>Juridical</td>
<td>Juridical</td>
<td>Juridical</td>
<td>Juridical</td>
<td>Juridical</td>
</tr>
<tr>
<td>Kohlberg</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
</tr>
<tr>
<td>Stage 1 Fear</td>
<td>Stage 2 Self Interest</td>
<td>Stage 3 Conformity</td>
<td>Stage 4 Social Order</td>
<td>Stage 5 Others Rights</td>
<td>Stage 6 Universal Principles</td>
<td></td>
</tr>
<tr>
<td>Pre-Conventional</td>
<td>Conventional</td>
<td>Post-Conventional</td>
<td>Pre-Conventional</td>
<td>Conventional</td>
<td>Post-Conventional</td>
<td>Pre-Conventional</td>
</tr>
<tr>
<td>Maslow</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
<td>Jung</td>
</tr>
<tr>
<td>Food/Warmth/Shelter</td>
<td>Self-Worth</td>
<td>Competence and Success</td>
<td>Transcendence, Creativity</td>
<td>Transcendence, Creativity</td>
<td>Transcendence, Creativity</td>
<td>Transcendence, Creativity</td>
</tr>
</tbody>
</table>

This synthesis results in four phases of human development each with a distinct worldview associated with a specific cluster of values. The theory is that people adopt new goals (Values Technology, 2005) as they evolve in consciousness which tend to be richer versions of their early foundation goals. They subsequently move to the next level [phase] of human development through a cyclic process outlined later in this section. This movement is shown in Figure 1.
Within each phase of development are two stages: one represents the internal or individualised values considered essential to growth [left hand column, A] and the other stage represents the values internalised through the institutions people operate within [right hand column, B].

Hall and Tonna found that progression through these stages was linked to skills development.

2.3.1 Skills development

Understanding skills development from a values perspective mostly relates to the means values in the Hall-Tonna Values Framework. Hall and Tonna identified four types of skills linked specifically to particular phases of growth. The umbrella terms given for the cluster of values connected to each type of skill were instrumental, interpersonal, imaginal and systems skills.
Instrumental skills are associated with survival and basic abilities and are skills that underpin a successful life. They include intellectual and physical competencies and tend to dominate the values in phases one and two. They include physical coordination skills, communication skills, self management and the ability to marshal evidence and frame arguments in support of a position.

As instrumental skills are acquired there is increasing motivation to develop interpersonal skills. Interpersonal skills are associated with growing self awareness and understanding of relationships. They begin to develop in phase two through early family relationships and social experiences but intensify in importance as one’s language advances and the ability to deal with feelings is mobilised. The ability to perceive self and others accurately, in ways that facilitate communication, mutual understanding and cooperation are the essence of interpersonal skills in phase II. They include the ability to identify and express feelings and intentions, to ‘read’ non-verbal communication and to be able to describe others’ behaviours non-judgementally. Coping effectively with conflict and being open to new values, attitudes and experiences are also critical interpersonal skills at this phase of development.

The maturation of interpersonal skills is necessary before imaginal skills begin to develop. Imaginal skills are associated with the integration of feelings and development of personal communication and are a primary motivation in phase three. “Imaginal skills include the ability to see and make sense out of increasing amounts of data” (Hall, 1995 p.106) and to be able to combine images and ideas in new ways, to see alternatives, to change conventional ways of doing things and to be able to address deficiencies. Other imaginal skills include the ability to facilitate others in generating new ideas, to use storytelling and to put together existing elements or data in new ways.

Combined with the integration of instrumental and interpersonal skills, this phase can radically alter one’s worldview. Hall and Tonna believed that imaginal skills were critical to our emotional and spiritual growth. Once imaginal skills are developed there is a natural shift towards the development of systems skills in phases three and four. Fluency in communication and
awareness of the natural environment for example are key imaginal skills for systems skills development.

The emphasis on systems skills which enable people to “see all parts of a system as they relate to the whole” (Hall, 1995 p.110) require the integration of all the other skills. The ability to identify various systems operating in one’s life which include relationships with self and others and the ability to plan for systematic changes are involved in systems skills development. Being able to distinguish between content and process in group interactions, to synthesise data from a variety of sources and to organise tasks which require division into component parts are also key skills in this phase of development.

The skills requiring development is elicited through completion of the values inventory. Individual’s initially select these skills [in the form of means values] but they often need adjustment to ensure that growth and development is possible particularly when certain prior conditions [prior skills] are missing. As an example, values which motivate knowing oneself such as ‘empathy’ occur in phase three but they require prior development in phase two. This realignment is based on the theory of ‘values tracking’ elicited from over 30 years of Hall and Tonna’s values research. They found values tracking an important tool for ensuring that goal values were achieved. The goal values track for ‘Being Self’ for example is:

<table>
<thead>
<tr>
<th>Table 3: Values Track for ‘Being Self’</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self Preservation</td>
</tr>
<tr>
<td>-------------------</td>
</tr>
</tbody>
</table>

In order to achieve the goal value of ‘Being Self” all of the previous values and associated skills development identified in Table 3 which are part of the values track for ‘Being Self” need to be undertaken and matured. There are over 180 such values tracks within the Hall-Tonna Values Framework. Individuals gain insight into their optimal skills development via the values tracking reported as the adjusted growth track in their individual values profile together with a skills report. An example of an adjusted growth track and skills report in an individual profile is provided in Appendix 1.
The Hall-Tonna Values Framework has been developed from a theoretical understanding that values operate in values systems as binary combinations and that values tracking is a useful method to identify and capture this phenomena. Hall and Tonna further purported that values development was cyclical in nature. The next section discusses this notion.

### 2.3.2 Cycles of development

At a meta-level the Hall Tonna Values Framework comprises seven cycles of human development with each cycle encompassing two stages. This is shown in Figure 2.

Cycles 1-3 [phases I and II] represent the early development stages of a person’s life motivated by safety, security, family and institutional belonging. The worldview in these three cycles is dominated by external control factors. Typically, people in these cycles are not working on or living their own values; they are working on someone else’s values like their parents, peers and the institutions they belong to. It is only when a person starts questioning and selecting their own values system will they be able to mature into phase III.

Cycles 4-7 are characterised by the shift to an internal reality and an inner sense of authority. Vocation, New Order, Wisdom and World Order become the motivational factors for development. The worldview in the latter four cycles is characterised by a larger field of awareness, seeing the world more holistically and having a personal consciousness of both ‘inner and outer’ reality. It is expected that a well-integrated person would consistently align their actions and behaviour with that consciousness. This is an ideal that we hold for organisational leaders.
In addition to the acquisition of a set of skills which is important to learn in order to progress through each cycle of development, Hall and Tonna identified four minimal conditions which are also required. Firstly, being a cyclical process, a person may need to revisit their earlier [foundation] values to mature and integrate certain skills. Secondly, there are minimal values and skills which humans need to develop in every phase and stage of human development. As an example, Hall and Tonna found that people who lacked imaginal skills which required them to move into cycle four were unable to take creative risks. They continued to manage tasks as they had always been managed and consequently remained static at cycle three.

The third minimal condition which supports Jung’s theory of inferior function of the personality (J. A. Hall, 1986) is the requirement to look at our ‘shadow’ side or our ‘dark’ side in each cycle in order to grow as human beings (J. A. Hall, 1986). This is the part within us that is least developed at a particular time in our evolution and which needs cultivation. If a person who is in stage 3, for example, tried to operate at stage 5, then there is a strong possibility that they may operate on the dark side of stage 5 particularly if they are under stress.\(^2\)

\(^2\) This question emerged from the research participants during the action research period. I wrote a short paper on it to explain its effect. See The ‘Dark Side’ of Values Development in Appendix 2.
That is to say, they do not have the skills or the earlier values integrated into their life to operate in alignment with these values. An example of the negative effect of the dark side is the situation where people in management positions who have not developed their interpersonal skills and who use the system [the institution] to punish others, often cause emotional distress in the workplace. One way to gain skills is to work with or associate with people who are more mature in the skills they have learned and developed. Another is to learn from one’s mistakes in the earlier stages of development in a positive way. Interpersonal skills development is a pre-requisite for moving into cycle four.

The fourth minimal condition is that we must experience positive reinforcement from the respective institutions which have the greatest influence upon us at each respective cycle. This includes family, community and the workplace. As we cycle through the phases of human development our institutions can include organisations, corporations, nations and global world order. In the Hall-Tonna Values Framework there is a symbiotic link between leadership of institutions and skills development which provides a potentially interesting lens for this study. If it is possible to capture the values priorities of organisational leaders and identify where they are positioned within the Hall-Tonna Values Framework, is it also possible to make a conscious shift in behaviour through a deliberate program of skills development?

2.3.4 Leadership and skills development

In the Hall-Tonna Values Framework, the evolution of leadership styles follow the cycles of human development which are based upon different sets of values assumptions and particular values systems in operation. Table 4 illustrates these leadership styles with their corresponding key values. The seven leadership styles identified are directly related to the needs of the organisation’s members [followers]. They are not presumed to be rated in any hierarchical order. Every style of leadership is appropriate for a specific cluster of values and a particular set of circumstances. The leadership styles can be found at the base of the Hall-Tonna Values Chart in Table 1.
Table 4: Leadership Styles drawn from the Hall-Tonna Values Framework

(Adapted from Lewis-Shaw, 2002 p.63)

<table>
<thead>
<tr>
<th>CYCLE</th>
<th>LEADERSHIP STYLES</th>
<th>DEFINITION</th>
<th>KEY VALUES</th>
</tr>
</thead>
<tbody>
<tr>
<td>7 Wisdom/ World Order</td>
<td>VISIONARY Influence based</td>
<td>Liberator with a global network of peer visionaries.</td>
<td>Human Rights/World Social Order, Justice/Global Distribution</td>
</tr>
<tr>
<td>6 New Order/ Wisdom</td>
<td>SERVANT Influence based</td>
<td>Interdependent administrator with collegial participation.</td>
<td>Interdependence, Synergy, Truth/Wisdom/Integrated Insight</td>
</tr>
<tr>
<td>5 Vocation/ New Order</td>
<td>COLLABORATOR Transition based</td>
<td>Facilitator, producer and creator with active peer participation.</td>
<td>Cooperation/ Complementarity, Collaboration, Creativity/Ideation, Pioneerism/Innovation/ Progress, Community/Supportive</td>
</tr>
<tr>
<td>4 Institution/ Vocation</td>
<td>FACILITATOR Transition based</td>
<td>Listener, clarifier and supporter with followers who are also listeners, clarifiers and supporters.</td>
<td>Generosity/Service, Empathy, Independence, Sharing/Listening/Trust</td>
</tr>
<tr>
<td>3 Family/ Institution</td>
<td>MANAGER Transition based</td>
<td>Efficient manager with followers who are loyally devoted to the organisation.</td>
<td>Efficiency/Planning, Economics/Success, Productivity, Administration/Control, Technology/Science</td>
</tr>
<tr>
<td>2 Security/ Family</td>
<td>PATERNALIST Power based</td>
<td>Benevolent paternalist with followers who are dependent and obedient.</td>
<td>Family/Belonging, Care/Nurture, Loyalty/Fidelity, Obedience/Duty, Courtesy/Hospitality</td>
</tr>
<tr>
<td>1 Safety/ Security</td>
<td>AUTHORITARIAN Power based</td>
<td>Authoritarian with followers who are totally dependent.</td>
<td>Economics/Profit, Security, Self Interest/Control, Safety/Survival</td>
</tr>
</tbody>
</table>

Table 5 which follows illustrates the character of organisational members [followers] of each cycle in relation to the styles of leadership and organisational development. The first three cycles, for example, are all hierarchically driven, with a clear ‘leader-follower’ format, whereas the last three cycles [5-7] indicate increasing levels of collaboration which reflect a
corresponding and increasingly symbiotic relationship between leadership and followership as ‘partnership’. Cycle 4 is transitional but moving towards the collaborative model.

Table 5: Styles of Leadership and Organisational Development

(Adapted from Hall, 1995 p.160)

<table>
<thead>
<tr>
<th>CYCLES</th>
<th>WORLDVIEW</th>
<th>LEADERSHIP STYLES</th>
<th>MEMBER CHARACTER</th>
<th>ORGANISATIONAL CHARACTER</th>
</tr>
</thead>
<tbody>
<tr>
<td>7 Wisdom/World Order</td>
<td>Global: We care for and co-create.</td>
<td>Visionary</td>
<td>Prophetic</td>
<td>Global Convivial System</td>
</tr>
<tr>
<td>6 New Order/Wisdom</td>
<td>Cooperative Venture: We create a new order.</td>
<td>Servant</td>
<td>Wise &amp; Interdependent</td>
<td>Interdependent Network System</td>
</tr>
<tr>
<td>5 Vocation/New Order</td>
<td>Creative Project: I create a new order.</td>
<td>Collaborator</td>
<td>Creative &amp; Interdependent</td>
<td>Collaborative System</td>
</tr>
<tr>
<td>4 Institution/Vocation</td>
<td>Relational: I am who I am and you are who you are.</td>
<td>Facilitator</td>
<td>Interpersonal &amp; Searching</td>
<td>Laissez-faire Enabling System</td>
</tr>
<tr>
<td>3 Family/Institution</td>
<td>Civil Order: I work hard to succeed and achieve.</td>
<td>Manager</td>
<td>Loyal Subordinate</td>
<td>Complex Hierarchical System</td>
</tr>
<tr>
<td>2 Security/Family</td>
<td>Protected: I am safe; I belong at my job &amp; at my home.</td>
<td>Benevolent</td>
<td>Preserver</td>
<td>Benevolent Hierarchical System</td>
</tr>
<tr>
<td>1 Safety/Security</td>
<td>Alien Mystery: I am vulnerable</td>
<td>Authoritarian</td>
<td>Oppressed</td>
<td>Dictatorial System</td>
</tr>
</tbody>
</table>

Hall and Tonna described the cycle 3 leadership style of ‘manager’ as having a typically immediate post World War II leadership style, a style based on a complex hierarchical system. This structure is prevalent in organisations of today. However, the literature indicates that the knowledge era requires a leadership style conducive to the generation of knowledge through ‘working with’ leadership practices. This necessitates at the very least a cycle 4
‘facilitative’ and enabling leadership style towards development of a cycle 5 ‘collaborator’ style which more naturally allows people to think and share information and knowledge together. The cycle 4 facilitative leader plays a pivotal mentoring role in organisations, a concept that has gained increased traction over the past decade or more in public sector administration to the extent where it is now an assumed leadership competency (Australian Public Service Commission, 2008a). Hall and Tonna (1979) suggest that as organisations shift from enabling [cycle 4] to collaborative systems [cycle 5], the style of leadership will also evolve (Hall, 1979). An example of this can be seen in the rapid rise of professional coaching over the past five years which appears to reflect a maturing leadership skill in these new times. The collaborative leader is able to develop others through cultivation of their coaching [cycle 5] skills.

The servant leader is noted as a cycle 6 leadership style in the Hall-Tonna Values Framework. This positioning appears to correspond with the rise in awareness of servant leadership as a new worldly leadership attribute (Hall, 2004; McGee-Cooper et al., 2008; Russell, 2000; Russell, 2001; Sendjaya et al., 2008). Although not yet courted as a leadership style for public service administration in Australia, it could signal what might be expected in the future of senior public sector leaders. Public service administration in Australia is only now shifting to a focus on collaboration (Australian Public Service Commission, 2010) which is a cycle 5 positioning; however, we aren’t quite there yet. Could a values inquiry such as this study educe knowledge and understanding which could inform organisational leaders about how to guide this shift? What assumptions can be made about the requisite cycle positioning of our public sector leaders and by implication their capacity to appropriately lead into a knowledge economy future?

Hall and Tonna found that people actively look for examples of leadership behaviour enacted by leaders who are positioned on the next cycle of development to where they themselves are currently positioned. Such behaviours act as an aspirational magnet. Of course the aspirational pull of such behaviours may vary according to the environment in which they are enacted. This finding implies that public sector administration with a current
focus on collaboration needs leaders who are already at cycle 5. This study could inform where a sample of public sector leaders is currently positioned and whether or not a shift towards collaborative models is possible in the near future and/or what strategies might be necessary to do so. In this scenario, values-based approaches are understood as strategies to move people and organisations forward in response to a changing global knowledge economy.

Implications for leadership skills development include the need for organisational decision makers to understand their environment and culture to ensure flexibility in matching the style of organisational leaders to the needs of followers and co-workers. This understanding is possible through a values audit which can identify the current leadership behaviours and where they can be adjusted and grown through professional development to ensure relevance in times of change. The success of organisational leaders in their early days of appointment would be more effectual if induction programs included debate on where followers were positioned.

Hall and Tonna referred to the minimal conditions for leadership skills development as “the four integrations: knowledge integration, intimacy integration, management team integration, and peer integration” (Hall, 1995 p.161). Knowledge integration implies competence in subject matter and professional enterprise. Intimacy integration implies a degree of work/life balance where one’s personal life is nurtured. This nurturance positively impacts on our ability to detach from work issues. Management team integration incorporates the ability to fully delegate work at the highest levels particularly in times of crisis. Peer integration is a professional peer support network that provides senior executives with personal assistance and awareness that leadership is a plural endeavour. These conditions have implications for programs designed to develop the skills, capacity and competency of organisational leaders.

2.3.5 Genesis effect

Exploration of the relationship between values and growth was fundamental in the work of Hall and Tonna. They found that each person lives in two ‘universes’ at the same time - personal [internal] and institutional [external] -
represented in the Values Chart under each phase by the left hand column [internal] and right hand column [external]. They premise that values develop when a person’s internal images and ideas interact with the external world. When that interaction creates a shift in ideas or behaviour, a ‘genesis effect’ has occurred (B. Hall, 1986).

When Hall and Tonna measured the personal values priorities of executives, they were surprised to discover these priorities also reflected the values priorities of their respective organisation’s management documents. This finding led them to assert that the values of an organisation can become internalised and adopted as the personal values of the people who work there (B. Hall, 1986; 1995). They also found that it was equally possible for the values of organisational leaders to become the external reality of the organisation they lead.

The underlying key themes of these studies were the personal and professional values which drive organisational leadership behaviour in the workplace. The next section explains what underpins the shift in values when skills are developed. I have called this phenomenon ‘the values dynamic’. It comprises the interrelatedness of foundation [past], focus [present] and future [vision] values-in-action.

### 2.3.6 Foundation, focus and future values

Values are deeply held beliefs which guide our everyday actions and behaviours (Nanschild & Davis, 2007). They are usually tacit and unexamined yet they lie at the base of the decisions we make and the actions we take based on those decisions. The literature (see for example Hall & Joiner, 1992; McCann, 2002b; Schwartz, 1992) tells us that our values rest in all conscious and unconscious decisions or choices which we make and that such choices are ordered via our unique set of value priorities. “Our values are a way of understanding both our inner life and our external behaviour” (Hall, 1995 p.35). A values inquiry to learning and development can therefore offer

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3 Refer Table 1.
opportunities to reconcile our internal and external worlds so that what we ‘say’ and what we ‘do’ [for instance] are in alignment.

People view the world through the lens of their personal values and expend high levels of energy to defend them (McCann, 2005) whether aware of these actions or not. Whilst shared mutual values can lead to harmony, understanding and shared vision, a clash in values can and does cause conflict between people. Thus far I have shown that certain researchers have made claims that an understanding of values priorities and how we come to hold them can lead to greater self knowledge. The Hall-Tonna Values Framework offers a way to measure what those values might be. The Framework represents a values continuum made up of the interrelated sets of three clusters of values: foundation values, focus or day-to-day operational values, and future values.

As the term suggests, it is claimed that foundation values provide the groundwork in people’s lives from which all growth expands. As people learn new skills the associated values become established as part of the foundation values suite causing a shift in effort towards learning new skills. This effort is a conscious concentration in the focus values area. Focus values represent an individual’s current development efforts on a present daily basis. They act as a bridge between foundation and future values. Future values are visionary in that they provide the motivation for developing new skills because they reflect the future aspirations of individuals, groups, organisations and communities. Future values clarify vision and have the potential to pull us into the future because they represent a vision worth aspiring to. This point is summarised succinctly by Hall and Joiner (1992) where they state that “leadership development begins with visioning. Each time we rethink our view of the world, new value priorities emerge” (Hall & Joiner, 1992 p.23) which results in an adjustment of one’s personal values lens. Individuals hold a set of values priorities in each of these clusters.

Figure 3 illustrates the dynamic interplay of foundation, focus and future values (Nanschild & Davis, 2007 p.139). As the values priorities of an individual mature and develop, the person moves through a values cycle. Matured foundation values lead to the realignment of focus and future values.
and the interplay between *focus* and *future* values produces values shifts; the process then begins again. *Foundation, focus* and *future* values represent a set of conscious and unconscious priorities which drive behaviour (Hall & Joiner, 1992 p.23). In organisations they drive organisational outcomes; in individuals they are a catalyst for change and drive learning.

**Figure 3: The Values Dynamic**

In order to progress to reach one’s *future* [visionary] values in a positive way, the values priorities of each cluster need to be developed. The values tracking report provides clues as to which values might need skills development and suggests a range of ways to do it. If we have not fully developed or matured our values in a respective cluster, our values lens will distort and so will our behaviour. Lewis-Shaw (1997) puts it this way. “Foundation values provide the basic support for daily living and, if not fully integrated, may eventually take priority over higher ideals” (p.1). This would result in an individual remaining paralysed in the focus area such that s/he cannot move beyond the day-to-day operations to ‘see’ a possible vision of the future. This theory is supported by Maslow’s (1970) hierarchy of human needs. Certain conditions, skills and development must be undertaken and embedded before growth is possible.
In the Hall-Tonna inventory of values the foundation, focus and future values clusters of an individual or organisation are identified towards the bottom of the stages and above the leadership styles. Typically the focus values area of the Values Chart cover two stages of development, a personal stage and an institutional stage as described previously in the section on the genesis effect. In the next section I provide an overview of how the Hall-Tonna inventory of values operates and what is produced.

### 2.4 The Hall-Tonna inventory of values

The Hall-Tonna inventory of values has been designed for use in individual and group settings. The inventory is self-administered through an online, computer scored questionnaire which requires individuals to choose a phrase amongst several options which best describes their current behaviour. A Values Management Inventory [VMI] Report is generated from the results via a computer printout. The Report guides development of insight into individual values, the current value priorities [focus values] and explores options and goals for both personal and workgroup development [future values]. As previously discussed, the VMI Report, referred to as the Values Profile in this study, provides assistance in identifying skills needed for future growth. The Values Profile also allows the relationship between values clusters and leadership style to be charted.

Appendix 4 contains both the full descriptors and shortened definitions of the Hall-Tonna Values Framework. This is important supplementary information to be able to decipher in close detail the full meaning of the VMI Report for an individual or a group. Values definitions help people to interpret the values language being used. In the Hall-Tonna Values Framework, the language is American-centric despite being developed through research in many countries.

Whilst the Hall-Tonna Values Framework has not been used in the Australian Public Service [APS] before, a similar inventory of values was adapted from the Hall-Tonna model for use in Australia and New Zealand over two decades ago. This is called the Australian Values Inventory [AVI]. The AVI has not

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4 See Sample Values Profile in Appendix 3.
been used in the APS either. The next section outlines the AVI and includes a discussion on some of the applications of this instrument in Australasia.

2.4.1 The Australian Values Inventory

Colins and Chippendale (1995) introduced the Hall-Tonna Values Inventory to Australia in 1988, subsequently refining it in 1994 to incorporate William Glasser’s control theory principles. They developed their work by incorporating certain elements of the original body of knowledge while offering counter views to other elements of the existing studies, to arrive at [and create] the Australasian Values Inventory [AVI]. The AVI uses Australasian-centric values language and expands upon the original Hall-Tonna values and values definitions. The AVI values definitions located in Appendix 5 demonstrate subtle language differences from the Hall-Tonna values definitions located in Appendix 4. The AVI definitions provide a more comprehensive understanding of the values-at-play compared to the Hall-Tonna model. Henderson and Thompson (2003) claim the AVI language is more familiar to the Australian culture (p.184).

The 125 values in the AVI differ in the following ways to the 125 Hall-Tonna values. Table 6 identifies the variances in AVI nominated values from the parent version.

Table 6: Differences in values between the Hall-Tonna Values Framework and the AVI

<table>
<thead>
<tr>
<th>Hall-Tonna Values Framework</th>
<th>Australasian Values Inventory</th>
</tr>
</thead>
<tbody>
<tr>
<td>Achievement/Success</td>
<td>Achievement</td>
</tr>
<tr>
<td>Affection/Physical</td>
<td>Affection</td>
</tr>
<tr>
<td>Authority/Honesty</td>
<td>Assertion/Directedness</td>
</tr>
<tr>
<td>Belief/Philosophy</td>
<td>Worship/Faith/Creed</td>
</tr>
<tr>
<td>Collaboration</td>
<td>Collaboration/Subsidiarity</td>
</tr>
<tr>
<td>Complementarity</td>
<td>Cooperation/Complementarity</td>
</tr>
<tr>
<td>Hall-Tonna Values Framework</td>
<td>Australasian Values Inventory</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>---------------------------------------------------</td>
</tr>
<tr>
<td>Contemplation</td>
<td>Contemplation/Asceticism</td>
</tr>
<tr>
<td>Creativity</td>
<td>Creativity/Ideation</td>
</tr>
<tr>
<td>n/a</td>
<td>Dexterity/Communal</td>
</tr>
<tr>
<td>Ecority</td>
<td>Ecority/Aesthetics</td>
</tr>
<tr>
<td>Education/Knowledge</td>
<td>Education/Knowledge/Insight</td>
</tr>
<tr>
<td>Expressiveness/Joy</td>
<td>Expressiveness/Freedom/Joy</td>
</tr>
<tr>
<td>Generosity/Compassion</td>
<td>Generosity/Service</td>
</tr>
<tr>
<td>Global Harmony</td>
<td>n/a</td>
</tr>
<tr>
<td>Global Justice</td>
<td>Justice/Global Distribution</td>
</tr>
<tr>
<td>Health/Healing</td>
<td>Health/Healing/Harmony</td>
</tr>
<tr>
<td>Hierarchy/Order</td>
<td>Hierarchy/Propriety/Order</td>
</tr>
<tr>
<td>Human Rights</td>
<td>Human Rights/World Order</td>
</tr>
<tr>
<td>Intimacy/Solitude</td>
<td>Intimacy/Solitude as unitive</td>
</tr>
<tr>
<td>Knowledge/Insight</td>
<td>Knowledge/Discovery/Insight</td>
</tr>
<tr>
<td>Leisure</td>
<td>Leisure/Freesence</td>
</tr>
<tr>
<td>Self Actualization</td>
<td>Life/Self-actualisation</td>
</tr>
<tr>
<td>Macroeconomics</td>
<td>Macroeconomics/World Order</td>
</tr>
<tr>
<td>Mutual Accountability</td>
<td>Mutual Responsibility/Accountability</td>
</tr>
<tr>
<td>Mutual Obedience</td>
<td>Obedience/Mutual Accountability</td>
</tr>
<tr>
<td>Hall-Tonna Values Framework</td>
<td>Australasian Values Inventory</td>
</tr>
<tr>
<td>----------------------------</td>
<td>-------------------------------</td>
</tr>
<tr>
<td>Presence</td>
<td>Presence/Dwelling</td>
</tr>
<tr>
<td>Quality Evaluation</td>
<td>Evaluation/Self-system</td>
</tr>
<tr>
<td>Reason</td>
<td>Criteria/Rationality</td>
</tr>
<tr>
<td>Research</td>
<td>Research/Originality/Knowledge</td>
</tr>
<tr>
<td>Self Assertion</td>
<td>Personal Authority/Honesty</td>
</tr>
<tr>
<td>Transcendence/Solitude</td>
<td>Transcendence/Global equality</td>
</tr>
<tr>
<td>Truth/Wisdom</td>
<td>Truth/Wisdom/Integrated Insight</td>
</tr>
</tbody>
</table>

These differences in values and what they meant emerged after comparing results from people who completed both inventories. As a result, the AVI was developed into a more concise dictionary of values understanding for application in the Australian and New Zealand context.

### 2.4.2 Australasian applications

The AVI is widely used by the Minenessence Group, an international organisation of values consultants located in Australia and New Zealand. Their research, promotion and publication of several books (Henderson, 2004; Henderson & Thompson, 2003) and resources continues to support the original values research presented by the Hall-Tonna Values Framework.

Vodafone [New Zealand] is a case study cited by the Minenessence Group who operates the ‘values@work’ programs using the Australasian Values Inventory [AVI]. In taking over from BellSouth, Vodafone wanted to create a values-based culture to gain the support of their staff and to create a platform for values-based decision making. They implemented a values process which enabled staff to evaluate and assimilate their personal values with those of the organisation. The organisation’s foundation and inspirational [future] values were brought to the surface in this process. Vodafone reported that the values process was a significant factor in higher staff retention and increased morale.
in the organisation. They claimed that people expressed feeling more involved in their work because they better understood their own values position (Minessence, 2005). The organisation also asserted that it had successfully unlocked and captured the potential of its staff with noticeable shifts in attitude. Specifically they stated that a growth in market share from 17% to 55% over a two year period was a direct outcome of the values process.

Lewis-Shaw (2002) embraced the Hall-Tonna Values Framework for her research on ‘Assessment Centres and the Measurement of Values in Educational Administration’ (Lewis-Shaw, 2002). She utilised content analysis technology which enabled values described within documents to be reliably determined. This involved scanning documents into a computer with a software thesaurus program which correlated with the Hall-Tonna Values Inventory. Her positioning of the research was in the context of the assessment centre environment for secondary school principals who were aspiring to educational administrative leadership positions. She found that assessment practices were value-laden and needed to accommodate for the interrelationship between values, performance and action. She stressed the critical need for educational administrators to have a well-developed educational philosophy which identified one’s values priorities and provided insight into one’s value position.

My research will explore the links between values, ethics and leadership development in public administration in Australia. The growing subject of administrative ethics [being a subset of administrative values] has usually been explored separately to the theme of leadership values (McDougle, 2007; Van Wart, 2003). By contrast, this study will make explicit reference to both public sector ethics and public sector values which are associated with public sector leadership. The Hall-Tonna Values Framework is a considered methodological choice because it appears that it can elicit the values held by public sector leaders. However, the AVI tool which is a derivative of the Hall-Tonna instrument appears more conducive to the Australian context.

There are other theoretical values frameworks to consider. The remaining two pillars of research mentioned earlier in this chapter are the Clare Graves Values
Levels and Schwartz’ Hierarchy of Values Model. I will firstly discuss the Clare Graves model.

2.5 Clare Graves Values Levels

Clare Graves (1959, 1974) pioneered the research and theorising of the relationship between an individual’s value system and their health-related behaviours and preference for particular forms of health care. He found that patients and clinicians alike were unaware of their values and that a clash in values often led to non-resolution of issues leading to unsatisfactory health care. Graves defined values as “internal filters which provide people with initial motivation for action, determine how they make decisions and use their time, and give them a reference point for evaluating things, events, and circumstances after the event. One’s values are the collection of ideas, usually expressed as abstract nouns or short phrases, [which] one…believes to be important” (Cooper, 2002 p.2). Such forms of expression are referred to as ‘values statements’ by McCann (2005) which he claims to be pivotal in workplace values agreements.

Graves’ model is summarised in Table 7. The Value Levels were based on modes of behaviour which he believed related to cultures, societies and organisations as well as individuals. Like the Hall-Tonna Values Framework, the Graves Values Levels represent individual concerns at levels 1, 3, 5 and 7 and group concerns at the other levels. Whereas Hall and Tonna identified a shift in motivation in cycle 4 from extrinsic to intrinsic, Graves believed that motivation remained extrinsic for all group levels and intrinsic for all individual levels. Graves further proposed that individuals and societies wrestled with different sets of problems within each level and that moving to the next level helped solve the previous level’s dilemmas. Moving to a higher level entailed an evolution in ethical behaviour as individuals, organisations and societies grappled with the next set of values dynamics such as conceptions of ‘right’ and ‘wrong’ (Cooper, 2002).

Graves also asserted that a more rigid ethical system existed at the lower levels (Graves, 1959) and that this had implications for comprehension of higher level ethics for those who abided by lower ethical standards. Graves’ end
values are equivalent to Hall and Tonna’s goal values. Whilst Graves noted that the lack of movement or underdevelopment within and/or through the levels restricted growth and caused regression, he did not mention an equivalent to the ‘dark side’ of values development which Hall and Tonna discovered.

**Table 7: Clare Graves’ Values Levels**

(Adapted from Graves, 1974)

<table>
<thead>
<tr>
<th>LEVEL</th>
<th>WORLDVIEW</th>
<th>MOTIVATIONAL SYSTEM</th>
<th>THINKING</th>
<th>MEANS VALUES</th>
<th>END VALUES</th>
</tr>
</thead>
<tbody>
<tr>
<td>8</td>
<td>Experiential</td>
<td>Accepting existential dichotomies</td>
<td>Experience</td>
<td>Differential</td>
<td>Experiencing</td>
</tr>
<tr>
<td>7</td>
<td>Cognitive</td>
<td>Restoring viability to a disordered world</td>
<td>Existential</td>
<td>Systemic</td>
<td>Accepting</td>
</tr>
<tr>
<td>6</td>
<td>Personalistic</td>
<td>Living with the human element</td>
<td>Affiliation</td>
<td>Relativistic</td>
<td>Socio-centricity</td>
</tr>
<tr>
<td>5</td>
<td>Materialistic</td>
<td>Conquering the physical universe</td>
<td>Independence</td>
<td>Multiplistic</td>
<td>Scientism</td>
</tr>
<tr>
<td>4</td>
<td>Saintly</td>
<td>Achieving everlasting peace of mind</td>
<td>Security</td>
<td>Absolutistic</td>
<td>Sacrifice</td>
</tr>
<tr>
<td>3</td>
<td>Egocentric</td>
<td>Living with self-awareness</td>
<td>Egocentric</td>
<td>Egocentric</td>
<td>Exploitation</td>
</tr>
<tr>
<td>2</td>
<td>Tribalistic</td>
<td>Achievement of relative safety</td>
<td>Assurance</td>
<td>Autistic</td>
<td>Traditionalism</td>
</tr>
<tr>
<td>1</td>
<td>Automatic</td>
<td>Maintaining physiological stability</td>
<td>Physiological</td>
<td>Automatic</td>
<td>No conscious value system</td>
</tr>
</tbody>
</table>

There is a strong correlation between the two models presented in Table 8. The actual definitions for Graves’ key values were not found in his writings nor were they spelled out in the Spiral Dynamics writings which cascade from Graves’ work [see next section]. However, the values in the Clare Grave’s model are provided as a values map at Appendix 6. Hall and Tonna extracted the meaning of the values used in their instrument from the communities they researched through analysing conversations. Rokeach (1973) admitted that his
selection of values which formed the basis of the Rokeach Values Survey were intuitive (p.30). Graves may or may not have utilised either of these methods but his influence in values understanding despite this lack in defining his values continues today.

Table 8: Correlation of Graves’ Values Levels and Hall-Tonna Values Framework

<table>
<thead>
<tr>
<th>LEVELS/STAGES</th>
<th>GRAVES WORLDVIEW</th>
<th>HALL-TONNA WORLDVIEW</th>
<th>GRAVES KEY VALUES</th>
<th>HALL-TONNA KEY VALUES</th>
</tr>
</thead>
<tbody>
<tr>
<td>8 Group</td>
<td>Global consciousness</td>
<td>World Order</td>
<td>Metaphysical exploration</td>
<td>Human Rights</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Reason</td>
<td>World Social Order</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Global Survival</td>
<td>Justice</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Purpose</td>
<td>Global Distribution</td>
</tr>
<tr>
<td>7 Individual</td>
<td>Existential</td>
<td>Wisdom</td>
<td>Inner peace</td>
<td>Interdependence</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Solitude</td>
<td>Synergy</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Holism</td>
<td>Truth</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Self-Management</td>
<td>Wisdom</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Trust</td>
<td>Integrated Insight</td>
</tr>
<tr>
<td>6 Group</td>
<td>Groups / causes</td>
<td>New Order</td>
<td>Bonding</td>
<td>Cooperation</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Harmony</td>
<td>Collaboration</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Group</td>
<td>Creativity</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Consensus</td>
<td>Innovation</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Feelings</td>
<td>Community</td>
</tr>
<tr>
<td>5 Individual</td>
<td>Entrepreneurial</td>
<td>Vocation</td>
<td>Materialism</td>
<td>Generosity</td>
</tr>
<tr>
<td></td>
<td>- determining own</td>
<td>- intrinsic source</td>
<td>Success</td>
<td>Service</td>
</tr>
<tr>
<td></td>
<td>outcomes</td>
<td>of authority</td>
<td>Opportunity</td>
<td>Empathy</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Achievement</td>
<td>Independence</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Independence</td>
<td>Sharing</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Ingenuity</td>
<td>Trust</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Listening</td>
</tr>
<tr>
<td>4 Group</td>
<td>Systems</td>
<td>Institution</td>
<td>Patriotism</td>
<td>Efficiency/Planning</td>
</tr>
<tr>
<td></td>
<td>- imposing them</td>
<td></td>
<td>Sacrifice</td>
<td>Economics/Success</td>
</tr>
<tr>
<td></td>
<td>on individuals</td>
<td></td>
<td>Hard Work</td>
<td>Productivity</td>
</tr>
<tr>
<td></td>
<td>through groups</td>
<td></td>
<td>Obedience</td>
<td>Administration/</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Compliance</td>
<td>Control</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Conformity</td>
<td>Technology/Science</td>
</tr>
<tr>
<td>3 Egocentric</td>
<td>Family</td>
<td>Pride</td>
<td></td>
<td>Family/Belonging</td>
</tr>
</tbody>
</table>
Although neither Graves nor Hall and Tonna referenced each other in their research and publications, it appears that they developed a similar cyclical model to present their respective theories on values systems and development. They both utilised Maslow’s work (1970) in the first 5 levels/stages and incorporated other socio-psychological understandings about human behaviour. Hall and Tonna extended beyond Maslow to encompass a broad range of theories of human growth and development in their framework.

Whilst Hall and Tonna applied their framework to leadership and organisational development in addition to personal development, Graves applied his model to values education for health care professionals yet several of the lessons are eerily similar. For instance, Graves stated that individuals will have different health behaviours, expectations and attitudes at different levels and that it is important for health care professionals to be aware of their own values. He also maintained that material values take precedence over humanistic ones at the lower levels. He found that level 6 practitioners needed to form alliances [collaborate] and that those operating at the higher levels will be more holistically and existentially oriented (Cooper, 2002). Graves also argued that individuals may operate on one, two or three levels at a time, drawing upon different values at different levels. As already discussed in this review, Hall and Tonna suggested a similar dynamic. Both sources of values research agreed that working with values can enhance interpersonal communication, assist to better understand the needs of others and be clearer
about one’s own values system (Cooper, 2002; Graves, 1974; Hall, 1995; Hall & Thompson, 1980).

There is a generally accepted understanding in the values research community that values exist in binary combinations as values systems. Graves’ work has contributed to this understanding by suggesting that individuals can operate at different levels at the same time. There is agreement that maturation of values-in-action, referred to as ‘skills development’ in the Hall-Tonna Framework, is important to progress along the values continuum. This concept is also presented as cyclic progression to next and higher stages. The eight levels of values development in Graves’ model match the eight stages of the Hall-Tonna Values Framework. This correspondence suggests the possibility of a synthesis between the Grave’s model and the Hall-Tonna Framework.

Whilst missing an important conceptual link of values inquiry to leadership development which this study is pursuing and which the Hall-Tonna Values Framework can provide, Graves’ work has inspired more recent theoretical values frameworks which deserve some attention. The most noticeable of these to be discussed here are Spiral Dynamics and Barrett’s (1995, 2006) Cultural Transformation toolkit.

2.5.1 Spiral Dynamics

Don Beck and Christopher Cowan (1996) were students of Graves and whilst Graves himself did not publish a book per se, Beck and Cowan published under the Spiral Dynamics banner which expanded upon Graves’ work. They presented the metaphor of a Spiral to embody the cyclic nature of change and evolution in worldview, thinking, values development, behaviour and leadership. Like a coiled spring, the human spiral symbolises everything being connected to everything else (D. E. Beck & C. Cowan, 1996). Similar to Hall and Tonna, they proposed seven cycles or variations in the dynamics of change across Graves’ eight levels [one cycle constituting two levels] but portrayed them in two tiers with the first five cycles in tier one. The second tier reflected a meta-thinking approach in worldview and included a correlation with leadership not previously accounted for in the Graves’ model. This proposal is consistent with Hall and Tonna’s hypothesis of evolving levels of higher
consciousness in proportion to an individual’s progress through cycles of increasing levels of complexity. Although some critics argue that it presents as a hierarchy of wisdom or intelligence, Cowan (2008) explained its usefulness as a framework to understand different ways by which we prioritise and frame our thinking in order to find solutions to a set of problems which, in turn, create new ones.

Spiral Dynamics not only broadened Graves’ model, it incorporated the concept of MEMEs [genetic or cultural codes] which recognised that individuals are most “likely to be at different points along the way in different aspects of [their] work and life” (D. E. Beck & C. Cowan, 1996 p.6). The construction of MEMEs is a complex and confusing theory and less relevant to the purpose of this values inquiry study. It is possible that a MEMEs-based approach to leadership development as a theory would be more useful if it focused upon the underlying core values and different values priorities which motivate behaviour at each level of human development such as that reflected in Hall and Tonna’s approach.

To add to the confusion of Spiral Dynamics theory, Beck and Cowan preferred to use colours to represent the levels in order not to portray any levels as being more important than any other. This concept is useful in exploring values theory even though the order within a colour chart might be difficult to remember. Table 9 nevertheless indicates the numbered levels for comparison purposes with other values development models.

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5 Controversy about Spiral Dynamics theory can be located through http://minorquestionsoflife.blogspot.com/2008/11/when-dynamics-spiral-out-of-control.

### Table 9: Spiral Dynamics summary

(Adapted from D. Beck & C. C. Cowan, 1996)

<table>
<thead>
<tr>
<th>Spiral Level/MEME</th>
<th>Cycle</th>
<th>Worldview</th>
<th>Core Motives</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Beige One</td>
<td>Survival Sense</td>
<td>Instinctive</td>
<td>Satisfaction of human biological needs</td>
</tr>
<tr>
<td>2. Purple One / Two</td>
<td>Kin Spirits</td>
<td>Clannish</td>
<td>Allegiance to elders, customs, clan Preserve sacred spaces, objects, rituals</td>
</tr>
<tr>
<td>3. Red Two / Three</td>
<td>Power Gods</td>
<td>Egocentric</td>
<td>Enforce power over self, others, nature through exploitive independence</td>
</tr>
<tr>
<td>4. Blue Three/Four</td>
<td>Truth Force</td>
<td>Purposeful</td>
<td>Absolute belief in one right way and obedience to authority</td>
</tr>
<tr>
<td>5. Orange Four / Five</td>
<td>Strive Drive</td>
<td>Strategic</td>
<td>Possibility thinking focused on making things better for self</td>
</tr>
<tr>
<td>6. Green Five / Six</td>
<td>Human Bond</td>
<td>Relativistic</td>
<td>Well-being of people and building consensus get highest priority</td>
</tr>
<tr>
<td>7. Yellow Six / Seven</td>
<td>Flex Flow</td>
<td>Systemic</td>
<td>Flexible adaption to change through connected, big-picture views</td>
</tr>
<tr>
<td>8. Turquoise Seven</td>
<td>Global View</td>
<td>Holistic</td>
<td>Attention to whole-Earth dynamics and macro-level actions</td>
</tr>
</tbody>
</table>

There are a myriad of critics as well as followers of Spiral Dynamics, in particular in relation to its expansion into integrative psychology. Although Beck and Cowan themselves dissolved their partnership, Clare Graves’ work in and of itself is well supported. A summary of Graves’ key constructs incorporated within Spiral Dynamics also reflect Hall and Tonna’s findings that “human nature is not static nor finite” (D. E. Beck & C. Cowan, 1996) and that as individuals evolve, past values systems stay. Other similarities hold that an individual’s psychology and rules for living change and adapt as one moves into a new level of existence which draws different motivations. These researchers also concluded that there is no end state which everyone has to aspire towards and that people can only respond positively to those guiding principles [for instance] that are relevant to the level at which they are living.
The Hall-Tonna Values Framework, the Clare Graves Value Levels, Maslow’s Hierarchy of Needs, Rokeach’s Terminal and Instrumental Values and Spiral Dynamics all agree that individuals are constantly moving towards the realisation of goals values or higher end-states. Hall and Tonna and Spiral Dynamics extended this values understanding into leadership development and organisational culture which I will discuss later. The third pillar of values research to be considered before examining implications of values inquiry in the workplace is the work of Shalom Schwartz.

2.6 Shalom Schwartz’ Hierarchy of Values

Schwartz (1994; 1992; 2001; 1987, 1990) believed a set of universal values existed that could be attributed to almost every culture and ethnic group of people. His research focused on the ‘whole of life’ experience (Schwartz, 1994) as it pertained to three universal requirements: the biological needs of individuals; the need for human social interaction; and ‘requirements for the smooth functioning and survival of groups’ (McCann, 2005; Schwartz, 1994; Schwartz & Bilsky, 1987). Schwartz measured the responses of over 9,000 people in 20 countries using a single form of values measurement rather than two concepts such as those used by Rokeach and Hall and Tonna for example. Schwartz did not differentiate between means values and goals values but he did find that values could be sorted into values clusters. The ten motivationally distinct types of values clusters which Schwartz elicited from his research and which he claimed were universal requirements for all human beings are shown in Figure 4. He organised values into values clusters according to their similarities and motivational intent.
Schwartz proved that people held a hierarchy of values similar to what Hall and Tonna described as value priorities, and that it was possible to plot a cluster of values together under ‘umbrella’ terms that were the same across cultures. Under this ‘pan-cultural values hierarchy’ (Abbott, 2008) he found that ‘benevolence’, ‘self-direction’ and ‘universalism’ values were consistently most important and that ‘power’, ‘tradition’ and ‘stimulation’ values were least important, with ‘security’, ‘conformity’, ‘achievement’ and ‘hedonism’ in between (Abbott, 2006; Schwartz, 1992).

Abbott and White (2005) contend that Schwartz’ pan-cultural hierarchy reflect the adaptive functions of values in meeting three basic requirements for successful societal functioning. In their opinion, these basic requirements were cooperative and supportive primary relations, productive and innovative task performance and gratification of self-oriented needs and desires (Abbott & White, 2005). Abbott purports that values hierarchies and pan-cultural values potentially provide insight into how people are committed to organisations through the linking of personal and organisational values and commitment. I will explore this concept further in a later section on workplace values.
Schwartz’ research paralleled the other values research pillars conducted at a similar time in the twentieth century. However, Schwartz was not referenced nor acknowledged by Hall and Tonna or Graves and nor did Schwartz acknowledge their research. Whilst Schwartz, Graves and Hall and Tonna agreed that values drive behaviour, a difference in Schwartz’s research from that of Hall and Tonna is the issue of whether or not values can change. Schwartz believed that people could change their order of value priorities but that it took a significant event in one’s life to move to a new cluster of values not previously held (Schwartz, 1994). Hall and Tonna proposed that people could only hold up to four values at any given time [ten for organisations] and that it was preferential for humans to evolve in their levels of consciousness, thus maturing their fundamental values (Hall, 1995). Hall and Tonna linked skills development with a shift in values rather than Schwartz’ proposal of a significant event creating a values shift. Whilst the latter concept makes sense when one considers traumatic events in particular, the research shows that a significant event is not necessary for a values shift to take place.

Dick McCann and Geoffrey Abbott are Australian researchers who have drawn from Schwartz’ work. Abbott (2006) has focused upon and reiterated pan-cultural values understanding with his development of an executive coaching framework to acculturate ex-patriots. He promoted the use of ‘values entry points’ (Abbott, 2008) in dialogue with clients to generate values-based understanding about cultural differences. Dick McCann (2002a; McCann, 2005) followed the methodology of Schwartz’ work to develop a model of workplace values called the ‘Window on Work Values Model’ [WoWV] to help understand the differing values types which drive the behaviour of people in the workplace. Since this study is concerned with organisational learning and behaviour in workplace settings, an account of the McCann model is presented.

2.6.1 Dick McCann’s ‘Window on Work Values’ Model

McCann (2002b) has developed several psychometric instruments which are used within organisations to assist people to better understand themselves, their work preferences, their team interactions and individual strengths, as well as to
understand their differences. Whilst Schwartz’ (Schwartz & Bardi, 2001) research focused on the whole-of-life experience, McCann’s (2005) research, drawn from Schwartz, focused on values operating in a workplace setting. McCann defined values as “cognitive representations of desirable abstract goals...used to justify choices or actions as legitimate or worthy and [which] serve as standards for judging the behaviour of self and others” (McCann, 2002b p.1). He believed that values can be differentiated from other drivers of behaviour such as preferences or attitudes and makes a case that values can be principal determinants of behaviour in the workplace.

McCann (2002a) claimed that people expend a lot of energy to preserve their core work values and to defend them against potential ‘violators’. Argyris pioneered the concept of ‘defensive routines’ (Christensen, 2008) to explain this phenomenon. Infringement of core work values can lead to terminal conflicts in teams and provide havoc for business productivity and success. The ‘Window on Work Values’ [WoWV] model was created as a tool for understanding workplace behaviour and to address potential conflict in teams.

The model included eight core values clusters; these being Individualism, Authority, Compliance, Conformity, Collectivism, Equality, Empowerment and Independence. These core values clusters were drawn from Schwartz’ original thirteen values domains. The WoWV model resulting from this Schwartz derivation is shown in Figure 5.
In his research underlying the development of the Window on Work Values Model, McCann also mapped Rokeach’s terminal and instrumental values (Rokeach, 1973) against the Window on Work Values Model through a combination of data using comparative analysis from three validity studies. These additional values are shown in Figure 6 (Wanna, 2005).
Figure 6: Mapping of terminal and instrumental values onto the Window on Work Values

(McCann, 2005 p.32)

The full Window on Work Values Model is shown diagrammatically in Figure 7.
The Model has two independent axes. The west-east axis indicates a focus on either the self [west] or the group (Masuyama et al.). Although people can focus on both, McCann’s research indicated that people tend to have a bias in one direction. The north-south axis focuses on the organisational environment which people value, primarily those associated with organisational constraint (Rasmussen & Northrup, 1999) or organisational freedom [south]. The eight value types which are reflected in the WoWV Model are umbrella descriptors which contain a cluster of values related psychometrically and which group into the defined values types (McCann, 2002a). The eight value types derived - individualism, collectivism, compliance, empowerment, authority, equality, independence and conformity - operate in mutual tension according to the values hierarchy [priorities] of an individual or a group.
Important similarities of the WoWV model with other values research previously discussed include the values hierarchy [priorities] and the values clusters. These concepts have now been defined. For example, values clusters were found to be significant in the Hall-Tonna Values Framework for skills development [rather than individual values] and these were portrayed as values tracks. The WoWV model specifically identifies value clusters in workplace settings rather than a universal concept of values clusters regardless of the setting. Graves (Cooper, 2002), Beck (1999), Hall and Tonna (1995; 1986) referred to emotionally laden words as beliefs and values and collections of important ideas as reference points for values-in-action. McCann has applied a pragmatic approach to these concepts through facilitation using the WoWV model to assist groups of people to form agreed value statements in the workplace. Value statements are expressions of desired end-states; that is, they are the behaviours in the workplace which members of teams want to see enacted. In other words, they are the principles upon which people agree to work with each other.

Researchers have identified a not-infrequent gap between espoused values and tacit values at both the personal and organisational level. “Values are difficult to observe in others, as they are inner concepts often buried in the human psyche and not readily accessible by the conscious mind” (McCann, 2005 p.4). In Learning Organisation theory, this relates to the concept of mental models which underlies the thinking behind the systems which are in place (Senge et al., 1994). People form mental models through the lens of their personal values, learning and experiences. Eliciting a group’s agreed value statements has the potential for resolving conflict in the workplace. This is supported by the research on enablers for the professional development of knowledge workers of the future (Henry, 2004; NSWTAFE, 2004). Henry’s (2004) research identified values as inextricably linked to self knowledge and self awareness. The latter are key personal mastery skills required for the knowledge worker to manage change in these new times.

One drawback in McCann’s model involves the report back to clients on their values priorities as meta-values types without details about the choice of values that might have been selected on an individual basis within that cluster. There
appears little scope for values tracking to be reported. Nevertheless the WoWV model presents a vehicle for engaging specific work groups in the values identification and growth process.

I have reviewed thus far seminal researchers’ findings in the domain of values over the last four decades. There exists a strong correlation regarding theories in levels of human development and evolving levels of consciousness with values development. Since this study is concerned with values inquiry into organisational leadership, a review of literature pertaining to organisational culture from a values standpoint, consideration of workplace values and of leadership development follows.

### 2.7 Organisational culture

Organisational learning and professional development occur within, and are shaped by, the culture of an organisation. Culture is defined by Henderson and Thompson (2003) as “[t]he system of shared beliefs, values, customs…that are transmitted from one generation to another through observed behaviour and learning” (p.19). Values are embedded in the culture of organisations and in the subconscious of individuals (Argyris, 1990; Hall, 1995). Values are the key ingredient for understanding culture and being able to define it within a context.

Employing an understanding of values priorities gleaned from the research presented thus far is one way to understand the prevailing culture of an organisation. An organisation which values profit, productivity and quality [example values priorities] will prefer to operate in a way that prioritises action and behaviour that reflects these values. Another organisation that values innovation, research and learning will prefer to operate in a way that prioritises action and behaviour that reflects those values. For either organisation, if the values that are influencing daily behaviour and actions are not aligned with the strategies employed then performance and results will suffer (Minessence, 2005).

Mike West of the Aston Business School in the UK studied more than 100 companies over an eight-year period comparing the impact of strategy and culture on performance variability. He was able to demonstrate that culture had a far greater influence on performance variability within organisations than strategy. He specifically showed that organisational culture accounted for 17% of performance variability whereas organisational strategy accounted for 2% of performance variability (Neal et al., 2000).
Edgar Schein (1992), a prominent thinker about organisational culture and change, claimed that assumptions from the past which have led to success are now embedded in management behaviour and that these assumptions continue to perpetuate themselves even when they are unproductive. Values inform our assumptions because we make decisions based on our worldview and the values that underlie them (Argyris, 2004; Hall, 1995; Senge, 1990). Schein believed that values inquiry into organisational culture and thereby instituting a values process is the key to enabling a shift in worldview because “cultures begin with leaders who impose their values and assumptions on a group” (Schein, 1992 p.2). Hall termed the outcome of this process a ‘values shift’ (C. Argyris, 1993; Hall, 1995; Schein, 1992). A different cultural expression supported by leadership is required in order for a values shift to occur because culture is “an extension of the leadership that founded it” (Hall, 1995 p.21). In other words, the status quo remains in place unless the leader’s values and the subsequent assumptions about management, leadership and the organisation change to become a shared reality (Dunoon, 2008; Hall, 1995).

Building shared values that leads to a shared vision is one premise of Learning Organisation theory (Senge, 1990). Others include personal mastery and nurturing personal vision; collaborative learning which fosters dialogue; surfacing and improving mental models through examining worldviews and assumptions; and systems thinking. Organisational leaders need to develop these values-based disciplines in order to be successful leaders in these new times and to gain deep commitment from those whom they lead (Senge, 1996). How can this study inform public sector leaders about the skills and tools necessary to foster a Learning Organisation?

There are various mapping tools that have been used in attempts to identify the values and culture of an organisation which can be used as a strategic fulcrum to implement a values process for change. The Hall-Tonna Values Inventory is one such instrument. Barrett (2006) has more recently developed a cultural transformation toolkit designed to assess the perspectives of organisational leaders and followers and to therefore gauge the cultural positioning of an organisation from a values standpoint.
2.8 Richard Barrett’s Cultural Transformation Toolkit

Barrett (2006) is a contemporary values researcher who has combined key understandings about values and values-in-action to develop his cultural transformation toolkit for organisations. Of concern is the fact that he doesn’t attribute his model to any particular theoretical paradigm yet as Table 10 demonstrates his model looks similar to that of Hall, Tonna and Graves. Barrett does, however, acknowledge the influence of spiral dynamics in the assessment instruments he developed purporting to uncover the world views of executives and employees. This assessment procedure was for Barrett an essential aspect of the cultural transformation process he has developed for organisations.

Table 10: Barrett’s allocation of values / behaviours to levels of consciousness

(Barrett, 2006 p.22)

<table>
<thead>
<tr>
<th>Level of consciousness</th>
<th>Motivation</th>
<th>Positive Values / Behaviours</th>
<th>Potentially Limiting Values / Behaviours</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>Service</td>
<td>Social responsibility, future generations, compassion</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Making a difference</td>
<td>Mentoring, volunteer work, environmental awareness</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Internal cohesion</td>
<td>Trust, commitment, honesty, integrity, enthusiasm</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Transformation</td>
<td>Adaptability, continuous learning, accountability</td>
<td>Bureaucracy, arrogance, image, information hoarding</td>
</tr>
<tr>
<td>3</td>
<td>Self-esteem</td>
<td>Productivity, efficiency, personal growth</td>
<td>Blame, internal competition, rivalry, manipulation</td>
</tr>
<tr>
<td>2</td>
<td>Relationship</td>
<td>Open communication, customer satisfaction, conflict resolution</td>
<td>Control, chaos, caution, job security</td>
</tr>
<tr>
<td>1</td>
<td>Survival</td>
<td>Financial stability, profit, employee health</td>
<td></td>
</tr>
</tbody>
</table>

Of interest is Barrett’s notion of potentially limiting values which he believes prevent evolution of consciousness of a person or a group. “Potentially limiting values and behaviours occur when the fear-based beliefs of...leaders, managers, and employees lead to actions that undermine the common good”
(Barrett, 2006 pp.21-23). There is a parallel here with Jung’s ‘shadow side’ of the personality and Hall-Tonna’s ‘dark side’ of values development. He explains that people at level 4 learn to overcome such fears and he subsequently believed there were no more potentially limiting values in the higher order of consciousness thereafter. This level equates with Hall-Tonna’s cycle 4 where the locus of control evolves from an external focus to the ‘inner theatre’ (Kets de Vries, 2003) of an individual. However, unlike Barrett’s standpoint, Jung (Bridges, 1992) and others believe that the ‘shadow’ part of the personality continues as a necessary function of human growth and evolution. This theory appears supported by the relatively new field of quantum physics which purports a negative quantum field associated with every positive quantum field of direction and growth (Arntz et al.; Chopra, 1989, 2003; Demartini, 2002; Nacson, 1998). If Barrett changed his notion of ‘limiting values and behaviours’ to ‘reflective challenges’ as essential for growth towards achieving ‘conscious competence’, his model would align more closely with others in the discipline of values. ‘Reflective challenges’ could identify and accommodate critical learning underpinnings at every level, including those from level 4 onwards.

In terms of organisational success and resilience in these new times, Barrett proposed that ‘full-spectrum consciousness’ needed to be developed; that is, mastery at every level. His model for organisational consciousness is shown at Table 11.

**Table 11: Levels of Organizational Consciousness**

(Barrett, 2006 p.26)

<table>
<thead>
<tr>
<th>SERVICE</th>
<th>7</th>
<th>SERVICE TO HUMANITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>MAKING A DIFFERENCE</td>
<td>6</td>
<td>STRATEGIC ALLIANCES AND PARTNERSHIPS</td>
</tr>
<tr>
<td>INTERNAL COHESION</td>
<td>5</td>
<td>DEVELOPMENT OF A STRONG COHESIVE CULTURE</td>
</tr>
<tr>
<td>TRANSFORMATION</td>
<td>4</td>
<td>CONTINUOUS RENEWAL AND LEARNING</td>
</tr>
<tr>
<td>SELF-ESTEEM</td>
<td>3</td>
<td>HIGH PERFORMANCE SYSTEMS AND PROCESSES</td>
</tr>
<tr>
<td>RELATIONSHIP</td>
<td>2</td>
<td>RELATIONSHIPS THAT SUPPORT THE ORGANIZATION</td>
</tr>
<tr>
<td>SURVIVAL</td>
<td>1</td>
<td>PURSUIT OF PROFIT AND SHAREHOLDER VALUE</td>
</tr>
</tbody>
</table>
Barrett explains that if organisations focus exclusively on the lower order needs such as the pursuit of profit they are usually not market leaders. They will, over time, have trouble keeping employees who are interested in personal development [which is beyond the pursuit of profit]. The resultant organisational climate could become toxic. Conversely, if organisations focus exclusively on the higher order needs such as service to humanity they may lack the essential business skills required to operate effectively. In this scenario, Barrett claims that job satisfaction through productive outcomes will be difficult to grasp. Discourse on ‘reflective challenges’ would assist working through these issues.

The reality of full-spectrum consciousness proposed by Barrett would necessitate a deliberate effort by organisational leaders to plan and effect strategies for each level to be developed. Barrett cites European case studies where his toolkit has been utilised and these indicate a long term approach to building a values-driven organisation. Hall and Tonna’s discovery of values tracking which spans the full values chart is a similar theoretical model in that skills development at earlier stages is necessary in order to reach desired end-states or goals values in the more evolved stages. In other words, Hall and Tonna found that lower order needs reflected in the lower stages of development had to be matured before higher order values could be attained. These lower order values then became part of the foundation values cluster.

Barrett’s model offers a method for mapping organisational culture within a values framework. It can be improved upon as discussed by reframing ‘limiting values and behaviours’ as ‘reflective challenges’ required to be overcome for succession to the subsequent level of awareness. As well, there is an argument for ‘reflective challenges’ at every level and not only at the first four levels as Barrett indicated. Although I have not detailed the actual tools used in his cultural transformation proposal, the toolkit is being used today in some European organisations and has been taken up by the Institute of Executive Coaching based in Sydney.

As this study is concerned with values inquiry into leadership development in workplaces as organisational settings, the next section examines workplace
values more specifically given that organisations are made up of people who bring individual values to the workplace.

2.9 Workplace values

Hall and Tonna, in developing their values framework, discovered that values provided a “rich source of information about the nature of humans and the institutions they create” (Hall, 1995 p.31). Values influence the workplace culture (English, 1999; McCann, 2002b). Schwartz (Schwartz & Bardi, 2001) claimed that values were most likely acquired through socialisation to dominant group values as well as through individual learning experiences and that values functioned as standards for judging and justifying actions (Schwartz, 1994). Studies by Finegan in Canada (Finegan, 2000) and Abbott et al in Australia (Abbott & White, 2005) suggest that organisations which exhibit the same kinds of values seem to generate positive forms of commitment from employees. The Corporate Leadership Council (2004) found that organisational commitment led to an increase in discretionary effort of at least ten percent. They discovered two kinds of emotional-based commitment – affective and normative - which seemed related to positive workplace behaviours such as low absenteeism, higher productivity and less anti-social behaviour. Emotional-based commitment is related to personal values. The other [third] kind of commitment – continuance - was found to be related to values with more tangible outcomes such as openly expressed concerns about pay, conditions and lack of alternatives (Abbott & White, 2005; Corporate Leadership Council, 2004). These behaviours demonstrate value priorities which lie in the institutional domain and which influence short term commitment.

Organisational learning necessitates an appreciable degree of work-based learning and this involves a collection of learning strategies (Billett, 1995). Poell et al (2000) found that the organisational context influences “if they learn, what they learn and how they learn” (p.44). The increased interest in situated learning has brought with it new research, new ideas and new practices (Henry, 2002). What is missing in the literature, however, is discourse on the effect of a values work [values-based approaches] to workplace learning and
organisational life. This is fundamental to sustained learning and development initiatives for the knowledge era. A greater emphasis on gaining emotional-based commitment through utilising values-based approaches appears beneficial.

English (1999) identified a link between strong core values in the workplace and successful, enduring businesses. She promoted an organisational values approach that could drive performance and foster more effective decision-making in individuals. The intended outcome of this approach was to unify staff around a set of core values for enhanced productivity and business success (English, 1999). This hypothesis connects with two of the eight enablers of professional development for the knowledge era that Henry (2004) identified. The first enabler relates to building networks and relationships to foster greater understanding of the organisation from within, to discover the whole organisation by understanding its parts (Henry, 2004). The second enabler relates to connection and identity. Values are seen as a strong enabler for learning and connecting people throughout the organisation, thereby connecting people to the organisation’s fundamental identity (NSW TAFE, 2004).

In contrast, a business with disparate values can be confusing as values are interpreted through an individual’s personal lens (Nanschild & Davis, 2007) in different and varying ways. Organisational values are often superficial in that what is stated is dissimilar to what is enacted (C Argyris, 1993) with the gap between rhetoric and reality causing discomfort and cynicism. The same can occur with individual values where there is a gap between espoused values and values-in-action (C. Argyris, 1993). Argyris has been a leading author in Learning Organisation theory with Peter Senge (C Argyris, 1993; Senge, 1990). They premise five disciplines which characterise learning in organisations - personal mastery, team learning, building shared vision, mental models and systems thinking. Cullen (1999) argues that a major shift in human resource management thinking and practice has to occur in order to support learning organisations. Such a shift is critically dependent on examining sociocultural constraints in the workplace.
Unfortunately, English’s (1999) hypothesis lacks consideration for individual core values and the potential consequences if they do or do not correlate with the organisation’s core values. This alignment or non-alignment of personal values with organisational values would be played out in a workplace setting. McCann’s (2005) view is that people’s behaviour at work can be significantly different to their behaviour outside of work and in his research people demonstrated preferences for both the type of work in which they wished to be engaged and the work environment which offered a particular set of work values. Understanding and acting upon values priorities offers a way to navigate through difficult and complex work relationships. Argyris (2004) described our values priorities as ‘our governing values’ (Argyris, 2004; Christensen, 2008). Hall and Tonna discovered that when values priorities changed, the quality of the values changed; it was as though people reached a higher level of consciousness through, for example, contribution to community endeavours which, in turn, changed behaviour. Their research proved not only that value priorities could change but also that such change brought with it a greater awareness of the self and of others in the environment. It therefore suggests that values inquiry has implications for significant personal and organisational change, the latter being purposefully achieved through leadership development.

2.10 Leadership development

Rapid change is one of the cornerstones of the knowledge era we now find ourselves in. Other critical factors include the rise of the digital age, the increasing speed of communication and the need for knowledge generation and innovative thinking. Emerging matters include the development of ‘working with’ leadership practices which enable people in the organisation to learn, communicate and collaborate. The concept of ‘working with’ opposes hegemonic command and control ‘working for’ leadership practices established for the machine-age industrial era (Nanschild & Davis, 2007). In these new times, there is a critical shift in thinking and understanding about the nature and role of leadership which influences how things get done in organisations. As we near the end of the first decade of the 21st Century, the notion of people serving one another to reach a common goal has inspired the
rise of servant leadership characterised by ‘working with’ leadership practices such as the modelling of resilient interpersonal responses, use of persuasion rather than one’s positional authority to build consensus within groups, and undertaking a commitment to the growth of people (Greenleaf, 1998; Jaworski, 1996; McGee-Cooper & Looper, 2001; Sendjaya et al., 2008). These leadership practices make tangible or overtly demonstrate previously intangible phenomena such as personal values. The surfacing of these intangible phenomena through ‘working with’ leadership practices is the vanguard for transformational change in organisations and the people who work within them (Nanschild, 2008a; Nanschild & Davis, 2007; Russell, 2001). It is “the personal values of servant leaders [that] distinguish them from other leader types” (Russell, 2001p.76). In a workplace shaped by values-based leadership, the goals and values of the people who work there directly influence the organisation’s goals and values, with the ultimate purpose of meaningful alignment (O'Brien, 1998). Such a workplace holds the promise of being a ‘leaderful’ organisation.

Late twentieth century folk are caught in a storm of conflicting values. Ethnic eruptions, crises du jour, and ecological uncertainties cloud the future. Like clashing weather fronts, political, technological, economic, and social forces are spawning windshears and tornadoes over the global marketplace. Most executives, like airline pilots using today’s technology, have been caught by surprise in the downdrafts. Neither our business gurus nor our social forecasters had prepared us for the turbulence. Nothing has arrived to set our altimeters or tune our compasses, much less equip us with a means for regaining control...values, complexity, and change have new meanings (D. E. Beck & C. Cowan, 1996 p.23).

Professional development for organisational leaders must take into account all of these imperatives as we transpire towards a knowledge economy. Since the 1990s the world has witnessed the collapse of multi-national companies such as Enron, HIH and more recently sizeable financial companies which negatively impacted upon the Gross Domestic Product of countries, ultimately causing a deepening worldwide financial crisis. The concept of individualistic heroic leadership (Bissett, 2008) has proved fallible and fatal. There is a sense of disquiet about executive leadership with leaders “feeling off-balance without understanding why” (D. E. Beck & C. Cowan, 1996 p.23). New questions have emerged (Dunoon, 2008; Greenhalgh, 2008) in the wake of the 2008 global crisis. “Able leaders [should be] sharply awake and reasonably disturbed” (Greenleaf, 1998 p.6). Even the concept of ‘authentic leadership’ (Goffee &
Jones, 2006), cultivated from the transformational model (Greenhalgh, 2008), is not unproblematic. ‘Authenticity’ is a highly individualised concept (Lips-Wiersma & Algera, 2008) and being authentic does not necessarily result in transformation (Greenhalgh, 2008). However, authenticity is an essential ingredient in the recipe for transformational leadership (Greenhalgh, 2008) which is situated within a robust post-heroic leadership paradigm (Lips-Wiersma & Algera, 2008) mooted for these new times. There is a growing realisation as the 21st Century unfolds that no one individual nor organisation has all of the requisite expertise to lead (Bissett, 2008) in an increasingly complex, ambiguous and changing world. Staron and colleagues (Staron et al., 2006) describe these times as:

[C]haracterised by impermanence, turbulence, multiple competing agendas and priorities, diversity in ideologies, ambiguity, multiple roles, irritations, uncertainty and contradictions and a great amount of energy and creativity. It is also the ‘intangible era’, where instead of goods and services the growing economic commodity is knowledge itself (Staron et al., 2006 p.23).

“New times produce [and demand] new thinking” (D. E. Beck & C. Cowan, 1996 p.23). Contemporary leadership development compels the construction of a ‘leader’ identity (Carroll & Levy, 2008; O’Brien & Gosling, 2008; Sinclair, 2007) to encompass personal development through self-awareness, self-knowledge (Carroll & Nicholson, 2008) and identity work which enables the ability to work with ‘ambiguity, paradox and contradiction in both a cognitive and embodied manner’ (Carroll & Levy, 2008 p.2). The imposter syndrome (Kets de Vries, 2003), experienced by many executives in a new leadership role, dissolves in a post-heroic paradigm as the focus shifts from an individualistic approach to a ‘way of being’ (Greenleaf, 1998). As we transition to alternative ways of ‘knowing, seeing and being’ (Bissett, 2008), one’s personal identity as a leader is challenged through the emergence and alignment of ‘multiple leader identities’ (O’Brien & Gosling, 2008). O’Brien and Gosling (2008) argue that three important identities need to be developed in parallel for successful leadership practice in the workplace. In addition to the [number one] personal, they claim that leaders have to be perceived as such by members of the organisation [number two] and that they need to be linked to a ‘future leaders group’ within the organisation [number three]. The second identity advances the concept of leadership as intricately linked with
followership. This notion supports ‘working with’ leadership practices which are contrary to the heroic solo leader portrayed in frontier adventures and mimicked by outdated ‘command and control’ industrial-age styles of leadership. There is a growing recognition that the symbiotic relationship between leader and follower (Hasel et al., 2008) is primarily a social construction (Yapp, 2008). However, Turnbull and Edwards (2008) challenged this perspective because of the scholarly focus on positional leadership with a western and American-centric flavour. They instead advocated for shared leadership and building ‘networked capability’ within and across cultures (Turnbull & Edwards, 2008). Sarros et al (2006a) promote the concept of leaders and collaborators. Conversely, Hall and Tonna (1995) and Graves (D. E. Beck & C. Cowan, 1996; Graves, 1974) found that leadership was relevant to a group of followers when the leader modelled the values-in-action of followers but became irrelevant if it was too far removed from a group in terms of its values constructs (Hall, 1995; Hall et al., 1986). They also found that if the critical mass of followers’ thinking was more developed than the leadership offered, that leadership could only take control through force or intimidation and eventually more complex thinkers would leave or revolt. They demonstrated that the values dynamic had a significant function in understanding and then establishing and maintaining a successful leader-follower relationship.

O’Brien and Gosling’s third identity, membership of a future leaders group, resonates with belonging to a community of practice (Lave, 1991; Mitchell et al., 2001; Wenger, 1998) where development within the context or situation is recognised as a powerful way of learning. Fostering a community of reflexive leadership practice within the locales and culture in which the leader operates (Raffanti, 2008) has the potential to influence collaborative learning practices to cascade throughout the organisation and provide a model for situated learning to take effect (Billett, 2001; Raffanti, 2008; Smith, 2002). This concept is in keeping with peer collaboration advocated by Hall and Tonna as necessary for dealing with changing paradigms or worldviews on the global stage. ‘Paradigms are grinding against each other like tectonic plates...stretching our capacities for self-management’ (D. E. Beck & C.
CHAPTER 2: LITERATURE REVIEW OF THEORETICAL VALUES FRAMEWORKS

Cowan, 1996 p.23). There a growing academic cohort who support engagement in metaphoric thinking for leadership development (see for example Grisham, 2006; Mezirow, 1991; Raffanti, 2008; Schon, 1993; Srivastva & Barrett, 1988) as a means for embedding the type of situated learning which is vital for transformation.

Continued rapid globalisation has raised some enquiry about competencies for global leadership and this has become a highly contestable arena (Mendenhall et al., 2008; Morrison, 2001; Turnbull & Edwards, 2008). Turnbull and Edwards (2008) argue for the development of ‘worldly leadership’ which encompasses a plurality of world views, in particular the pursuit of wisdom to include ethics and action (Gosling & Mintzberg, 2003; Mintzberg, 2004; Rowley, 2006; Turnbull & Edwards, 2008). This concept is in alignment with the Hall-Tonna model where leadership development of a higher order transcends nations and seeks to advance a ‘new world order’ (Hall, 1995). Such development involves maturation of a person through key values constructs including ‘wisdom’, ‘integrated insight’ and ‘human rights’. “The idea of Worldly Leadership [as a school of thought] focuses on traditional leadership wisdoms, in both the developed and developing worlds, to identify perspectives beyond the North American and European frames” (Turnbull & Edwards, 2008 p.6). Given the recent breakdown in corporate leadership and the global financial collapse, Worldly Leadership requires ethics as its foundation with commitment to developing “ethical leaders who embody their values in all that they do and promote” (Werhane, 2007 p.433). Thus leadership development returns to the concept of ‘a way of being’ such as that promoted through the servant leadership model. However, in the Hall-Tonna Values Framework, leadership must transition to a collaborative style before it can mature to a servant leadership style.

‘The emerging leadership challenge is in developing the personal qualities to succeed in collaboration and co-operation in cross-cultural, cross-agency and cross-national contexts” (Cox & Warn, 2008 p.2). At the fundamental level, leadership development is about building the capability in people which, in turn, builds the capability of organisations. It involves individual commitment and necessitates collaborative learning practices. Collaborative leadership
entails the development of skills, knowledge and expertise in building and managing productive working relationships, a fundamental premise to ‘working with’ leadership practices which enable people in the organisation to learn, communicate and collaborate.

In these new times there is an additional and unique leadership challenge related to managing a multi-generational workforce. This is the first time in history where there are five generations\(^7\) in the workforce. Such challenges include strategic planning for long-term outcomes with a workforce that has a short-term future outlook; hierarchies giving way to team-based structures that often include people of all ages; and designing organisational learning initiatives around collaborative learning which can foster the increased speed of communication. Figuring out how to blend incoming generations with experienced workers is a necessity. The more leaders understand the unique characteristics and motivators of each generation, the more successful will their efforts be to gain the best from their entire teams. With the changing demographics of Australian society and its workforce, the notion of values-based approaches to leadership might also play a significant role towards retaining and nurturing the workforce of the future.

Hall and Tonna (1995) found that leadership of people was the major factor in personal transformation and that it was leadership style which defined the way in which an individual influenced others. “Any style of leadership is the consequence of the values of the individual leader in relationship to the [organisational] setting and its membership” (Hall, 1995 p.165). Colins and Chippendale (1995) make the point that highly successful organisations are comprised of people who are aware of their personal values and of how these relate to the values of the organisation. In such settings, values are conscious motivators. Effective leaders are able to draw on people’s values as a way of encouraging them (Dunoon, 2008; Minenessence, 2005; Ras, 2008) but they must

\(^7\) The ‘Baby Boomer’ generation comprises of two generations, with ‘Generation Jones’ being distinctly different in core values and behaviour than their older siblings. This generation was born in 1954-1964. Nanschild, D. 2004. Colloquium Proposal: Values-based situated learning and implications for organisational change, Faculty of Education, Unpublished Colloquium, Deakin, Geelong.
first be aware of their personal values and their alignment with the organisation’s values as a precursor for successful motivation of others. This concept has been summarily expressed as ‘using their values compass’ to find and align with their true north (George et al., 2008; Henderson, 2004). Beck and Cowan (1996) refer to the leaders required for these new times as ‘Spiral Wizards’ meaning ‘wise leadership’, people who can link the past with the present and future and who possess a unique blend of personal beliefs and values. Hames (2007) refers to this leadership literacy as ‘futuring’, the ability to stand in the future and to hold that vision as a guide in the leadership of people and organisations. Bragdon (2006a) augments this concept through his proposal for ‘Living Asset Stewardship’ where the role of leaders is to primarily serve, in a servant leadership manner, the professional growth of people working not just within the organisation which employs them, but within the network that is its community of professional practice (Bragdon, 2006a; Davis, 2008).

Organisational leaders of the times must navigate through a myriad of complex scenarios and circumstances and past assumptions about leadership are no longer functional or useful. What is needed is a new epistemology of leadership with a praxis that differs in levels of thinking and identity to create a new vanguard of leadership consciousness which motivates ‘leaderful’ leadership practice. Values-based approaches to leadership development offer a methodology to guide the transformation of people and organisations in these new times.

2.11 Organisational transformation through new leadership practices

Organisations must undertake a range of strategies and learning solutions which will meet the professional development needs of their people both now and into the future. Successful businesses and services have been found to include collaborative self-help approaches such as mentoring, learning networks and the use of diagnostic and psychometric tools in their training profile. Mentoring, like the other examples given, is a proven way of learning in the workplace. Coaching, as an external collaborative learning strategy, has
experienced a rapid rise in recent times due to the positive benefits and outcomes from such a partnership. Mentoring is different to coaching in that it may encompass a wide variety of attitudinal, strategic and planning skills for long-term application whereas coaching might focus on improving an individual’s performance of specific tasks in the short term. Coaching has become the executive GPS of our time and has the potential to shift people to make better use of their wisdom, creativity and intelligence in the workplace and beyond. Bridges (2000) acknowledged that leaders needed coaching themselves before they could effectively coach others (Bridges & Mitchell Bridges, 2000). Turner, Barling, Epitropaki, Butcher and Milner’s (2002) findings supported other researchers who found that leaders high in moral reasoning were more likely to assume a mentoring or coaching role within organisations than “leaders with less sophisticated moral reasoning” (Turner et al., 2002 p.305). These researchers also found that such leaders exhibited transformational leadership behaviours and suggested appropriate leadership development included ethics education. I extend this argument further in the next section.

In the future, ‘power’ will be held by those who control knowledge (Toffler, 1990) although our knowledge can sometimes ‘exceed our wisdom’ (D. E. Beck & C. Cowan, 1996). However, it is values that are at the heart of the knowledge revolution (Hall, 1995). Values are complex and deep, powerful and subtle, but difficult to surface (Abbott & White, 2005; Argyris, 2004). The literature suggests that values are the key to personal and organisational success. Leaders need to reflect upon the values they hold, to re-examine their assumptions, and to choose values that will drive an organisation and its people into the future successfully. Values-based leadership traits include engaging people in work that is meaningful to them and which provide a sense of purpose. Senjaya (2007) suggests this trait to be a form of spiritual leadership, achieved through building a sense of mission, making workplaces meaningful to the people who work there, and acknowledging the importance of human interconnectedness rather than the fragmentation of life experienced under old management paradigms. Owen (2000) is also a proponent of spiritual leadership and its relevance in the transformation of organisations. He links
‘spirit’ with a passionate and compelling vision of the future that drives people and organisations (Owen, 2000). Fostering a sense of being involved in something more than one’s self can augment the capacity to join others in a trusting relationship (Hasel et al., 2008; Sendjaya, 2007). The alignment of one’s self and one’s work can contribute positively to an intrinsically satisfying and fulfilling life, one that is ‘spiritually’ rewarding such that the internal self and the external world are connected. Cultivating a spiritual relationship has been attributed as a pathway towards developing servant leadership characteristics (Sendjaya et al., 2008). It is a different way of seeing leadership and is a natural outcome of all the other leadership literacies for the knowledge era (Hames, 2007).

The literature suggests that a major paradigm shift is occurring towards a more collaborative form of leadership. Argyris (1990) calls this Model II thinking and behaviour (Argyris, 1990) which parallels ‘working with’ leadership practices advocated in this study. He explained that Model II governing values included obtaining valid information, creating conditions for free and informed choice, and accepting personal responsibility for one’s actions (Christensen, 2008). Such processes encompass double-loop learning where the assumptions and values underlying actions are examined and new hypotheses tested through consciously changed behaviour. Argyris believes that leaders can learn to identify the inconsistencies between espoused and actual values-in-action and take different action based on this understanding. His famous ‘ladder of inference’ (Senge et al., 1994) is a useful tool to examine this process. The capacity to critically reflect on one’s practice (Densten & Gray, 2001b) is a necessary leadership literacy.

Sarros et al (2006b) believed that the failure of leaders was mostly due not to a lack of leadership skills per se but to character-related issues. They developed a model for measuring and developing the character of leaders which they stated was fundamental to transformational leadership. Their fifteen character attributes, made up of clusters of values [virtues], are organised into three dimensions – universalism, transformation and benevolence. They have used Schwartz’ (Schwartz & Bilsky, 1990) value constructs of universalism and benevolence and Bass’ (Bass & Steidlmeier, 1999) concept of transformational
leadership. The researchers have linked character-led leadership with virtuous [values-based] behaviour. Changing the behaviour of individual leaders, managers and organisational members is not only fundamental for transformation but is perhaps the most difficult aspect of the process. Kotter (2006) advocates an eight step approach for successful transformation that leaders need to take, beginning with creating an urgency of the need for change (Kotter, 2006). Kets de Vries (2003) advocates leadership as energy management and Kotter refers to ‘energy unleashing leadership’ that moves beyond a visionary leadership model to help people “tap into, and be drawn together in trust, by healthy [high integrity] values” (Kotter, 2003 p.38). ‘Working with’ leadership practice is not about managing change but leading change (Kotter, 1996) and it begins with the self. It is widely accepted in the literature that transformational leadership incorporates a ‘central core of moral values’ (Bass & Steidlmeier, 1999; McDougle, 2007 p.12; Sarros et al., 2006b), utilises elements of transactional leadership which is known as basic management (J. P. Kotter, 1990; McDougle, 2007; Turner et al., 2002), and involves followers identifying with the leader’s purpose and vision as their own (McDougle, 2007; Sendjaya et al., 2008). It seems apparent that transformational leadership has at its core a values understanding.

2.12 Ethical dimension of leadership

In the previous section I alluded to Turner et al (Turner et al., 2002) advocating for ethics education as an essential component of the suite of professional development programs required for transformational leaders in these new times. Although sometimes used interchangeably, ‘values’ and ‘ethics’ are not the same thing. To be ethical requires a values-base that is ultimately ‘for good’ such as trustworthiness, honesty, fairness and integrity (Solomon, 1992) whereas an individual does not necessarily hold an ethical stance simply because s/he has a set of values. Ethics and ethical values tend to be better understood as a subset of values in general (Kernaghan, 2003).

Ethics is the discipline which guides behaviour within a broad framework of a particular population under which we might think and act (Hall, 1995; 2003). Everyone within that population, be they research scientists, medical
practitioners, teachers or public servants are expected to know and to hold the minimum values priorities to ‘lead a creative rather than a destructive life for themselves and for those they influence’ (Hall, 1995); that is, to live to one’s maximum potential. Ethics represent the minimum values that everyone within a particular population must agree to (Hall, 1995). They are agreed codes of behaviour adopted by particular group members (Henderson, 2004).

The ethical dimension of leadership refers to right decisions and actions combined with good intentions, and accompanied by moral correctness of behaviours (Gonzalez & Guillen, 2002 p.152).

There has been a growing interest in the link between moral reasoning and ethical leadership (Turner et al., 2002). Bass (1998) and Turner et al (Turner et al., 2002) argue that transformational leadership is related to high levels of moral reasoning which underpins cognitive moral development. Kohlberg (1981, 1984) proposed cognitive moral development as a staged process of reasoning determined largely by an individual’s interaction with their social environment and their growing repertoire of perspectives and problem solving skills gained from life experiences. Bridges & Mitchell Bridges (2000) made the link between leaders high in moral reasoning and those who assumed coaching and mentoring roles. There are other theorists who have made similar links (see for example Dukerich et al., 1990; J. W. Graham, 1995; Lichtenstein et al., 1995) between ethical leadership and a sophisticated level of moral development. Turner et al (2002) were able to extend this understanding through their research.

In line with moral development theory…leaders with more complex moral reasoning will be able to draw on more sophisticated conceptualizations of interpersonal situations, are more likely to think about problems in different ways, and are cognizant of a larger number of behaviour options…leaders with more complex moral reasoning are more likely to value goals that go beyond immediate self-interest and to foresee the benefits of actions that serve the collective good (Turner et al., 2002 p.305-6).

It appears that the ethical dimension of leadership is a necessary condition for successful transformational leadership. An understanding of one’s own values and how they influence behaviour and moral decision-making is fundamental to the practice of ethical leadership and an ability to generate trust amongst followers is a critical attribute (Gonzalez & Guillen, 2002). High levels of trust cascade from quality values-in-action designed to have a positive consequence.
CHAPTER 2: LITERATURE REVIEW OF THEORETICAL VALUES FRAMEWORKS

for all involved in the organisation’s enterprise. I will explore this concept further in the next chapter regarding ethics in public sector administration.

2.13 Conclusion

Research of and in the values domain has been studied for over 30 years in an effort to understand their importance and impact. Such studies have been both qualitative and quantitative in their analyses and global in their collective reach. This review of the literature has produced some key understandings about the nature and function of values which provide a theoretical framework for the study. Firstly, values are drivers of behaviour; they underlie who we are, inform the decisions we make and provide motivation for the actions we take. Secondly, values can be hierarchically ordered according to the relative importance we place on them. Thirdly, values are dynamic; they interact as a triage of past, present and future values-in-action. Fourth, values appear to operate as clusters not in isolation. Fifth, values can be classified as goal values or means values and there is a direct link between maturation of values and the attainment of goal values with skills development [means values]. Sixth, there appears to be known cycles of development in current existence that equate to levels of evolved consciousness. Importantly, this theoretical framework relates to both individuals and organisations. This study is premised upon these understandings and is explored further in chapters 7 and 8 which report on the outcomes of the research.

The literature review provides a compelling argument that values work has the potential to instigate significant personal change because it begins with the self. Knowing one’s values position as a leader is critical for understanding what drives their behaviour and the behaviour of others including peers and followers. The literature promotes the use of a self diagnosis tool to surface individual values as a values-based approach to learning and development.

After careful consideration of the three major pillars of values research presented in this chapter I have chosen the Hall-Tonna Values Framework [HTVF] as the research instrument. Although each pillar of values research can provide a self diagnosis tool, the HTVF can also provide leadership understanding and development from a values inquiry. Secondly, the HTVF
can provide an equivalent diagnosis of organisational documents and allow communication analysis. This is important for data triangulation. Thirdly, the HTVF provides values definitions which the other research methods do not except for the AVI. However, the AVI is part of a private enterprise’s intellectual property and is not available as an independent research tool. Fourthly, the HTVF synthesises with the Graves’ Model, another well known self diagnosis values tool used in the health field. Overall, the HTFV provides a useful link between values, skills development and leadership style and holds the potential to guide the research participants in their individual values journey as organisational leaders. This is a form of professional development shaped by the study.

The literature is convincing in that a values inquiry into leadership development is a worthy investigation for sustainable organisational development in these new times. If organisational leaders are exposed to such values-based professional development programs which include an ethical dimension in their pursuit of leadership development, the warranted assertion is that important personal change will take place which will ultimately affect leadership practice which in turn will impact upon the way an organisation is governed. Such development, the literature maintains, is potentially transformational. What then is the extent to which a values shift is possible for public sector leaders within an eight month research project focused on an action research in-situ exploration?

Whilst the majority of values research over three decades has been conducted outside of Australia, my site of enquiry is the Australian Public Service which includes government departments and agencies and statutory authorities. The current Australian Public Service Values Framework has a set of values and a Code of Conduct which do not adhere to any theory of values development presented thus far in the literature review. The next chapter is therefore devoted to a review of literature specific to public sector administration and the Australian Public Service.
CHAPTER 3: REVIEW OF LITERATURE SPECIFIC TO THE AUSTRALIAN PUBLIC SERVICE

3.1 Introduction

The focus of this study is a values inquiry into leadership in the Australian Public Service [APS] and explores links between values, ethics and leadership development in public sector administration in Australia. The review of literature in the previous chapter suggests that there is a dynamic relationship between values-based work, ethical leadership and the transformation of people and organisations. This chapter positions values work in the APS context by firstly reviewing the APS Values and Code of Conduct which sets the scene for public sector administration in Australia. A comparison is made between these values and those of other countries with Westminster-style governments using four categories of public service values. Secondly, consideration is given respectfully to the literature on values and ethics in educational administration and then in public sector administration. Discussion on moral development and higher order values are brought to attention as necessary attributes to cultivate an ethical orientation. A key correlation made between educational and public sector administration is the requirement for ethical leaders to be able to facilitate values discussions.

Government reform and the influence of ‘New Public Management’ [NPM] on public sector administration with its emphasis on efficiency, effectiveness and ‘value for money’ under an economic rationalist milieu is woven throughout the chapter culminating in a section devoted to its success or otherwise to modernise the public service. This discussion precedes an overview of the top APS leadership tier, the Senior Executive Service [SES] which was introduced as an NPM initiative under the Howard government and the consequent demands placed on their role and function. The chapter concludes with reference to change in the public sector as it might be understood using a values dynamic theoretical framework from the previous chapter. As well, ethical leadership in public sector administration derived from sound values inquiry is posited as an appropriate way to move forward in these new times.
Before launching into a review of the literature specific to the APS, the key research questions that arise from the literature reviewed in chapter 2 and which set the scene for this thesis need examination.

3.2 Research questions

The literature on values theory and development in the previous chapter provided a compelling argument that values work has the potential to instigate significant personal change because it begins with the self. Knowing one’s values position as a leader is crucial for understanding what drives their behaviour and the behaviour of others including peers and followers. If organisational leaders are exposed to values-based professional development programs which include an ethical dimension in their pursuit of leadership development, the warranted assertion is that important personal change will take place which will ultimately affect leadership praxis and impact upon the way an organisation is governed.

The key research question for this study was to therefore examine the sorts of changes that might be possible in public sector administration if organisational leaders engaged in values-based professional development. Specifically, this values inquiry considered the following research questions.

What are the values priorities of senior executives in the public sector?

What is the relationship between these values and the espoused values of the employing organisation?

Are there values differences at this interface and if so, what are they and how are they managed?

What is the extent to which a values shift is possible within an eight month research project focused on an action based in-situ exploration?

What might successful values-based approaches in public sector administration look like?

These questions were intended primarily to provide orientation and focus for the research direction and the action research professional peer learning group.
The research questions posed are issues fundamental to organisational learning for leaders in the Australian Public Service which purports to have a values orientation. As such they are linked to performance for sustainability in the new millennium age of knowledge; that is, in these new times.

A study about values in public sector administration necessitates a degree of scrutiny regarding the Australian Public Service [APS] Values and its associated Code of Conduct.

3.3 Australian Public Service / APS Values and Code of Conduct

The previous chapter outlined numerous studies on values-driven initiatives and development, none of which influenced the development of the values framework under which the Australian Public Service [APS] has been operating since 1999. The revised Public Service Act 1999 had, for the first time, legislated for a set of APS Values and a Code of Conduct to guide the behaviour of public servants and the leadership of public sector agencies. However, several studies have shown (Australian Public Service Commission, 2005; MacDermott, 2007) that more than half of the employees in these agencies may not have experienced ethical leadership from their senior managers. Ethical leadership is linked to moral development and associated values-in-action which extend beyond self interest to the collective good. Moreover, there was a substantial gap in perception reported between the rhetoric and the reality of the APS Values and associated Code of Conduct (MacDermott, 2007; Wanna, 2005).

The introduction of new models of organisation and administration (Management Advisory Board & Management Improvement Advisory Committee, 1993) which reformed the Australian Public Service under the Howard government [from 1996] changed the behaviour of public sector organisations and their leadership. The overall aim was to improve the flexibility and responsiveness of the APS through devolution of authority and accountability to agencies. This was a New Public Management [NPM] initiative. The bipartisan restructure of the statutory basis of the Australian Public Service [APS] to accommodate this shift in responsibility and the
evolution of the APS Values as “a means of promoting a unified public service” (Kernaghan, 2003 p.713) took a decade that included various reviews pertaining to reforms of the public service and of the Public Service Act 1922.

In 1993 the Management Advisory Board [MAB] proposed six key public service values (Management Advisory Board & Management Improvement Advisory Committee, 1993; Nanschild, 2008b) followed by the McLeod Review in 1994 (Management Advisory Board & Management Improvement Advisory Committee, 1993; Minns, 2004; Wanna, 2005) which was first to raise the notion of ‘a shared set of values’ suggesting six key attributes that government expected of its public service. The Public Service Merit Protection Commission proposed ten values (Public Service Merit Protection Commission, 1997) which ultimately became the basis of the APS Values in the Public Service Act 1999. The Public Service Commissioner at the time, Dr. Peter Shergold, advocated that the character of the public service was defined by its values; however, the values themselves were being ‘chopped and changed through the unfolding legislative processes’ (Wanna, 2005) and its length and inclusiveness reflected extensive parliamentary debate (Kernaghan, 2003).

Member of Parliament, the Honorable Peter Reith, then Minister of Industrial Relations, proposed a new Public Service Bill 1997 that for the first time linked broader public service values to a Code of Conduct (Wanna, 2005). Although unsuccessful as a piece of legislation when first presented in 1997, the Public Service Bill (Public Service Merit Protection Commission, 1997) played a critical role in the advancement of the APS Values and Code of Conduct. It linked broader public service values to a Code of Conduct for the first time. This was seen as ‘enabling legislation’ that devolved most functions, powers and responsibilities to agency heads (Wanna, 2005), a move to put into action the ‘new managerialism’ agenda. The Bill now listed eleven separate values that were short and succinct. Although this Bill was not passed by Parliament, these eleven values became the basis of the fifteen statements of values which were passed in the Public Service Act (1999). David Kemp, then Minister for Education, Training and Youth Affairs and Minister Assisting the Prime Minister for the Public Service, reintroduced the Bill in 1999. Being identical
to the 1997 Bill, negotiations between political parties with some union influence ensued and amendments to the proposed public service values were accepted. Thus the APS Values and Code of Conduct\(^8\) were built into the new public service legislation for the first time.

Kernaghan (2003) examined the APS Values and Code of Conduct as part of his study into the content and format of values statements in four Westminster-style governments - Australia, New Zealand, United Kingdom and Canada. He found that “several of the [values] statement’s fifteen provisions contain more than one value…and the code contains a mix of values” (Kernaghan, 2003 p.713). He proposed dividing the total field of values which reflect public service into four values clusters or categories as per the Canadian model which emerged from a Task Force Report (Canadian Center for Management Development, 2000) summarised in Table 12.

Table 12: Categories of Public Service Values

(Adapted from Canadian Center for Management Development, 2000; Kernaghan, 2003)

<table>
<thead>
<tr>
<th>Ethical</th>
<th>Democratic</th>
<th>Professional</th>
<th>People</th>
</tr>
</thead>
<tbody>
<tr>
<td>Integrity</td>
<td>Rule of Law</td>
<td>Effectiveness</td>
<td>Caring</td>
</tr>
<tr>
<td>Fairness</td>
<td>Neutrality</td>
<td>Efficiency</td>
<td>Fairness</td>
</tr>
<tr>
<td>Accountability</td>
<td>Accountability</td>
<td>Service</td>
<td>Tolerance</td>
</tr>
<tr>
<td>Loyalty</td>
<td>Loyalty</td>
<td>Leadership</td>
<td>Decency</td>
</tr>
<tr>
<td>Excellence</td>
<td>Openness</td>
<td>Excellence</td>
<td>Compassion</td>
</tr>
<tr>
<td>Respect</td>
<td>Responsiveness</td>
<td>Innovation</td>
<td>Courage</td>
</tr>
<tr>
<td>Honesty</td>
<td>Representativeness</td>
<td>Quality</td>
<td>Benevolence</td>
</tr>
<tr>
<td>Probity</td>
<td>Legality</td>
<td>Creativity</td>
<td>Humanity</td>
</tr>
</tbody>
</table>

Whilst universal agreement is unlikely to be reached on what public service values should be, Kernaghan stipulated that the most important thing was that each government’s formal values statements be concise and capture the essence of its public service. “The challenge is to decide whether values should be included from each category and, if so, which values” (Kernaghan, 2003

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8 The complete list of the APS Values and the Code of Conduct is in Appendix 7.
Jun (2009) also warned that because countries differed in their political, institutional and cultural constitution that they needed to critically analyse the values and reform strategies pertaining to their particular make-up.

Kernaghan divided the fifteen APS Values statements into the four values clusters as shown in Table 13 which resulted in the extraction of twenty five values overall.

Table 13: Public Service Values in Australia’s Values Statement
(Kernaghan, 2003 p.716)

<table>
<thead>
<tr>
<th>Ethical</th>
<th>Democratic</th>
<th>Professional</th>
<th>People</th>
</tr>
</thead>
<tbody>
<tr>
<td>High ethical standards</td>
<td>Apolitical</td>
<td>Professional</td>
<td>Free from discrimination</td>
</tr>
<tr>
<td>Honest</td>
<td>Accountable</td>
<td>Merit-based</td>
<td>Sensitive to diversity</td>
</tr>
<tr>
<td>Fair</td>
<td>Impartial</td>
<td>Effective</td>
<td>Courteous</td>
</tr>
<tr>
<td>Responsive to government with frank, comprehensive, accurate, and timely advice</td>
<td>Workplace communication, consultation, and cooperation</td>
<td>High quality leadership</td>
<td>Fair and equitable</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

It appears from Kernaghan’s analysis that the APS Values are heavily reliant upon professional values which signal significant influence from a ‘New Public Management’ movement at the time when the Howard government were attempting to introduce private sector practices in public sector administration. This ethos introduced business practices into the public arena, such as strategic plans with mission, vision and values statements amongst other business processes. The Australian Public Service Commission [APSC] has issued various guidelines, information and tools to assist agencies to embed the APS

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9 This concept is explained further in the section on New Public Management and the introduction of the Senior Executive Service in the Australian Public Service.
Values in practice (see for example Australian Public Service Commission, 1995, 2005, 2006).

For example, the indicators for an apolitical, impartial, and professional public service are that the agency [1] establishes systems and structures enabling it to provide a clear and sufficient analysis of all relevant issues and options; [2] has systems to monitor the effectiveness and quality of its advice to the government; [3] can demonstrate that its advice is objective, impartial, and timely; and [4] has clear, accessible systems in place to facilitate the fair and timely resolution of concerns, including those relating to political influence (Kernaghan, 2003).

Several agencies articulated their values within the framework of the APS Values; however, the APSC have advised against agency-specific values taking the place of the APS Values as a whole (Australian Public Service Commission, 2005, 2007; Kernaghan, 2003). Kernaghan suggested that Australia focus its efforts on integrating the long list of values into its systems, structures and processes in order to make them work. The APSC have attempted to do so with questionable success. He recommended a coherent statement of values which promoted a better understanding of the core public service values for individual public servants and as a foundation for agencies to build their own values regimes (Kernaghan, 2003). This advice is opposite to agency instructions issued by the APSC regarding the APS Values in the public sector. Reference to the APS Code of Conduct indicates that much of the Code translates the APS Values into concrete action statements to guide decision-making.

3.3.1 Summary

While the Public Service Act 1999 is underpinned by the Public Service Regulations 1999, both are remarkably briefer than the predecessor legislation, the Public Service Act 1922. The objectives of this new legislation was to move to an easier to follow, principles-based approach for public administration (Management Advisory Board & Management Improvement Advisory Committee, 1993) and away from one that had become complicated and unworkable in striving to have rules and regulations that prescribed for
every time and place. Such a complicated, convoluted approach also encouraged some people to rely on black letter law and to hunt for loopholes; that is, to meet only the letter of the law and not its spirit. A principles-based approach was intended to encourage public servants to take an ethically higher road that not only met the letter of the law but also the spirit of the law. As previously discussed, principles are more like guidelines rather than values. An ethical approach requires more substance and grounding in values which elicit moral reasoning.

Before looking at ethics and public service administration, a consideration of values and ethics in educational administration deserves some attention. Amongst key authors and researchers which include Begley (1999b) and Starratt (1999b) who were discussed in chapter 2, a predominant model frequently referred to in this field is Hodgkinson’s Values Model. I will discuss this model first and then consider awareness about moral leadership with regards to leadership in educational administration.

### 3.4 Values and ethics in educational administration

Could the relatively new research on values and ethics in the field of educational administration (Begley, 1999b) illuminate further understanding about the nature and function of values in public sector administration? Beck (1999) believed that an understanding of values in the school context can help educational administrators in their leadership. Whilst school education is an important focus for leadership values, the school context of itself is too narrow for this thesis. I am interested in exploring education at a professional level, most particularly adult learning in a workplace context. Nonetheless, there are some correspondences with educational administration.

For instance, Hodgkinson (1982, 1983, 1991, 1996, 1999) is a key contributor to values in the educational administration field. His values model focuses on the basis for motivation for adoption of particular values and beliefs. He proposed a five-tiered Values Model \([V1 – V5]\) to explain how the will of individuals shifts in direct proportion to the power relationships at play. This model is summarised in Figure 8.
At the V1 level, Hodgkinson (1982) maintains that “...the lesser individual wills are...[the more] psychologically disempowered” individuals will be (p.30). The values held at this level are derived from self reflection and self revelation which are ‘inseparable from education of the will’ (Hodgkinson, 1982 p.36). V1 holds the ‘value-phenomenology’ of the individual, one’s personal values which Hodgkinson states need to be surfaced for development of self mastery.

There is tension between each level which needs to be addressed in order to move through the values stages. Hodgkinson claims that a shift to the V3 level occurs as it becomes increasingly important for individuals to identify with the organisation. They do so through group affiliation at the V2 level. This notion parallels Maslow’s theory about individuals needing a sense of belonging. Hodgkinson extends this further by claiming that the organisation dominates individual will because of the reliance on the income they derive from working there. The primary relationship of the individual at this level is to the organisation and not to society at large as organisations become the place where people come to know and feel secure [or insecure] about ‘who they are’ (Sinclair, 2007 p.132). Hence the potential for the organisation’s values to over-ride the individual’s values and to cause the genesis effect which Hall and Tonna found.
Thus far it appears that Hodgkinson’s theory validates the majority of the values research and theoretical frameworks cited in the previous chapter. His views on leadership development are not unlike those already premised in that leaders need to know who they are (Hodgkinson, 1982) and critically review their identity and the roles they play in institutional settings. As Sinclair (Sinclair, 2007) maintained, “good leaders are those who reflect upon themselves as individuals, honestly and insightfully, particularly in relation to where they are leading people and why” (p.128). This search for identity is not the only requisite for leadership; however, it is an imperative in educational administration to understand identity work as a negotiated process at the V3 level because leadership identity occurs “within a politically charged organisational and social space” (Sinclair, 2007 p.128).

Lakomski (1999) equated leadership to ‘effective administrative practice’ (p.68) and suggested that there was no one theory of leadership. She critiqued theories of leadership without providing an alternative to contemporary understanding about the construct of ‘leadership’ although she did believe that effective leadership practice could reside at any level within organisations. The literature seems to imply that leadership of schools is about organisational management and not about the leadership of innovative teaching and teachers.
This is a paradox shared in public sector leadership by those who default in their senior role to the regulations and not to leadership of people in their agencies.

Although critical of claims that leadership development makes organisations more efficient, Lakomski linked effective leadership when in place to high morale which in turn she linked to high productivity. Evers (1999) takes the concept of high morale further as a construct of ethical leadership having moral value. “Ethical knowledge is acquired in the same way as other practical knowledge, mainly through learning from experience in complex, shifting context-bound circumstances” (p.97). He advocated for the development of a Code of Practice to guide educational administrators in the process of interpretation of situations and events which necessitate a certain level of ‘cognitive elitism’ demanded of moral leadership.

Beck (1999) recognises the complexity of values and promotes the importance of holding an ethical vision informed by guided values inquiry. This notion is of interest to this thesis. He warns educational administrators not to regard ‘moral values as absolutes’ (p.227) but as the means towards achieving well-being in the educational context. This includes well-being for people, the workplace environment and in institutional life. He advocates for values inquiry as an important part of moral development and believes that it is necessary for everyone to be engaged in the process because personal experience is a fundamental ingredient for learning.

This thesis does not disagree with the theoretical premise of values and ethics in educational administration but thus far they fall short of supplementing what is already known and understood about values and ethical leadership presented in chapter 2. Educational psychology also has an equally important body of knowledge which is tangential to this thesis. What is clear is that the domain of moral development and ethical leadership, for the purposes of this thesis, is applicable to both educational and public sector administration.

Beck’s (1999) standpoint for moral leadership in educational administration was that leaders needed to be able to facilitate values inquiry which produced values insight into the context under discussion.
CHAPTER 3: REVIEW OF LITERATURE SPECIFIC TO THE AUSTRALIAN PUBLIC SERVICE

The facilitation an administrator provides in value matters may include making time available for value inquiry in the school and ensuring that people [staff, students, parents and others] who have special interests and abilities in particular value areas have the support they need to ‘take a lead’. Being a good facilitator in values does not require having superior value wisdom, any more than being a good basketball coach requires being able to play basketball better than all [or any] members of one’s team (p.211).

One of the essential attributes of an ethical leader is the ability to facilitate values discussions.

3.5 Ethics and public service

To recap from the previous chapter, ethics is the discipline which guides behaviour within a broad framework of a particular population under which we might think and act (Hall, 1995). Ethics are agreed codes of behaviour derived from a particular set of values priorities held by a particular group of people. The profession of public service administration in Australia has the APS Values and a Code of Conduct which has not been derived from consultation with public servants for whom it was legislated. One of the APS Values states that public servants will have ‘the highest ethical standards’ (Australian Public Service Commission, 1999b) and certainly there is a need to be operating ethically. This includes maintaining the ethics of the agency, the ethics of decisions made [based on values] and the ethics to uphold the standards of public service.

Leadership in the public sector has some special characteristics, especially in terms of accountability (Australian Public Service Commission, 1999a; Cote, 2007; Jones, 2006) and ethics (Australian Public Service Commission, 2008b; McDougle, 2007). Not only are leaders expected to model values-based behaviour, they are increasingly required to develop what Kernaghan (2003) terms ‘the art of values management’. The leadership environment, being increasingly complex, requires “that leaders rely more than ever on personal and corporate values, an awareness of their personal preferences, and their inclusive communication and relationship building skills” (Cote, 2007 p.20). Public sector leaders need to balance their understanding of the broader policy environment and its political implications with notions of the public interest.

Meeting the challenges of 21st century public sector leadership seems reliant upon a values-based approach with ethical, democratic, professional and
people values (Cote, 2007) at its core. As recently as 2007, there were claims featured in public administration journals, news media, related seminars and press conferences (Fenton-Menzies, 2007; Marr, 2007) that the Australian Public Service under the Howard government had become more politicised despite the Secretary of the Department of Prime Minister and Cabinet and head of the public service at the time, Dr. Peter Shergold’s claims otherwise (Lowe, 2007; Shergold, 2007). If we refer to Table 13, the basis of these concerns must in some way have been grounded in a lack of democratic values-in-action. There may be several reasons for this perception. Having to respond to a growing number of constituencies with conflicting goals has put increasing pressure and expectations on public servants (United Nations Department of Economic and Social Affairs & International Association of Schools and Institutes of Administration, 2007 p.11). We live ‘in an era where high profile lapses by public-sector leaders in ethical and moral judgement are frequently exposed’ (McDougle, 2007 p.2) and this has led to a certain scrutiny of the ethical responsibility of those in public service. Public administration is a complex environment.

McDougle (2007) explored the relationship between the ethical values and expectations of public servants and the values associated with theories of leadership, including transformational leadership. She defined leadership as “actions which influence and direct the performance of others towards the achievement of organizational and/or collective goals” and ethics as “an internal set of moral codes and reasoning” (McDougle, 2007 p.2). She advocated for an integrated approach to public sector leadership which incorporated ethical considerations and a core set of moral values, essential for genuine transformational leadership. Further, she found that effective ethical public sector leaders are likely to encompass elements of both transactional – basic management – and transformational leadership, the latter being focused on higher order intrinsic needs of followers and leaders.

McDougle’s standpoint is in alignment with the review of literature in the previous Chapter about leadership, ethics and values. Both McDougle and Kernaghan agree that values-centred leadership is an essential requirement for ethical public sector administration. However, in the pursuit of an ethical
public service there have been other competing demands placed on public sector leaders to provide cost-effective and efficient service delivery under the new public management principles born through global economic competition.

3.6 New Public Management [NPM]

The introduction of ‘new managerialism’ to the public sector in the early 1990s in Australia was an attempt by the government to modernise public sector administration based on private sector practices. A strong emphasis was placed on improving efficiency, modernizing management techniques and on structural reform and decentralization of public services. Australia was not immune to the sweeping global changes that a growing knowledge economy caused. Other countries including Belgium, Scandinavia, Canada, the United Kingdom and New Zealand introduced new public management [NPM] reforms at a similar time in history (Jun, 2009).

NPM reforms were popularized under the banner of reinventing government challenged by global economic competition with an emphasis on economic rationalism (Singh, 2003). Management strategies imported from a commerce and business paradigm reflected values associated with economic profit and structural efficiency. Citizens became customers (Jun, 2009), decisions were made based on ‘value for money’ and ‘return on investment’ principles, government services were debatably outsourced (Osborne & Gaebler, 1992) and quantitative performance management assessment became central to the structural devolution and decentralization of agencies (Jun, 2009). The new paradigm for public sector administration was based upon a view that a government service could be run like a business.

There were unintended consequences of this first generation of public sector administrative reform. Role ambiguity and single-agency foci for specialised services added further complexity to public administration. Other criticisms included the excessive degree of managerial autonomy given to heads of government agencies, for example, and the discontinuity of a coordinated public service (Christensen & Laegreid, 2006). The conventional ethos of public service was undermined by a values system purporting to gain efficiencies through business practices that were profit driven. Unless a values
framework was presented as an alternative ethos to public service under the NPM philosophy, these reforms could not be successful (Peters, 2001) and there was general agreement about this lack of success (Christensen & Laegreid, 2006; Dunn & Miller, 2007; Ellison, 2007; Jun, 2009; Singh, 2003).

A second generation of reform known as post-NPM and primarily developed in Europe (Dunn & Miller, 2007) advocated for recentralization and re-regulation, whole-of-government initiatives, elimination of role ambiguity and for private/public partnerships in market-driven enterprises (Jun, 2009). The triple bottom line of financial, social and environmental became a quadruple bottom line to include governance (Bragdon, 2006a) with concerns for environmental sustainability introduced in decision making processes. However, the imposition of fiscal austerity (Ellison, 2007) remains top of the agenda. Not only does fiscal restraint drive political and therefore public policy but it is recognised by politicians as the central political platform in general elections.

NPM and post-NPM reforms raise questions about whether public services could have been improved without them (Jun, 2009). These reforms were based on economic rationalism and quantitative performance indicators as though citizens and public servants who were implementing the reforms could be regarded as numbers and cogs in the machinery of government. A common assumption was that human behaviour and actions could be changed by structural and regulatory reform imposed by others and that employees [public servants and contractors] acted with ambivalence towards their own values system.

No matter how well designed structures are, the effective collaboration of human activities ultimately depends on employees’ interpretation and understanding of their assigned roles, and even creating and learning to reframe their role conceptions in the context of the organization, culture, and people (Jun, 2009 p.164).

The shift in ethos of public sector administration as a consequence of NPM and post-NPM has a direct effect on the values systems under which people operate. Governments of today are being faced with domestic and global challenges on a scale we have not previously experienced. Role ambiguity is inevitable and employees will have to draw upon their own set of values to manage the increasing complexity of public sector administration. Yet there exists expectations that public servants will be motivated by external variables.
such as accountability, trust and performance that NPM and post-NPM demands. As Jun (2009) states, it is an individual’s internal motivation, their values and beliefs that will determine how they act. A high degree of accountability, for example, ultimately depends upon an individual’s personal commitment. Values such as ‘trust’ are difficult to cultivate under NPM and post-NPM economic rationalist performance measures. Dunn and Miller (2007) conclude that it is difficult to reconcile the meaning of public sector administrative reform with matters of public ethics surrounding the purpose of democratic government.

Democracy is more complicated than it may first seem. It’s not simply a matter of everybody having the vote, although that’s important. It’s also a question of how the leaders behave, how the followers behave towards their leaders, what kinds of climate these people find themselves in, in terms of resources internally and internationally. Democracy is a form of organization that can allow people to flourish or it can lead to demagoguery and violence and internal strife (Susan Madsen in Keohane, 2011 p.11).

The role, capability and influence of leaders in public sector administration are important to the achievement of effective democratic governance. The key leadership tier in the Australian Public Service which was introduced under the NPM is the Senior Executive Service [SES]. The next section examines the role and functions of the SES and considers their responsibility and accountability to uphold an ethical public service.

3.7 Senior Executive Service [SES]

The designated leadership band for the Australian Public Service is the Senior Executive Service [SES]. Amongst their accountabilities and responsibilities under a devolved public service, the SES has a duty to uphold and maintain the APS Values and Code of Conduct in their leadership of agencies. Despite this expectation, recent State of the Service Reports (Australian Public Service Commission, 2008b, 2010) have identified bullying, harassment and questionable application of the merit principle as key issues around the performance of agencies. There has been a concerted effort by the Public Service Commission to embed the APS Values and Code of Conduct across the public service yet these behaviours remain. They have been identified before as areas of concern, resulting in a range of publications (Australian Public Service Commission, 2006) to address them. If ethical leadership is desired in public
service administration, how could it be implemented and what conditions would cultivate its growth?

Kernaghan (2003) indicated that prescribed values statements such as the APS Values are not sufficient. Effective values management requires values statements that are shared at all levels of an organisation and leaders who consider and instigate actions according to the following four questions:

1. Where are we now?
2. Where do we want to be?
3. How do we get there?
4. How do we make it happen?

The successful integration of values into public service requires values-centered leadership. “Leaders must serve not only as exemplary models of values-centric behaviour but also as skilled practitioners in the art of values management…drawing others into a common vision by appealing to their values, interests, hopes, and dreams, and setting the example by behaving in a manner that is consistent with shared values” (Kernaghan, 2003 p.718).

When the values are prescribed by a different ‘profession’ for others, in this case by politicians for the public service, emulating those values-in-action on a consistent basis can be difficult. It would appear that a critical skill for the Senior Executive Service [SES] is to bring together the individual hopes, dreams and values of public servants working together in particular government agencies and meld them into a shared purpose and vision that is in accord with the values of politicians who actually do not work in that environment. In fact there would at times be conflicting views on policy and its implementation. If the successful integration of the APS Values requires values-based leadership, what kind of professional development does the SES need to support them in this role? How do they develop values-centered leadership as Kernaghan suggests? How can they uphold the APS Values and Code of Conduct and make it meaningful to followers particularly when different perspectives might be held? These and other questions guide the research. As well there is a further implication that the SES will manage cultural change in the public sector by doing so.
3.8 Public sector culture and change

Thinking about the values dynamic and other knowledge-based intangibles is one approach to interrogate conflicting world views because values serve as a bridge between the past, present and future. It has been acknowledged in the literature in chapter 2 that the intangible cultural shifts necessary to move agendas forward, be they managerial, organisational or societal, have historically been shown to be the hardest shifts to make.

Anthropologists use social data and models from the past to provide a frame or a context for the future. The details of millions of years of history and hundreds of societies reveal patterns. When you understand these patterns of the past, culture is often the last system to adapt. Vestiges of old beliefs hang on long after the technological, economic and demographic systems have changed (James, 1996 p.22).

The values dynamic - foundation, focus and future values – is a useful way to analyse the possibilities for cultural change in the public sector as it relates to values-based leadership. I begin with a discussion on foundation values.

*Foundation values* lie in the history of people and organisations. Management futurists like Drucker (1999) and James (1996) employ pattern recognition—looking back to history—as a way of predicting the patterns of the future (Drucker, 1999; James, 1996). History tells us that when significant shifts occur affecting the social fabric of society—the invention of the printing press, the industrial or information revolutions, for example—we as a society initially carry on with established ways of doing things. It took 58 years, for example, after the invention of the printing press for a non-biblical text to be printed (James, 1996).

The APS Values and Code of Conduct was an important first step to determine what the government would like the APS and its employees to exhibit and achieve. The Australian Public Service is representative of the diverse Australian culture and people from many backgrounds who come to work in the APS. They bring with them their own diverse cultural norms and values that they learned in their formative years from their parents and the culture they grew up in. Their diverse cultures probably have similar core values but they may have some major differences in non-core areas. For example, in some cultures offering gifts and hospitality to government officials for doing their
job is normal and rude to do otherwise. Similarly, it is bad manners for officials to refuse these offers. Hence, people from these backgrounds have a cultural conflict with a concept that most of us would see as bribery and contrary to the APS Code of Conduct [avoid seeking to gain a benefit] and values [highest ethical standards]. Getting employees to internalise the APS Values and Code of Conduct – to bridge the gap between the values they first bring to the workplace and the values or norms that the organisation or agency demands – is an important first step to building foundation values.

Values-based leadership in the public sector has been written into legislation and framed public administration documents for over a decade now but has yet to make any significant impact upon the behaviour and culture of the public service thus far\(^\text{10}\).

Whilst history is a salient indicator of change, our focus values influence our day-to-day operations. Foundation values that have not been fully developed or matured will distort our focus values lens, such that we cannot move beyond the day-to-day operations to ‘see’ a possible vision of the future. Even today we see examples of the cultural lag described above by James (1996) in the proliferation of a government regulatory framework underlined by an economic rationalist worldview\(^\text{11}\) that is mired in outdated control mechanisms more symbolic of the machine-age. Increasing reliance on compliance and surveillance in the latter years of the Howard government is an example of attempts to control order in an increasingly complex global, networked and information rich world. This behaviour is an example of regression under pressure to outmoded foundation values, diverting energy from thinking about the true purpose of governments, the Public Service, learning institutions and


individuals for the future. As indicated in chapter 2, ‘working with’ leadership practices with a spotlight on intangible success factors such as values are an appropriate leadership skill for moving this agenda forward.

*Future values* provide the motivation for developing new skills because they reflect the future aspirations of individuals, groups, organisations and communities. *Future values* clarify vision and have the potential to pull us into the future because they represent a vision worth aspiring to. This point is summarised succinctly by Hall and Joiner (1992) where they state that “leadership development begins with visioning. Each time we rethink our view of the world, new value priorities emerge” (Hall & Joiner, 1992 p.23). An example of future values-in-action can be seen in the effort of the 25% of public sector organisations actively facilitating the careers of aspiring leaders-to-be (Hay Group, 2007) in a revolutionary era of demographic change. Given that 70% of the current SES will retire over the next decade\(^ {12} \) with ‘a skills set not easily transferable to the next generation of leaders’ such initiatives are imperative because without them, a shortage of quality leaders will accompany the already obvious signs of a looming shortage of public servants.

In exploring perceptions of the SES in the Australian Public Service in relation to current and future leadership demands they face, Wyse and Vilkinas (2004) found that there was a dominant emphasis on efficient management of the internal operations of the organisation rather than on the creation of a sense of identity with future direction and purpose or indeed on translating organisational vision into priorities and goals. The continued dominance of efficiency in management can be attributed to an economic rationalist milieu and may not contribute to enhanced organisational effectiveness (Wyse & Vilkinas, 2004).

For future *values-in-action*, public sector leadership needs to become increasingly dynamic, balancing task and relationship management (Australian Public Service Commission, 1999a) with providing inspiration and vision. It is my warranted assertion that values-based approaches to leadership will provide

\(^{12}\) Statistic provided by the Australian Public Service Commission at the CEDAC [Leadership Assessment Centre] Courses, 2007
CHAPTER 3: REVIEW OF LITERATURE SPECIFIC TO THE AUSTRALIAN PUBLIC SERVICE

the public sector with the leadership it requires for these new times. ‘Leadership literacies for the knowledge era require leaders to be aware of and surface underlying values, assumptions and ideologies that are in play and understand how leadership practices affect production in a knowledge-intensive economy’ (Davis, 2009).

If, as Tait (1996) suggests, “nothing is more important for the future of the public service values than the quality of leadership at the top levels” (Tait, 1996 p.52), questions arise about strategic pathways for successful leadership development and retention. For a public service to reflect excellence and quality leadership, having effective leaders and ‘infusing the values inherent in effective leadership into the organizational culture’ (Cote, 2007) is a requisite. As the public sector moves towards realising its future values, the focus values will shift and change as well.

3.9 New directions

After nearly thirteen years, 2008 witnessed a change in the government of Australia with an ‘ambitious and far-reaching reform agenda’ (Australian Public Service Commission, 2008b). The Australian Public Service is in transition in terms of direction and context as it shapes and responds to changing expectations and transformational imperatives in a growing global knowledge economy. Knowledge workers in the public service today face increasingly complex tasks (Cote, 2007). For the public sector to fully leverage knowledge work and knowledge workers in these new times, a change of mindset and more salient ‘working with’ leadership practices are crucial. To gain competitive advantage in a knowledge-based economy the golden capital (Davis, 2008) of workers needs to be recognised, harnessed and leveraged.

Golden Capital is another way of describing the intangible value of people and what they bring to their work as the key driver of growth and prosperity for enterprises operating in a knowledge-intensive economy. Included in this umbrella term are the notions of human, social and intellectual capital. I coined this term (Davis, 2008) upon reflection of the increasingly important role of the gold collar worker (Davis, 2006)—another way of describing knowledge workers—and the intrinsic value of human and social and intellectual capital as separate but interrelated intangible assets crucial to the knowledge intensive enterprise. Golden Capital is a term that gives a sense of how precious all intangible assets embedded in—and inseparable from—people are as drivers of growth and prosperity in a knowledge economy. This almost imperceptible shift in now describing the value and range of intangible assets more simply as Golden Capital gives leaders of knowledge-intensive nations and enterprises as well as organizational development theorists the means to surface and describe the
often unspoken issues arising from developing and encouraging productive use of human, social and intellectual capital (Davis, 2008 p.142).

Acknowledging and utilising values-at-work as a leadership practice is an appropriate way to work forward (Nanschild, 2008b, 2008a) because these practices consider intangible phenomena such as the impact of personal values.

The Australian Public Service Commission [APSC] has also identified that the comprehension of new ethical challenges facing the APS in these new times is a priority for the public service. These challenges include ‘quality and consistency of ethical decision-making’ and capability to be able to ‘anticipate and manage emerging ethical issues’ (Australian Public Service Commission, 2008b). Shifting political, economic, business and social conditions have highlighted the need for effective ethical leadership (Baker, 2006; Bass & Steidlmeier, 1999; Bird, 1999; Cohen & Eimicke, 1995; Ethics Resource Centre, 2007; Fenton-Menzies, 2007; Goffee & Jones, 2006) with discourse emerging on the concept of creating a culture of ‘ethical excellence’ (Cohen & Eimicke, 1995) in organisations. Workshops and conferences on the themes of governance, ethics, values and leadership are increasingly being conducted for the public sector (see for example www.liquidlearning.com.au; www.apsc.gov.au; www.leadership-institute.com.au) with the intention of facilitating and maturing an ethical and integrity-driven culture. These are indeed new times.

### 3.10 Conclusion

Despite the introduction of the APS Values and Code of Conduct into public sector administration over a decade ago, values research in the Australian Public Service [APS] has been limited. Unsavoury behaviour such as bullying and harassment which were intended to be addressed by the Code of Conduct have continued to occur (Australian Public Service Commission, 2006). This Chapter outlined how the APS Values and Code of Conduct came into being as a political instrument rather than an emergence from any values theory-in-action as described in chapter 2 and perhaps why, despite all efforts to embed them in the Australian Public Service, they have not succeeded.

The New Public Management [NPM] agenda drawn from commerce and business paradigms has not been as successful as proponents of this ‘new
managerialism’ had wished. Post-NPM initiatives continue to push fiscal austerity and economic rationalist policies into public service standards and delivery. There exists a tension between the values of public service and the values of a post-NPM paradigm. As the top tier of public sector leadership, the Senior Executive Service must navigate through these competing values systems to provide sound ethical leadership in these new times.

More recent discourse on educational and public sector administration identified through the literature indicates a conscious shift towards ethical leadership based on moral values with leaders having both transactional and transformational leadership attributes. An important question raised in this chapter is the issue of ethical leadership in public sector administration and how it might be fostered in organisational leaders of today. The review of literature in the previous chapter suggests that there is a dynamic relationship between values-centric work, ethical leadership and the transformation of people and organisations.

As a values inquiry into leadership in the Australian Public Service [APS] this study explores the links between values, ethics and leadership development in public sector administration in Australia. The research questions are concerned with the sorts of changes that might be possible if members of the Senior Executive Service [SES] were engaged in values-based professional development. The next chapter outlines the participatory action research methodology used in this study which acted as a vehicle for professional development and the research methods employed to elicit understanding about the values priorities of senior public sector administrators and the interface between these and the values of the employing organisation and the Australian Public Service.
CHAPTER 4: METHODOLOGY

4.1 Introduction

As a values inquiry, this study investigated values-based approaches to leadership development as an action research exploratory project. My position as researcher was primarily to facilitate an action research group of senior executives from the Australian Public Service [APS] in their quest for improving their leadership and their learning. Membership of the action research group was invited through two advertisements published in the Canberra Times. Originally ten people self selected to be involved which later became a group of eight and although I had previously worked with four of the participants, only two people had met each other before.

Two of the key characteristics of action research which suited this study is that it aimed at ‘improving the subject of the study’ (Kock, 2005 p.ii) in this case organisational leaders, and its applicability for generating knowledge pertaining to the researched community; that is, the Australian Public Service. The chapter therefore begins with discussion about action research methodology and its usefulness to this research project on values, ethics and leadership development in public sector administration in Australia. Consideration of my position as the researcher and facilitator of the participatory action research group follows and an overview of the participants themselves is provided.

The action research period lasted eight months, during which time a number of inputs to the study were utilised that held the project together and introduced a language tool for values dialogue amongst the action research group members. Using the Hall-Tonna Values Framework, these inputs included an individual pre-test to generate individual and composite group values profiles; document analysis on each organisation represented by the research participants; document analysis on the 2005 State of the Service Report and the APS Values and Code of Conduct; and an individual post-test to measure any value shifts that had taken place through immersion in the study. These were comparative quantitative analyses supported by other inputs that included professional
readings and an understanding of the Window on Work Values model and research.

Given that this thesis is a study in the values domain, ethical considerations are a necessary concern. Chapter 2 highlighted how the notion of values has long been a contested space with the term itself being a value-laden word. The concept of ‘values work’ means working with intangible yet powerful motivators and drivers of behaviour in a conscious way. Chapter 2 also elicited the potential impact of values work upon individuals and their work environment as transformational. Confidentiality in handling information and in not disclosing the identity of the participants is not the only aspect of an ethical orientation to this study. What are the ethical considerations that an action research methodology raises? The research methods used in the study are discussed in this light.

**4.2 Action research**

Action research is participatory in nature and entails gathering evidence in a systematic fashion to investigate practice, ideas and assumptions (Kemmis & McTaggart, 1988). The main purpose of action research is to improve practice or the situation in which the practice takes place (Deakin University, 1988) and to involve (Grundy & Kemmis, 1981) those engaged in the practice. This study meets these criteria. The purpose of the study was to improve leadership effectiveness within the Australian Public Service and to involve senior executives engaged in that practice.

The collaborative action research group formed at the outset was pivotal to the study’s function and purpose. Action research was the most suitable methodology for several reasons. The study was about relationships in the workplace and involved the human system that makes up organisations. It was open ended with respect to the consequences of any proposed change (Susman & Evered, 1978) and efforts to apply values-based leadership practices required reflection and opportunities to communicate potentially different interpretations and meaning.

Participatory action research [not always by that name] frequently emerges in situations where people want to make changes thoughtfully – that is, after critical reflection. It emerges when people want to think “realistically” about where they are
Hodgkinson (1957) cited group interaction as an important characteristic of action research. By its very nature, action research is a social activity which necessitates a collaborative approach to bring together groups of people who wish to better learn from their experience and to share their experience with others (Brown et al., 1982; Kemmis & McTaggart, 1988). The study met these conditions for action research. The group met on five occasions; they worked through, reflected upon, reported back and evaluated strategic initiatives they trialled as part of the action research process in their respective organisations as well as the impact these had on their leadership style. Reason and Torbert (2001) explain this strategy as ‘second-person research/practice’.

Second-person research/practice starts when we engage with others in a face-to-face group to enhance our respective first-person inquiries...In a co-operative inquiry, all those involved in the research endeavour are both co-researchers, whose thinking and decision-making contributes to generating ideas, designing and managing the project, and drawing conclusions from the experience; and also co-subjects, participating in the activity which is being researched...As co-researchers they participate in the thinking that goes into the research – framing the questions to be explored, agreeing on the methods to be employed, and together making sense of their experiences. As co-subjects they participate in the action being studied. The co-researchers engage in cycles of action and reflection: in the action phases they experiment with new forms of personal or professional practice; in the reflection phase they reflect on their experience critically, learn from their successes and failures, and develop theoretical perspectives which inform their work in the next action phase. Co-operative inquiry groups thus integrate the four forms of knowing – experiential, presentational, propositional and practical (Reason & Torbert, 2001 p.14).

Immersion in the study was predominantly a qualitative and dynamic experience for the research participants shared as peers in a collaborative manner. They participated as both co-researchers and co-subjects in this co-operative inquiry on values, ethics and leadership, the outcomes of which are presented as a composite narrative in this thesis. A key feature of action research is this staged dynamic process of developing a plan for improvement or change, acting to implement the plan, monitoring and observing, and evaluating through reflection (Brown et al., 1982; Kemmis & McTaggart, 1988) after which new planning takes place. The research participants in this study worked through, reflected upon and reported back on the implementation of strategic initiatives either developed collaboratively as a group or as part of their personal values action plan. Anticipated changes in strategy that emerged through evaluation in the research group were then trialled within each participant’s field of leadership practice which generated new data for
evaluation. The aim was “to bring together discourse and practice [in one dimension] and construction and reconstruction [in the other] so that improvements in practice and in understanding [could] be made systematically, responsively and reflectively” (Grundy & Kemmis, 1981 p.324). Grundy and Kemmis purport that the spiral of action research continues through review and improvement, hence action is strategically constructed by those involved, requiring practical judgement that is informed by personal knowledge and experience.

The action research group undertook a continual cycle of reflection enhanced by theory, learning and development (Raelin, 1997) such that the action research became a dynamic iterative process. Every action research group meeting was taped and transcribed and each participant received an electronic copy of these transcriptions. The transcriptions were approved as true and accurate accounts of the group’s deliberations and formed a record of the dynamic action research process. This method is in keeping with Susman and Evered’s (1978) acknowledgement that action research was agnostic because “the objectives, the problem, and the method of the research must be generated from the process itself, and that the consequences of selected actions cannot be fully known ahead of time” (Susman & Evered, 1978 p.590). The collaborative action research group did not know what the outcomes would be of their efforts until they applied them in the workplace. This occurred between the group meetings. Participants reported on the effect and progress of the values-based strategies they employed in the group meetings that followed their implementation.

Action research was also chosen because it afforded participants the opportunity to reconstruct the meaning of the social situation under study through group/peer discourse which provided the basis for the new plan; they subsequently authenticated the research outcomes through their active participation. Baker (1996) explained this process as one of ‘social constructivism’ with the intention to provide understanding through ‘pattern recognition and meaning in context’ (p.49), a valid mode for values inquiry. Leonard (1999) promoted values inquiry in context as an approach to inform leadership praxis. He recognised that moral development must involve the
‘democratic process of collaboration and negotiation’ (Leonard, 1999 p.272), key elements that an action research methodology allows.

Action research is concerned with future orientation (Susman & Evered, 1978), innovation and change, probing into a future as yet unknown and undefined (Grundy & Kemmis, 1981). The study set out to discover what values-based approaches might look like and if indeed they could influence leadership development in ways that might positively impact upon organisational change. The research participants were interested in creating a more desirable future for themselves as organisational leaders. Further, using an action research methodology offered the opportunity to review a problematic situation and generate new knowledge about system processes (Susman & Evered, 1978) through interaction within a group setting.

The key research question examined the sorts of changes in the Australian Public Service that could be achieved with a values-based approach to leadership development and this necessitated action research participants to be from senior executive ranks. Since senior executives of the Australian Public Service regularly interact with their peers both within their respective organisations and across the public sector, the research has presumed that the participants possess the attributes and experience required to critique the context for this study and to engage in reflexive practice. A personal level of commitment to openly question assumptions and worldviews with conscientiousness to improve their professional practice was also essential. As well, the capability to critically self-reflect proved an indispensable proficiency for this group of learners-in-action. Critical reflection as an adult learning principle is an evocative means for leaders to gain genuine understanding (Densten & Gray, 2001a) about themselves and their role. Action research is also directed towards the development of skills and competencies (Susman & Evered, 1978) which the participants in this study had hoped to achieve. Such reflexive practice is fundamental to action research methodology and provided the cornerstone of this project.

4.3 Position of researcher

The researcher position in action research is usually as an ‘insider’ within the organisation under study with the underlying assumption to improve practice
(Workman, 2007). Hayano (in Singh, 2004) however reconciled the position of researcher to be at any point along a continuum rather than act as an ‘insider’ or ‘outsider’ permanent placeholder. His criteria for ‘insider’ research considered two conditions: firstly, that the researcher has intimate knowledge of the subject area and secondly, that s/he is accepted as a member of the community in which the research is taking place (Singh, 2004 p.21).

As the researcher, I held both an ‘insider’ and ‘outsider’ position. As an ‘insider’, I had previously worked as an employee for nearly two decades in the South Australian Education Department and held positions of leadership in various roles in educational administration. Since my move to Canberra over a decade ago I have had the privilege of closely working as an executive coach with many senior executives in the Australian Public Service [APS] in their role as public sector administrators and I have facilitated workshops and learning programs throughout the APS. I developed an intimate knowledge of the issues and challenges that the SES leadership tier faced and gained the trust and confidentiality of this community of people over the years. It is possible that two of the participants who were previously known to me joined the study because I was the person facilitating it. Nevertheless, in the first meeting each participant articulated their own reasons for being involved.

My ‘outsider’ position considers the fact that I am not an employee of the APS but instead work to the APS in a consulting capacity. I regard my researcher position, however, as a ‘practitioner researcher’ (Robson, 2002) rather than purely an ‘insider’ or ‘outsider’. It was my inside knowledge of the Australian Public Service that directly led me to this study which was in itself explicated from my experience of working at this level, overlaid with an understanding of the culture and history of the context under scrutiny. I had to be [and was] authentically connected to the research participants, and to their world, to build the necessary rapport and trust needed at a personal level with the research participants themselves. I needed to have established a sound reputation for working with senior executives in Canberra, the capital city of Australia, to engender their commitment to the study and their trust to undergo psychometric testing and analysis. In many ways I held a unique researcher position.
In the first meeting and as part of the conversation about confidentiality and trust, I clarified my role as facilitator of their learning [and mine] with my researcher position. I presented the research questions underpinning the study and asked them to help me to understand how values work could impact upon their leadership development and ultimately effect organisational change. Part of my role as facilitator was to orchestrate their individual contributions into a coherent whole, to follow meeting principles and to seek clarification when required. I was facilitating an inquiry process in which others were engaged. Part of my role as researcher was to find answers to questions they raised [where applicable]. For example, as the study got underway their interest in learning and understanding about the values methods being used deepened. I was learning with them. Often I had to find more information for the participants in between our meetings as the action research progressed and as outcomes were emerging. I facilitated an inquiry process where others were daily engaged in the setting of the study, the Australian Public Service.

As researcher, I wanted to know the participants, what they believed, what their values were and how this impacted upon their leadership style. As facilitator, I made a conscious effort to limit my influence and contribution. I continued to ask questions to help participants synthesise their thinking and understanding in much the same way as I did in my executive coaching capacity. However, I acknowledge that it is difficult to maintain a position of ‘no bias’ when familiarity with the participants increased and enthusiasm grew as developments took shape. Singh (2004) sums up this difficulty for researchers in discussing their capacity for detachment.

The strength of a researcher’s identification with the subject of study is significant but always complex to fathom. After all, if one is prepared to invest a significant amount of their life in pursuing a doctorate, one would expect some degree of emotional attachment to the area of research. It is particularly so where that experience has been characterised by achievement both within an establishment and outside [of] it (Singh, 2004 p.22).

As a researcher in the values domain, I was mindful about the degree of influence that I might place on the interpretation of the data being collected and the challenge to present a critical standpoint as the study unfolded. In an effort to understand the potential prejudice that my personal values may hold I also completed the Hall-Tonna Values Framework [HTVF] before the action research began. This gave me insight into my personal values lens. The HTVF
revealed my goals values priorities as ‘Knowledge/Insight’, ‘Equality/Liberation’, and ‘Self Actualization’ with a collaborative leadership style at cycle 5. Skills for development [means values] were identified as ‘Communication/Information’, ‘Unity/Uniformity’ and ‘Congruence’. It appears that my values profile suited my position as researcher and facilitator. This values profile reflects a high motivation towards purpose [in life and/or work] and the need for interdependent action associated with it. This was my values position.

It is difficult to maintain an ‘outsider’ position in action research. As the research progressed and the data emerged, I shifted into the action research participant role for short bursts to engage with the data to glean information. I provided support as facilitator but I also ‘dipped in’ as researcher as part of the action research reflection cycle. My values position was influenced by the focus group discussion as I considered the experiences being shared, the success of the strategies being trialled and the knowledge being generated about values work in public sector administration.

I had commenced a reflective journal where I recorded my thinking and responses to the literature. Once the action research period began and transcriptions of interviews and focus group meetings were generated and verified by research participants, my journal became less relevant. I had the meetings independently transcribed and these transcriptions became the data. Email correspondence in between group meetings enabled further thinking and clarification on this data.

4.4 Ethical considerations

Since the action research methodology involved interviews and group meetings formal ethics approval was required from Deakin University Ethics Committee. This was granted in early 2005. The issues of confidentiality and integrity of the data were dealt with in a number of ways.

Firstly, participants were called through a public expression of interest advertised over two months in the Canberra Times Informant13. I did not

13 A copy of the advertisement for research participants is in Appendix 8.
canvas for recruits and in fact I actively discouraged participation from two members of the Senior Executive Service who were personally known to me. I was concerned that their participation could potentially skew the results.

Once expressions of interest were received I sent a package of information about the study to prospective participants. This included information about the research and how the emerging results would be handled\textsuperscript{14}. I obtained formal permission through their signature on the official forms provided\textsuperscript{15}. Examples of the interview questions they could expect were also provided with the information package\textsuperscript{16}.

Issues regarding confidentiality were openly discussed at the beginning of the first meeting and verbally endorsed by each participant. I reiterated my processes for maintaining confidentiality and my obligation and commitment to keeping their identity anonymous. It was understood that the group were co-researchers together. We established agreement about how the group would operate which included confidentiality about group members and their respective organisations. A couple of participants could be identified if their employing organisation was mentioned outside of the group [being smaller agencies with only 2 or 3 senior executives]. I made it clear that I could not divulge who they were nor name their organisation; only they could do so about themselves and not about each other. This was an important ethical stipulation for the action research.

All individual interviews and group meetings were taped and transcribed. Each participant received a copy of their interview transcription and verified its contents. They also received a copy of each meeting’s transcription before the next scheduled meeting. Every meeting began with corroboration of the previous meeting’s transcription. Approval was sought for the final meeting transcript through email correspondence. This research method supported a qualitative approach to values inquiry. Janesick (2003) promoted the metaphor of choreography to explain qualitative research. She noted there were ‘fixed

\textsuperscript{14} Participant information can be found in Appendix 9.

\textsuperscript{15} The participant consent form is shown in Appendix 10.

\textsuperscript{16} Examples of interview questions are located in Appendix 11.
movements’ (p.50) in the beginning of research design such as interviews and
documents to be analysed. As information is disclosed and knowledge is
created the research participants can improvise to find out more about
particular strategies and events. Such was the process for the peer action
research learning experience.

One participant withdrew from the study after the first meeting due to time
constraints. As promised, I excluded his contribution from all the data and
shredded his interview transcript and values profile. I requested a re-run of the
composite group profile before I began working with this data. Another
potential participant started the process but could not join the group meetings
on the days scheduled. Her contribution has equally been discarded.

The participants were well informed that this study was for a PhD and would
be reported upon in several publications. Real names have been substituted
with pseudonyms in this thesis and in all related publications, copies of which
each participant has received.

Workman (2007) found that ethical issues were the most compelling constraint
in action research particularly when the ethos of the organisation reveals itself
to be incongruent with the philosophy of the research participants. The
literature suggests (see for example Hall, 1995; Henderson, 2004; McCann,
2005) that individuals are happier and more productive when their values
strongly align with those of their organisation and when the aligned values
espoused by their organisation are lived. This study was not located within a
particular organisation that might create the degree of tension suggested by
Workman but nevertheless an agenda item for group discussion about the
values alignment and gaps between the individuals and their agencies and how
this terrain might be navigated was planned.

Since organisations are “systems of human action in which the means and ends
are guided by values” (Susman & Evered, 1978 p.584) there existed a question
of morality to proposed action within the workplace as part of this research. It
was critical to be aware of and to openly discuss potentially value laden data
with the perceptions and experiences of the research participants. Such open
discussion centred on the ethics and morality and personal values of the
individual participant and their respective organisational system which served as a guideline against which to assess planned actions. “The success of action research hinges on understanding the values of the relevant [participants] since such values guide the selection of means and ends for solving problems and develop the commitment of the [participants] to a particular solution” (Susman & Evered, 1978 p.598).

An action research methodology was therefore essential for this values inquiry, to elicit findings and to generate knowledge within an ethical framework. The collaborative action research group was instrumental in the construction of this ‘mutually acceptable ethical framework’ (Foster, 1972) thereby recognising that their actions had certain moral and ethical consequences.

4.5 Research participants

The Senior Executive Service [SES] is comprised of people with diverse backgrounds. Many are career public servants who have worked in several public sector agencies which may include local government, state government and/or federal government. The SES also comprise of people with a background in the private sector and/or the higher education sector who reflect a wide range of ethnic cultures and personalities. They are typically not a homogenous group of people although similar traits are developed through immersion in the APS culture.

The group of people in this study were working for the Australian Public Service [the federal government] at the time. Eight research participants formed an action research group of equal gender distribution. They self selected from two advertisements published in the Canberra Times Informant calling for expressions of interest to be involved in the study. Their ages ranged from 32 to 65 years of age with one new to the senior executive service, one recently retired and the remainder with significant years of experience at this level. Between them they represented small, medium and large Australian organisations. Two others became involved in the study as individual informants but did not meet with the rest of the group; their contribution to the study was therefore restricted. Table 14 introduces the research participants and their pseudonyms in this thesis.
Due to issues of confidentiality, I have nominated the age ranges and not a specific age for each research participant. As well, a separate Table [15] is provided which lists the public sector agencies represented in the study rather than identify where each participant worked.

**Table 14: Research participants**

<table>
<thead>
<tr>
<th>Name /Pseudonym</th>
<th>Age</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bianca</td>
<td>35-50</td>
</tr>
<tr>
<td>Ted</td>
<td>50 - 65</td>
</tr>
<tr>
<td>Wendy</td>
<td>30-45</td>
</tr>
<tr>
<td>Sally</td>
<td>30-45</td>
</tr>
<tr>
<td>Bob</td>
<td>45-60</td>
</tr>
<tr>
<td>Heather</td>
<td>45-60</td>
</tr>
<tr>
<td>Alex</td>
<td>50-65</td>
</tr>
<tr>
<td>John</td>
<td>50-65</td>
</tr>
</tbody>
</table>

**Table5: List of Australian Public Service [APS] agencies represented in the study**

<table>
<thead>
<tr>
<th>Department of Defence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attorney-General’s Department</td>
</tr>
<tr>
<td>Administrative Appeals Tribunal</td>
</tr>
<tr>
<td>Australian Sports Doping Agency</td>
</tr>
<tr>
<td>Australian Public Service Commission</td>
</tr>
<tr>
<td>Austrade</td>
</tr>
<tr>
<td>Department of Families, Community Services and Indigenous Affairs</td>
</tr>
<tr>
<td>Department of Treasury</td>
</tr>
</tbody>
</table>
All of the research participants were well educated, holding graduate and postgraduate qualifications and three held doctorates. As senior managers and leaders within their organisations they were able to trial initiatives that emerged as the research progressed and were well placed to inform the study on the success or otherwise of those initiatives. Almost all of the research participants had worked overseas in their official senior capacity and one was previously the head of their European counterpart. Their location during the study was either Canberra or Sydney.

The collaborative action research group met in Canberra on five occasions over eight months. This included the Christmas and New Year holiday period when the public service stand down, a time that is difficult to keep public servants engaged. Due to their seniority in the Australian Public Service the research participants’ availability was limited yet they managed to meet for half a day on most occasions. The Sydney research participants coordinated official visits to Canberra that included Senate Estimates obligations to enable meeting as a participatory action research group. Evening meetings were occasionally scheduled to accommodate the majority and on one occasion a teleconference was held.

Whilst initially termed a focus group, a familiar concept in the Australian Public Service, in time the research group moved from being a typical focus group to a collaborative professional learning group, in essence an action research group, keeping a critical eye on the status of values in the public service. Research participants seized their participation as a professional learning opportunity about themselves, using the peer forum for their professional development that was not prescriptive but driven from a psychometric analysis gleaned from their personal values profiles as well as from the experiences and learning shared amongst the group. Beck (1999) supported the notion for educational administrators to be co-learners in values inquiry as well.

Research participants identified what they wanted to change or develop. Each person created a personal vision statement during a guided activity.

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17 See Example of Personal Vision Goals in Appendix 13.
whereupon they put into their own words what their values profile meant to them and clarified what their personal goals would be for the study. This process created a personal action plan for values development. They went back to their organisations and trialled changes in their practice, collected the data themselves, returned to the group and discussed their practice-related efforts. This dynamic reflected collaborative action research. Although a research group in action, the participants continued to refer to themselves as a focus group as quoted in chapter 5.

The group met on a sixth occasion after the official research period had ended. It was to celebrate over dinner the professional achievements of each of the research participants since their involvement in the study. I established a feedback loop with the group whereupon they received drafts and conference papers for comment prior to publication. They have remained interested in the research progress and in getting together on further occasions as a professional peer support group, evidence of the worth they gained from being a participant in the study.

The remainder of this chapter outlines the research methods used as inputs to the study during the eight months of action research. The Hall-Tonna Values Framework was chosen for several reasons, including its design for use in individual and group settings and its potential to guide leadership development.

The research participants completed a values questionnaire which generated an individual and group values profile. The relationship between these values and the espoused values of their respective employing organisation and the overarching APS Values and Code of Conduct were mapped through document analysis. Participants completed the same values questionnaire after the research period to determine what, if any, values shifts had taken place as a result of the collaborative action research experience.

4.6 Values Profiles

Action research lends itself to the collection of data using the same method at two key points in time (Kock, 2005) depending upon the intervention under

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18 See Creating a Personal Vision Statement in Appendix 12.
study. For this study, the Hall-Tonna inventory of values was selected and administered pre and post the research period. From an ethical standpoint, it was important to use exactly the same process. Chapter 2 outlined the background and reliability of this instrument to quantitatively measure the values dynamic and chart the relationship between values patterns and leadership style\(^{19}\). Values inventories are more of an objective instrument because results can be quantifiable (Baker, 1996).

One of the key research questions explored in the study was to enquire about the values priorities of senior executives. These were elicited through the completion of the Hall-Tonna inventory of values. To recap from chapter 2, the Hall-Tonna inventory of values was self-administered through an online questionnaire which sought choices in phrases that best described current behaviour. The questionnaire was computer scored, generating a Values Management Inventory [VMI] report. The VMI, referred to as the Values Profile in this study, guided development of insight into individual values, current value priorities, options and goals for development, and assisted with identifying skills needed for future growth.

The pre test questionnaire was completed prior to the commencement of the collaborative action research period. Each research participant was given individual feedback via a sixty minute taped semi-structured interview which introduced them to the Hall-Tonna Values Framework. As senior collaborators in the study, they each received a Personal Values Profile, knowledge of which was kept private, but their results were amalgamated to form a Group Values Profile. The Group Values Profile was shared and operated as a source of data for the study.

Participants completed the Hall-Tonna values inventory for a second time post the research period. Each person received an updated Personal Values Profile with an individual debrief via a sixty to ninety minute taped semi-structured interview. Results of the personal profiles were kept confidential, leaving it to the individuals themselves to decide how they wished to use them. The second round Group Values Profile, however, was used as comparative evidence in the

\(^{19}\) See Sample Values Profile in Appendix 3.
research to measure the extent to which values shifts were possible within an eight month research period.

4.7 Document analysis

Hall and Tonna found that a holistic picture of the values of an organisation can be identified using a combination of individual and group profiles with document analysis. This is in keeping with Patton’s (2002) suggestion that data triangulation using both qualitative and quantitative methods can provide a great deal of information and understanding. This study employed both methods of research. The values profiles and document analysis were quantitative methods and the action research group transcriptions were qualitative research methods. Denzin (1978) first identified triangulation as sound research design for qualitative research. Janesick (2003) preferred to think of data triangulation as crystallization because “crystallization recognises the many facets of any given approach to the social world as a fact of life…what we see when we view a crystal, for example, depends on how we view it, how we hold it up to the light or not” (Janesick, 2003 p.67). Values inquiry is like looking at a crystal. What we see with, our personal values lens, affects our interpretation of the social situation under study. Using several methods of data collection [triangulation of data] assists the researcher to more clearly see the crystal; that is, the values at play.

The process of document analysis in this study was a form of content analysis as a research method. Selected documents were scanned into a software thesaurus program designed to extract the same values information as the individual questionnaire method. As a values inquiry, this particular process identified the same phrases and words in much the same way that Hall and Tonna originally established that values were emotionally laden words identified through conversation. Recent technological advancements using the Hall-Tonna Values Technology software has meant that the foundation, focus and future values described within documents can be reliably measured using a computer-based document analysis program (Lewis-Shaw, 1997). Lewis-Shaw successfully used this HTVF document analysis method to undertake her research on the values implicit in assessment centres to rate Principal suitability for educational administration.
The types of documents selected for analysis in a values inquiry contain an organisation’s values and mission statement. For example, organisational policies and procedures typically contain focus values defining the everyday functions of the organisation and the management styles best suited to carry them out. Philosophy and mission statements generally reflect the original foundation values and future values that motivated the organisational founders at the time. They contain the vital energy that drives an organisation and gives it direction (Hall et al., 1986).

When members of an organisation are in touch with the organisation’s core values, they are more likely to be energised and motivated themselves. These are the values that provide unity and vision in an organisation (Hall & Joiner, 1992) under which all other values, as diverse as they may be, can come together as a cohesive whole. However, discrepancies between what an organisation espouses (Hall et al., 1986) and what it communicates via behaviours of individuals and groups [values-in-action] tend to cause unwanted confusion that dilutes the message. Frequently there is inconsistency between values found in different sections of documents. Additionally, older documents may clash with newer documents and contain values that are no longer relevant to the needs of the organisation or its vision (Hall et al., 1986).

Document analysis was used in this study to compare the intended meaning behind a communication, whether what was intended to be transmitted was being transmitted, and whether the organisational vision was in alignment with its mission and values. The communications analysis that resulted determined what values were denoted, the leadership and management style reflected, and the core competencies and values being conveyed.

From an ethical standpoint, the documents analysed in this study had to be in the public domain. The 2005 State of the Service Report (Australian Public Service Commission, 2005) and the APS Values and Code of Conduct20 were chosen as the most applicable to this values inquiry and both were available online. Because the various analyses were all described in terms of the Hall-Tonna Values Framework, the values priorities of the Australian Public Service

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20 Refer to Appendix 8.
Commission [APSC] and the APS Values and Code of Conduct could be directly compared. Comparison of these results with individual values profiles and that of the group collectively was a major part of the action research process and direction.

As part of the participants’ own values journey, the 2005 annual reports of their respective agencies were also analysed. Some of the participants utilised this information as part of their individual action plan for the study. Due to size constraints, only the document analysis of the 2005 State of the Service Report (Australian Public Service Commission, 2005) and of the APS Values and Code of Conduct are reported in detail in this thesis.

4.8 Conclusion

The research explored values priorities, values alignment and the relationship between values-based work and the transformation of people and organisations within a mutually agreed ethical framework. Over an eight month period, this study employed a participatory action research methodology that elicited the values of senior executives of the Australian Public Service using the Hall-Tonna Values Framework. Data were triangulated and collected from three primary sources: analysis of pre and post group values profiles; collaborative action research professional learning group [focus group] corroborated transcriptions presented as composite narratives; and document analyses of the 2005 State of the Service Report (Australian Public Service Commission, 2005) and the APS Values and Code of Conduct.

Data that were gathered but not used in this thesis included pre and post individual values profiles, most of the individual interview transcriptions and the values mapping results of the eight organisations represented by the research participants. These were instead used by research participants in the study as part of their personal values journey and organisational values understanding as resources for their participant action research. The next two chapters describe those experiences and present the research evidence.
CHAPTER 5: ACTION RESEARCH BASED COMPOSITE NARRATIVE: PERSONAL VALUES CLARIFICATION IN LEADERSHIP

5.1 Introduction

The data analysis is presented in two distinct chapters. Chapter 5 investigates the experiences of the action research participants and the collective group experience in a politically charged work environment. It sets the context around values and leadership and considers specific issues and challenges in the public sector raised in the focus [professional learning] group and supported through values understanding. Chapter 6 presents research findings through key document content comparative analysis conducted on the Australian Public Service [APS] Values and Code of Conduct as well as the Australian Public Service Commission [APSC] 2005 State of the Service Report (Australian Public Service Commission, 2005).

This chapter presents the collected action research findings in the form of a higher order composite narrative account gathered through two main avenues. Firstly, through use of the Hall-Tonna Values Framework (Hall, 1995) in the pre and post experiential period of the study and, secondly, via the extraction of major themes from the focus group discussions. Where a word or phrase is italicised it indicates that the word or phrase is drawn directly from the data. The composite account is supported by extracts from focus group discussions and guided in its development by the research participants’ concerns and insights that emerged from their unique situational context—what they have to say is both perceptive and controversial. They occupy a position of trust and confidence in the Australian Public Service and with the Australian Government. All hold “secret” or “top secret” security clearances and they self-selected into the study.

5.2 What brought participants to the research?

The research subjects were senior executives drawn to the research largely because of their strong interest in values from a professional perspective and
their personal commitment to participate in a values journey, a new experience for all but one who commented that she ‘always had been interested in the concept of values and the alignment of personal values with organisational values’ (‘Wendy’). She had been working in the SES for several years. The newest member of the senior executive service within the focus group defined her interest as follows:

I’m at a point in my own personal development where I’m thinking about ethics and values and what kind of framework I am operating in and I’m at the point where I need to theoretically or conceptually articulate that very strongly to myself in a way that is more internalised so that it is more connected in with my other values in other areas of my life…I’m conceptually interested in thinking about those issues. [Sally]

It transpired that ‘Sally’ had made a professional commitment to a lifelong career in public sector administration and that her more recent appointment into the Senior Executive Service [SES] raised questions about standards of leadership excellence for herself in particular. Her appointment dovetailed with the timing of this study.

Hall, Tonna and Thompson (1995; 1980) identified that significant personal development occurred at the cycle 4 level [refer 2.3.2]. This cycle is characterised by a shift from an external source of authority, such as the achievement of status through positional power, to an internal one. People at this cycle of development operate more strongly and consciously from an inner/personal power position.

It was interesting to note that 6 participants came into the study at various points in precisely this cycle which suggested that a particular personal development phase needed to be reached in order for senior executives to be interested in their personal values journey. The combined analysis identified the group at the high end of cycle 4 with a focus on institution and vocation demonstrated through the leadership style of facilitator/enabler.

The need to understand one’s values position was reflected by participants grappling with their experiences as they straddled different organisations with different cultures and therefore different values for a decade under the same government. Heather, for example, was interested in the differences she experienced working in two very different public sector agencies which
included the largest in Australia being the Department of Defence when she was a military officer.

I'm very interested in the difference between the values of [those] two organisations and how individuals fit in...I think it's quite challenging to change from a very strong culture like Defence to another culture...where are my feelings and my values and do I fit in with the organisation I'm working for; have I fitted in with Defence in the past or am I at odds with that? Loyalty for instance is [a strong] value in Defence whereas it's becoming quite old fashioned I think in other agencies, to espouse loyalty to the organisation. [Heather]

Government departments merge and separate periodically when a government reshuffles its priorities. One outcome of this restructuring reported by the research subjects was the impact on an organisation’s culture and values when split into two separate entities and the consequent positive and negative effects because there’s a demarcation line between the past and the future. Conversely, it takes time to integrate when departments suddenly absorb new functions. After downsizing then upsizing in his department, ‘Alex’ exclaimed ‘two turbulent changes and I don’t believe we’ve totally integrated after several years. People feel pretty pushed around’ [going through two restructures in rapid succession, one just prior to an election and one immediately after because of the change in government arrangements].

Associated with this concern was the actual portfolio which senior executives administer and the decisions they make that are influenced by the values they hold whether conscious or unconscious of what those values might be.

I've always had a very strong interest in values. You can't talk about social policy unless there's an underlying values base and if there's not, you're in a lot of trouble. [Ted]

As an educationalist you can't do anything without consulting the values concerned. [Wendy]

The nature of our work means that we really have to place a lot of emphasis on integrity and respecting individual rights particularly. [John]

These comments demonstrate a wide range of public sector portfolios. They include the development of social policy, educational policy and the taking of urine and blood samples in sport. Other portfolios represented by the research group included the development of legal policy, financial policy, governance, military operations and commercial enterprise.

In their careers research subjects have experienced a disjunct between espoused values and values-in-action and sought to gain clarification and understanding of that gap through participation in the research. At the outset,
several commented that:

> I perceive…something of a disjunction between the views of staff about values issues and the way they’re hearing what’s being said by the hierarchy. There is a clear disjunction in my judgement. [Ted]

> In leadership training I’ve become equally fascinated by the huge gap that there sometimes seems to be between espoused values and values-in-action and in the sources of despair and frustration and alienation and dissatisfaction…I’ve experienced a number of people who are not leaders because the people who are [designated] ‘leaders’ are on another planet as often as not. [John]

> I’ve got a fascination between values that are espoused and values that are enacted and the things that might happen to bring those things together. [Heather]

Frustration with this disjunction was aimed at two levels: their executive colleagues who don’t ‘walk the talk’ and when organisations operate contrary to the values espoused.

> We had all these values which no one had really unpacked…no one really knew what these meant and they were all confusing integrity with professionalism and it was even more difficult because we had a civilian/military thing…each of the services has its own values and then some of the different organisations within have their own values and there’s tribalism we’re trying to overcome. We had some success but then the strategies or the means of implementing it were like ‘we don’t do all that’ so this stopped at a particular level. [Bob]

‘Bob’ is referring to the different cultures within a large Department such as Defence where the cacophony of civilian values, military values, political values and bureaucratic values made it difficult to realise ‘values-in-action’. A clear agreement in the focus group was that values per se are abstract terms when left ‘sitting on the shelf’. They need to be broken down into concrete actions to understand what the values mean ‘so that you can help people to live by the values and work by them and accept them’ [Bob]. They concurred that if leaders don’t exhibit the values then people in the organisation will not commit to them.

It appears that senior executives are motivated to participate in a values-based study because it has the potential to address both their personal standpoint and the professional dimensions that concern them. The next section considers how participants were alerted to their own values position and the world of values through the Hall-Tonna Values Framework and how this understanding influenced their view of themselves as leaders.
5.3 Values and leadership

The study plan initially proposed for half of the participants to undertake a semi-structured pre interview with the other half taking the post interview option. After the first couple of interviews it became apparent that research participants’ knowledge of values and their impact, and awareness of their own values position, was minimal. Participants were enthralled by their individual results and asked many questions about the instrument itself at the pre interview stage. This was surprising. Their intellectual curiosity resulted in lengthy interview sessions which led to deeper than anticipated inquiry. It became a matter of necessity to interview everyone prior to the first group meeting to maximise the focus group sessions. I realised that participants needed to be ‘on the same page’ when they came together, to hold a shared understanding of the values framework used. As it was, the first group session was taken up with deconstructing the Hall-Tonna Values Framework before individual action planning commenced.

The educational background of the research participants were a contributing factor to the deeper inquiry into the values domain. Senior Executive Officers are expected to hold a minimum graduate degree qualification to be recruited into this leadership tier. The majority of the research participants held post graduate qualifications including doctorates themselves. They self-selected into the study to learn about themselves, about values and about their leadership. They welcomed the rigor of the research process and the opportunity to influence the direction of the study.

Participants were equipped with their individual values profiles and that of their respective organisation to mediate their own leadership position. In all cases, participants were ahead in their cycle of development to that of their workplace. This supports the claim by Hall and Tonna that people actively look for examples of leadership behaviour enacted by leaders who are positioned on the next cycle of development to where they themselves are currently positioned. This finding was a surprise for some of the research participants but not for others, especially those participants who expressed challenges in managing the tension between their own values and those of their employing
organisation. They were either growing into their leadership role [slightly ahead on the values scale] or growing away from the organisation they worked in. The latter was clear when their values position was one or two cycles apart from their organisation’s values position.

The research participants considered this disjunct when developing their personal values action plan for the study, formally titled ‘vision statement’. Examples of vision statements included:

- I strive for self-awareness and am committed to a life-long process of learning and development.
- I adhere to a core set of principles that guide my actions and behaviours.
- I have confidence in my ability to make a positive contribution to the world I live in.
- I seek to participate in the creation of a new and better way of living, working and thinking.
- Develop the skills associated with the creative use of information technology and software to bring new ideas into a practical and concrete reality.
- Continue to relax and engage with others by focusing on their needs and their connection to me—practice doing this in situations other than work.
- Spend time thinking about and articulating my ethical framework—then consider how this framework could be better applied in practice.
- Practice focusing on what I can do for others on a micro level, rather than just a macro level—think about this in small ways, throughout the day.
- Continue to wrestle with the goal of being open to mistakes as an opportunity to learn.

Vision statements were cultivated after analyses of foundation, focus and future values tracking identified through the personal values profile. Action plans were based on the skills identified for development in the values profile for each participant and were deliberate steps taken by them towards adopting values-based leadership. This process encouraged participants to consciously think about themselves as leaders and gave them a standpoint to individually and collectively try out new leadership practices.

The values framework itself was a marker for the individual and for the group overall. The group values profile was given to all participants and was the tool used throughout the study period whereas personal profiles were the prerogative of individuals to share. The framework provided a working understanding of the values dynamic at play and was a mechanism to introduce the language of values that was new to group members.
The next section examines concerns in using values language to clarify meaning. It is followed by narrative excerpts of research participants’ experiences in different cultures that has sensitised their awareness of how relationships and culture play out, with values at the epicentre of this dynamic.

5.4 Values language and interpretation

Values profiles generated through the values technology software were American-centric in language because the software was developed in the United States. This posed some dilemmas for the research participants who themselves are a highly educated group who use language at a sophisticated level in their daily work. ‘There is a weird disjunction here between the values that are coming off the document and the values that I’m bringing to the document’ [John]. A lot of the values definitions in particular were experienced as provocative; for example ‘Community/Faith…I’m actually attached to a religious group but I would never use that expression’ [Ted].

American culture is libertarian…whereas we have an egalitarian [society]…in the American situation you have this concept of winners and losers and that aggression…whereas here, I think it’s more about a fair go…There are very Australian values that are very different from the USA. [Bob]

The language we use is critical to understanding what our values are. It was proposed that an Australian version of what was meant by the language of values was needed, beginning with values definitions. The focus group examined the Australian Values Inventory [AVI] definitions (Henderson & Thompson, 2003), a derivative of the Hall-Tonna Values Framework developed in 1994 by Colins and Chippendale with a specific mantra to develop language more familiar to the Australian culture. Commentary on the usefulness of the AVI definitions follows.

The AVI seemed to be a lot easier, a lot simpler to come to terms with. I found it possible to translate what they were providing as definitions into corporate organisational, institutional scenarios that I was familiar with as well as applying it in my own personal and private life…Some of the things that irked me because of their American-ness in the Hall-Tonna had gone but not all of them. It’s a minor thing…slight irks here and there about the way the AVI was phrased as well. Obviously it becomes a matter of observing something in you as well as or instead of something in the document. [John]

I would probably go through and remove as many adjectives as I could. Again, this would indicate something about me rather than the documents themselves. They suggested that meditation would be a good idea but it had to be prayerful meditation which struck me as a limitation rather than a liberalisation of an idea. [Ted]
There is still a necessity to develop understanding of what is meant by the values themselves. ‘We are all walking inventories of values’ [John] and unless we take the time to unpack what is meant by the terms we use, misunderstanding and confusion can reign because values can be interpreted in different ways. ‘There is quite a clear difference in the way people think, the way they talk, the way they use words, even the word ‘values’’ (‘Bianca’).

Research participants tested language associated with values in the workplace and found that using the word ‘values’ was a value laden term in itself and not received at all well. They reported difficulties in engaging their staff in conversations about values because staff felt uncomfortable.

*I figured out why it’s problematic; someone else figured it out actually. When people start talking about values, I think they’re hearing Christian values or new age spirituality, dodgy fundamentalists; those threatening things…family values; like Family First talks about family values which is associated with things that Generation X in particular might not be all that comfortable with. [Sally]*

There was an assumption by staff that they would be lectured about family values, religious values or some other values domain, when in fact the research subjects were trying to identify a common language to discuss the importance of having one’s highest value priorities fulfilled in the workplace. It was interesting to discover that the word ‘values’ was itself value-laden, particularly in the Australian Public Service context where the APS Values supposedly operate and public servants are assumed to be familiar with the term ‘values’. This led to questioning if in fact when people hear the word ‘values’ they ‘switch off’ [John].

*There’s a kind of disbelief that we’re serious about it, you’re right… there is a level of discomfort when you get into that territory and people shy away from it, especially at senior levels. [Heather]*

In developing organisational values, research participants reported that their colleagues didn’t appear to be worried by use of the term ‘values’. However, when it came to the personal domain, there was a level of ‘undiscussability’ about values.

*It’s almost as though articulating ones values, personal or professional, or articulating the values that you exercise in work, is an un-Australian thing to do.* [Ted]

Members of the focus group agreed; it is as though you can’t have a conversation about values and divorce who you are. Articulating one’s values
position was considered an important skill to have as an executive leader because it demands knowing one’s value priorities. One of the research participants actively worked on this development and included it within her vision statement. Another research participant decided to trial holding values conversations with a difficult stakeholder.

*If you’re comfortable and confident about the values and the processes and the ideas you can speak of them but when you’re not certain you become very defensive and that’s the mood that I encounter when I raise these issues with him. A lot of the time I’ve been thinking ‘how can this thing we’re talking about be turned into words that will engage but not frighten’...I can see that there is certainly something of value from the conversations of the kind [the focus group] have and I’m convinced enough that what is happening to me in these sessions is really what I welcome...if the conversation is right with this bloke and the people who are behind this bloke, they might begin to get the feeling that there is [better understanding and a way forward].* (John)

The role of a senior executive also involves being able to manage upwards with influence and communication skills are essential in this role. This necessitates being able to guide conversations about values.

*It’s tapping into a different set of understandings. When you speak to a CEO or someone ‘up there’ you try to measure where they’re coming from, what will actually engage them and it’s the same when you’re managing operational staff. You have to meet them where they are and they’re at quite different places...I think you have to compromise your values much more when you’re dealing upwards. When you’re dealing with the staff you work with them. The concept of honesty with the people you’re working directly with on a day to day basis is quite different to the concept of honesty when you’re briefing the chief executive or whatever and again, when you’re briefing the chief executive who you know needs to know because he’s going over to the Minister’s office.* (Wendy)

The academic field of study with a focus on values was developed through listening to what was important to people of different races and cultures globally through conversation. The research subjects therefore experimented with deliberately holding values conversations and using story telling as a tool for revealing their values position, without using the term ‘values’.

*I did that story telling thing on Monday and people were a little bit nervous but it was done as a story and with practical examples; I didn’t use the word ‘value’ at all and it seemed to go down okay.* (Sally)

Further testing in the workplace by the research subjects revealed greater success of engagement in meaningful discussion with their staff about motivation, goals and purpose [for instance] through deliberately rephrasing their language. For example, in strategic conversations about values, they found that asking questions similar to “what do you like about working here?” were more effective than “what do you value about working here?” A common value statement this enquiry elicited was “collegiality...working with people...”
who are dedicated and supportive and [whom] I enjoy working with” [Sally]. Having an array of values-based terms to draw from was also useful, such as those described in the Australian developed ‘Window on Work Values’ [WoWV] instrument (McCann, 2005). These terms were tested in the workplace.

There’s a lot of words or expressions that come out of these [WoWV] which I don’t think there would be a problem using in the workplace. We’re very used to hearing things like diversity and teamwork and all of that stuff but there are still some there I think that would ring alarm bells for people like ‘harmony’, ‘forgiveness’. They would not see those as work type issues; they’d probably see those as things that belong more to the realm outside of that. Certainly there is some language here that I think would be easier to have a discussion at work around. [John]

It became clear from the action research that the term ‘values’ had to be used carefully by organisational leaders, if at all, particularly in a hierarchical culture. The research participants found they had more success if they qualified the values conversation by expressing them as ‘workplace values’. Holding strategic values conversations therefore appears to be a crucial step for leaders towards gaining commitment and understanding in the workplace. It is important to have a meaningful set of words, a framework, and a language that actually makes sense to people in conversation with each other. This discovery raised issues of cultural awareness as the next section outlines.

5.5 Cultural awareness

Almost all of the research participants have been involved at some point in their careers in the international arena, including the accomplishment of serious negotiations on behalf of the Australian government. We make decisions based on our values, whether we are aware of them or not (Hall, 1995) and this has implications for the way we converse with others. When those others are from different cultures it is even more important to find the language to ascertain meaning. If we were able to tap into others’ values sets to understand where they are coming from, those agreements and conversations could be enriched.

That’s true. It’s very hard to find that I think and maybe we’re missing each other. Some of the occasions you meet with the other people, you don’t reach that high level of understanding or meaning but then the second time you might get further towards a meeting of the minds if you like…when you’re face to face with another country, we need to be aware of the different cultural issues, the different values that might be operating in that context. [Heather]

Differing cultural experiences and expectations were cited by the research participants with South Pacific nations, Asian and European nations, and South
Africa. Two examples follow.

One of the things I really struggled with is that I value…direct communication…that is often at odds with not only the way South Pacific people typically communicate but a lot of Asian cultures as well; which is, you never disagree and you have to tell a story before you get to the point and there’s a lot of context. I found that incredibly difficult to deal with and I had to go a long way to I guess suppress my natural inclination which is to have an agenda and get on with it and so forth. It was terrific as a personal development experience having to do that but it becomes problematic when something that you actually value and admire, which is that direct communication is completely at odds with the value of the person that you’re dealing with. They’re not necessarily wrong and you’re not necessarily right but it becomes difficult because you have to suppress something that is quite important to you and you have to struggle with that. (‘Bianca’)

When I worked in England I had exactly the same issue…[even though] I came from a Commonwealth country…I can remember one incident where an organisation we were funding was basically misbehaving itself, so I took up the issue and we finally had to go and explain the issue. I got pulled in…because you just don’t do things like that in this country but if I hadn’t done it then, I could have been torn to pieces for not raising the issue…We’d done all the English ways you see and it didn’t work. I could go on for hours about some of these experiences. [Ted]

Potential clashes in cultural values and how they are demonstrated in action can exacerbate the complexity of issues faced by senior executives working overseas on behalf of the Australian government. It requires a sound degree of cultural awareness and sensitivity to such conflict. Research participants also discovered that differences in cultural values-in-action can be attributed to one’s gender and status as a parent.

I had a breakthrough experience in one of my trips to Vanuatu when I went there very visibly pregnant and all of a sudden these people had a way to directly connect with me and I think what it showed me is they were desperate to try and understand what my values were. Kids are obviously a very important part of culture there and I was really overwhelmed by the desire that they had to try and get to know me as a person because typically in Australia, there’s pretty much a demarcation between your personal life and your professional life, even though obviously people are reasonably civil to each other. That was really enlightening to me because it was that sort of values-in-action stuff; they really wanted to find a point of connection, yes you’re a person and you want the same things in life as us…often at the end of the day we do want the same thing but we go around it in such a different way that we think we want different things and often you don’t. You confuse each other by the method that you use to get to that point but often you’re still trying to get to the same point. (‘Bianca’)

 Whilst obvious differences in values can more readily be seen through the international cultural lens, comparable values differences are also happening within participants’ Australian organisations. This can lead to the development of different cultures in the same organisation.

We…set normative values, the norms that we want people to work against in being part of that organisation. In a large organisation, particularly when you’ve got many cultures like Defence and then army, navy, air force; trying to weld…an umbrella set of values across the top of that is terribly difficult and the last thing the Military wanted to be seen to be doing was [to] be part of the public service. We had to…find something that still related to the public service values but was unique to that organisation itself because you have the Military saying “you clerks aren’t
The stark difference of values-in-action this unique situation portrays reinforces the need for values that actually mean something to the people involved. In this case, the Department of Defence developed six core values but the interpretation of those values remained a key concern to its utility.

How the core values are reflected in the organisation is crucial to the success of such initiatives. It raises the question as to what happens when you replace staff with others who come from a different culture. ‘I think the danger is we can stereotype the group and ghettoise them’ [Ted]. Issues associated with cultural [and values] differences was further highlighted through the custom of gift-giving; in Australia, public servants are not allowed to receive gifts for their services nor from contractors who have worked for them.

Without a purposeful effort to resolve potential misunderstanding about the values-at-play, a clash in culture can translate into a conflict of ethics in the workplace. Research participants suggested holding values conversations as one way to effectively manage this situation. Their role as senior public sector administrators obliges their acquaintance with cultural diversity as this section demonstrates. The next section extends this understanding through highlighting values alignment as a lever for engagement and motivation in the workplace.

5.6 Values alignment

Although the vehicle for this study is a participatory action research group, participants were not concerned about aligning their values with each other. They actively encouraged different thinking and perspectives about problems...
each encountered in their values journey. Individual values profiles were shared occasionally when a participant highlighted a particular dilemma or course of action they took and why and what resulted. However, it could be assumed that by enlisting in the study in the first place a certain values alignment albeit silently took place.

The literature tells us that shared values lead to understanding. Research participants noted that when people work together who have some values in common, they emit a positive vibrancy. ‘We used to have a very strong commonality between the leadership and the staff as a whole’ [Ted].

‘John’ describes a situation where theories of team building such as Tuckman’s (1977) model do not apply because this was an example of an ad hoc group of people who did not work directly together in a team and who therefore did not progress through the known stages of team dynamics. In this example, people worked in concord in a way that can be explained by an understanding of values alignment. It could be further explained by the presence of higher order values such as respect, commitment and mutual accountability which could be demonstrated through social adhesion and constructive disagreement.

The literature explained that people are happier and more engaged in their work when personal values are in alignment with the organisation’s values. In these situations, there is pride in doing a good job and in working for the organisation which impacts on the productivity of individuals and teams.

My view is the majority of people when they’re in that situation in the public sector and probably in the private sector, will work beyond the call of duty, irrespective of what they’re paid, irrespective of who their Minister is and many other aspects of the organisation just because of their values and they want to do a good job. In a way they’re actually working for themselves and they’re getting a lot of satisfaction out of that job. It’s very interesting what actually motivates people to work beyond the call and to do that extra thing. To work weekends, to work nights and all that sort of stuff. [Ted]

I respond to that. I usually find myself caught in a task because it isn’t finished yet and because I’m engaged and that’s enough to make me stay there until 4am if necessary; it’s not loyalty, it’s not duty, it’s because you’re engaged. [Sally]

Being able to say my organisation provides everyone two days community service leave [makes me proud]. For us we have a thing [about] being a socially responsible organisation. (Wendy)

It is interesting to determine that even when organisational values may not be
articulated, people can find a way to exert what is important to them [i.e. their values] through their job. ‘When you have an organisation where there’s a lot of professionals who are trained in the same way, then perhaps you get some consensus about what’s important without it being articulated’ (‘Bianca’). By the same token ‘you want to recruit people who reflect the values that you want your organisation to have; you don’t necessarily want to perpetuate an organisation that has the values that are not what you want’ [Heather].

The values have to be shared throughout the organisation...You can have incredible alignment on values throughout an organisation but without the right sorts of skills, for example, it won’t necessarily work. Or you could have very good skills development but if people don’t share the same sorts of values then it’s not going to work either. (Wendy)

Research participants reflected upon their experience with successfully implementing organisational values in their present and past organisations and believed that it was essential to ask strategic key questions of people to elicit a degree of values alignment and personal commitment. They reported to the focus group the following observations:

I wasn’t conscious of this distinction until [now] but we actually tackled it by asking the question “why are we here?” We started asking people “why are you here, why do you like being here, what gives this place value for you?” and all we did was distil what people said...What surprised me was the degree of consensus around it and they’re really only commonsense things...What bound us together was “why are we here”? [Ted]

We’ve done that exercise before with our organisational plan and it worked beautifully. (Wendy)

The theme of holding strategic values conversations flowed to change management initiatives. It would appear that involving staff at the outset of any change initiative is a fundamental step for success and that holding strategic values conversation is one way to do that. However, during the course of the study one of the research participants related her experience in coordinating an organisational staff review for the first time for her organisation in over a decade. She began by establishing a national review committee comprised of staff from all levels and discovered that:

There were some things in that process that did and didn’t work. I actually tried on one occasion to have the values conversation. We had hook ups with the committee, every couple of weeks or every month, depending what it was about...one of the recommendations in the review was to try as much as possible to standardise or create consistency in our position descriptions and duty statements...and I thought, rather than describing in detail everything you do, maybe we could talk about describing what the values of the organisation and the kinds of people I guess that we’re looking for. It went down like a lead balloon I have to say, although a couple of people on the committee afterwards called me up and said they were interested in what I had to say. I think there are times and opportunities where that works and I think ‘Sally’ found that a couple
of times when she tried to have the discussion as well. I don’t think that anyone necessarily thought it was a terrible idea; I just don’t think they’d ever had that idea presented to them before. (‘Bianca’)

She later reported that ‘I’m happy to say...when I did my most recent round of [national] visits, that most people accept[ed] that it was a genuine attempt to be consultative and that the organisation had all of their best interests at heart’ (‘Bianca’). Another research participant reflected on his experience with a values alignment exercise in a previous organisation.

I had a similar experience in the Premiers Department in a highly dysfunctional area and when we sat down and did it, the values that were coming out were values that you want your organisation to have. Maybe that was just me. I discovered that I didn’t share the values with a lot of the people there...so in some respects when you engage in an exercise like that, it’s a bit dangerous. [Alex]

The ‘danger’ ‘Alex’ refers to concerns the risk involved in working with values because they tap into beliefs at a deeper level. When used consciously, values can positively address conflict because they will surface similarities and differences amongst people which provide a rich source for strategic conversation. ‘Bianca’ is also alluding to the genesis effect (B. Hall, 1986) described by Hall as the process where our inner world of images and ideas shapes our external world thereby influencing our world view, leading us to create the organisations we want. Even when there is tension between personal values and the direction of some aspects of the organisation, research participants suggested that it was helpful to ‘have other people around the place who can share your own [values]’ [John]. Knowing your own values priorities also helps to deal with competing values in the workplace and, for public sector administrators, competing values with the government of the day.

In contemplating their leadership experience with values alignment, research participants reflected upon certain role models in their career, people who had made a difference to them, people who were comfortable in themselves and knew what they stood for.

I’ve had one or two experiences I know of having great admiration or being greatly inspired by somebody and other people around me are going ‘I just don’t get it’ and I think clearly they’re not speaking that language and it either comes across as phoney or whatever but you sort of think ‘did we just listen to the same speaker, I thought that was fantastic’. (‘Bianca’)

When I came up as Assistant Director and Director, there were virtually no leadership courses. You pattern your behaviour on your bosses. I’ve worked for people who are charismatic, inspirational; they made you feel part of a lead group and you could see that the whole body was dynamic and then that person has been replaced by somebody who is insecure, threw a
This section proposed that values alignment was an important strategy that elicited engagement and motivation in the workplace and that the ability to hold strategic values conversations was an essential leadership skill. The next section will look at some key strategies suggested by the focus group in their action research experience for implementing values successfully in public sector administration.

5.7 Management by core values

Values have to be useful; they have to be known and understood by everyone in the organisation. People have to be able to act in accordance with the values almost by instinct, especially when it comes to client service. ‘They need to act, make decisions and say things by drawing on what’s in their head’ (‘Wendy’). The values research reviewed in chapter 2 has shown that individuals can only have three or four values operating [behaviour] at any given moment in time whereas organisations can have between six to ten values operating in any given moment (Hall et al., 1986). Of course the values being operated on depend upon the situation.

A key resolution from the focus group study was the usefulness of having four to six core values that everybody in the organisation could remember, articulate and act upon no matter the circumstance. Core values, in harmony with the tenet of the APS Values and Code of Conduct are ‘more easily digestible’ [Bob]. Presented as ‘key words with behavioural examples’ (‘Wendy’), public sector values could be presented in a manner that enables each of us to know what they mean.

I’m a strong advocate for keeping a very short list. For the last two periods of strategic planning we have had four short simple values which have I believe served us really well. For me they need to be absolutely at the front of our minds all the time when we’re working and for me the maximum number of things I can contemplate when I’m making a quick decision is four. I don’t think I can run my mind through any more than 4 different concepts so when I’m making a decision I need to be able to say, am I doing this with integrity, am I doing it with respect to the people it affects, am I doing it with some form of courage and am I doing it with accountability. It could be four different words but any more than four and I just don’t have the time or the capacity to juggle too many different concepts. I guess I was strongly advocating for four and I
was also advocating for simplicity and words that had resonance with everyone in the organisation, not just us as a leadership group. So we were committed with not only coming up with the words that we thought enabled people to do their business the way we wanted them to but that they took ownership of as well...[staff in our organisation] have to have a really firm basis on which to make some really quick decisions that may have major impact, so they have to have something that is right there at the tip of their thought processes to deal with the situation that they’re confronted with all the time. (Wendy)

One research participant was able to reiterate fifteen years later the five core values of a previous department he worked in because they meant something to him at the time.

Back in the late 80’s or early 90’s, DSS produced a thing called Corporate Direction...about five A’s...I was sent overseas and I came back to find that to my surprise it was working brilliantly. People were using it as a...tool. The five A’s were: client service, staff support, creativity, innovation and accountability. [Ted]

For ‘Ted’, the organisation’s values at that time resonated with his personal values and he shared stories which reflected his high level of job satisfaction whilst working there. Another research participant shared his previous department’s six values of professionalism, loyalty, integrity, courage, innovation and teamwork. ‘We had six because we had to bring the military under it. We had to do it in a way that they weren’t sort of seeing us as putting them under service values and turning them into clerks’ [Bob]. ‘Bob’ explained that the military divisions within the Department of Defence did not view themselves as public servants and he suggested that different divisions within the organisation would have a different priority of order of those six values.

Research participants who had experience in using core values in an organisational context were confident in their knowledge of how to act decisively using them as their guide.

We do tend to use our four very short value statements in our decision making and in our resolution of issues and we take a bit of pride in the extent to which we do walk the talk. (Wendy)

At the same time came a warning to be ‘conscious that some of these things may conflict and that people may hunt for the loopholes and pick out the ones that support their argument’ [Bob]. Without clarity of meaning, there can be a dichotomy between values. An example provided by the research group concerned ‘loyalty’ and ‘integrity’.

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Often the really grey dilemmas occur where you have a clash between things like loyalty and integrity. Who do I owe my loyalty to, is it my immediate boss or the minister? Sometimes there’s conflict between what I think is the right thing to do and what the boss is telling me to do…I think these things needs to be ranked too; integrity perhaps should come before loyalty because people will often shop around to find one and they might say that they were loyal but some of that loyalty might be misplaced. [Bob]

Or that loyalty caused them to act without integrity. (‘Bianca’)

Values drive behaviour and the behaviours will differ depending on what role people play and which stakeholders they have greatest responsibility towards. For those in the frontline directly serving the public, such as Centrelink officers, the value of ‘respect’ will have certain behaviours associated with it because the key stakeholder is the individual. For the SES in this study, the individual is typically the government Minister. ‘For me in my role, my key stakeholder is probably the government and the Minister’s office and so acting with respect for me will have different behaviours associated with that’ (‘Wendy’) from the behaviour one would demonstrate in dealing with customers at a counter.

There needs to be clear understanding about what is meant by the terms used. Unpacking the values and allocating concise statements of behaviour appears to be essential but this cannot be done in isolation. Whoever is the group membership affected by the values are the people to be in discussion about their relevance and meaning. In successful organisations there are core values at work (Hall & Joiner, 1992) which are reflected through the people who make up the organisation.

Throughout the study, the research participants found that core values were fundamental to their management effectiveness and that prior to the study they would not have been able to articulate their core values.

You could have asked me before I had the profile done and I had these kinds of discussion, ‘what are you values?’ I wouldn’t have had a clue. I could answer the question ‘what’s important to you’ but I couldn’t answer the question ‘what are your values?’ (John)

From their values profiles and with attention on their core values the HTVF elicited, each participant created a personal vision statement which synthesised their values into key words with explanations against which they purposely developed their managerial skills through action planning. They found this process led to an effective re-alignment of their management behaviours with
their desired values. ‘I was surprised to learn that the things [staff] value you for were nothing to do with the things I thought that they might value you for’ [Ted]. All of the research subjects shifted in their personal values as a result of working on their value priorities. The majority shifted towards increasing consciousness about their actions and behaviours whilst two subjects shifted instead to focus on maturing and strengthening their foundation values.

This section discussed the importance of identifying and developing core values both on an individual level and at an organisational level, a view supported by the literature. The next section summarises some of the changes that took place for the research participants as a direct result of participating in the study.

5.8 Values and leadership behaviour shift

Using the Hall-Tonna Values Framework [HTVF], research participants revealed a shift in their values position as a result of the study. On the following pages, Table 16 shows a summary of the pre-testing group values profile and Table 17 shows a summary of the post-testing group values profile.

The post-testing profile revealed the group had moved into cycle five with a focus on vocation and new order, demonstrated through a collaborative leadership style. They had matured earlier goal values of ‘wonder/awe/fate’ and ‘security’ to consolidate their foundation values of ‘family/belonging’, ‘self worth’, belief/philosophy’ and ‘competence/confidence’. It seems clear that these are the foundation values priorities for this group of senior public sector leaders.

The goal values of ‘equality/liberation’ remained important as a priority in the group’s focus values area throughout the eight month research period. These values were supplemented with a new values priority of ‘self actualisation’ as a result of immersion in the research. It is interesting to find that the goal values of ‘construction/new order’ and ‘knowledge/insight’, previously in the group’s vision/future values priority area have been brought into focus through a deliberate effort to actively work on developing skills through purposeful action plans. Additional means values have been identified as pathways to
### Table 15: Group Values Profile [Pre-Test]

<table>
<thead>
<tr>
<th>Phase 1: SURVIVING</th>
<th>Phase 2: BELONGING</th>
<th>Phase 3: SELF-INITIATING</th>
<th>Phase 4: INTERDEPENDENT</th>
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<td><strong>3: FAMILY</strong></td>
<td><strong>4: INSTITUTION</strong></td>
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<td>Self preservation</td>
<td>Security</td>
<td>Family/Belonging</td>
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<td>Wonder/Awake</td>
<td>Fantasy/Fun</td>
<td>Competence/Confidence</td>
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<td>Security</td>
<td>Function/Physical</td>
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### FOUNDATION

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### FOCUS

### VISION
### Table 16: Group Values Profile [Post-Test]

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<th>Phase 2: BELONGING</th>
<th>Phase 3: SELF-INITIATING</th>
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**FOUNDER** | **FOCUS** | **VISION**

| AUTOCRATIC | PATERNALIST | MANAGER | FACILITATOR | COLLABORATOR | SERVANT | VISIONARY |
achieve these goal values.

In the future/vision values priority area, the group maintained a drive for the values priority of ‘word’ throughout the research period. However, the group also identified new goal values of ‘intimacy/solitude’, ‘truth/wisdom’ and ‘global harmony’ located in stage 7 of the Hall-Tonna Values Framework. This values shift was made possible with the realisation of goal values previously located in the vision area - ‘construction/new order’ and ‘knowledge/insight’ – becoming a reality on a day-to-day basis and the previous goal value of ‘being self’ which was also in the future values area being adjusted [through a values tracking report] to a focus on ‘self actualisation’ instead. Once the skills associated with the means values were developed, other means values were identified.

This shift was made possible because the research participants actively worked on their values priorities which were reflected through their action plans. On an individual basis, the majority of the research participants shifted towards increasing consciousness about their actions and behaviours whilst two participants shifted instead to focus on maturing and strengthening their foundational values. These two subjects changed their careers twelve months later as a direct result of this inner work.

This rest of this section explores behavioural changes described by the research participants as a result of these values shifts. I begin with changes in the way the media were handled.

I used to be much more guarded than I probably am now and I’ve found actually I’ve started to develop some good relationships with particular journalists who will ring me up. I think you find too that if you go the extra mile just helping them every now and again I’m actually finding that they’re being less sneaky if I can say that, unlike some of my dealings with journalists before. It’s actually been working pretty well….Not being I guess as obstructive in trying to help them with their enquiries which I think my old inclination was to be less forthcoming with information because a lot of public servants have not unreasonable suspicion when journalists come sniffing around for something. The assumption always is that they want to tell a bad news story but I find that if you are a bit more forthcoming with the information then sometimes you can get the good news things in there. (‘Bianca’)

‘Bianca’ has consciously changed in her behaviour [and her paradigm] about the media. Fostering dialogue with a purpose to more fully inform all parties concerned is significant for collaborative leadership. Consciously
making an effort to be in values alignment appears to impact positively upon the leader’s motivation and shift leadership behaviour in such a way that it can make a considerable difference to others whom we lead.

Something that I’ve really been trying to do a lot more since the beginning of this exercise is getting to know everybody in the industry...challenges of being a remote manager...We’ve engaged in an exercise where for example we’ve put on our intranet, photos of every single person in the [organisation], so when you talk to somebody you’ve got a picture and you can see what they look like. We’ve got a lot of interaction between offices...That’s been really fun because when you do get together “I know you”. It’s also helped me when I’m about to go somewhere and if I’m not 100% sure who everyone is I can check up and I guess you feel more confident about the way in which you then interact with people. Then that of course becomes more natural as you do establish relationships with people. (Wendy)

A deliberate effort on the part of ‘Wendy’ to get to know people in her organisation on a more personal basis enabled her to implement a significant change management agenda more successfully than had she not made that effort21. In continuing the theme of consciously managing and improving relationships in the workplace, another research participant summed up her learning about values language and the consequent shift in her behaviour and the effectiveness of her leadership as follows.

That’s actually part of the trick; to state values without saying they’re values until you’ve reached the point where people are comfortable enough for that kind of environment. I would never go into a new branch or whatever it is and start talking about values. I start talking about what matters or what’s important around here and this is what’s important to me and you can start the process of sharing and gradually you draw people into it without them quite realising...your own behaviour has a lot to do with it as well. If you live by what you say are the things that are important to you, people take you seriously. [Sally]

Leaders who create a safe work environment for people to openly share their values, to talk about who they are as people and what matters to them, in turn foster a higher degree of interest in knowing something more about, and in learning from, the organisational leaders. ‘You’d build some very, very powerful groups...and it’s not unprofessional either’ [Ted]. The relationship between leader and follower is critical to effective leadership and being authentic in that leadership role necessitates operating from a values-centre within oneself.

I think we actually need more leaders in an organisation today than we used to because [back] then, life was simpler...If there is one thing that’s really struck me in the last few years is that people have a craving for leadership with people they consider authentic. A real person

21 ‘Wendy’ reported this in her post interview.
articulating who they really are and they actually like it and it does give you a freedom to be 
open about some of the constraints and the limitations; your own and the groups. [Ted]

Much has been extolled about authentic leadership in recent years with one 
conclusion being that it emerges from one’s life story (George et al., 2007). It 
begins with self-awareness and requires conscious alignment of values with 
behaviour. A prerequisite for authentic leadership is the capacity to develop 
interpersonal and communication skills.

Often when it comes to senior people there is an over-value placed on technical expertise and 
not enough is paid to the softer skills, people stuff, because the reality is that once you get to 
SES you shouldn’t be doing a lot of the technical work...You might add value to the technical 
work that somebody else does but really your important role is to be facilitating the people that 
work for you in doing the best that they can and whatever it might take to make sure the agency 
is healthy and functional. [John]

In many respects this dialogue reflects a key difference between leadership and 
management in that we manage things but we lead people. The literature on 
servant leadership describes leadership in institutions as ‘thinking about 
stewardship’ particularly of people in terms of relationships. As Depree (1989) 
bluntly puts it, without people there is no need for leaders. With a worldview 
that people are at the centre of an organisation’s enterprise, leaders are being 
called upon to create a working environment in which clever people can thrive 
(Goffee & Jones, 2007).

Nobody is ever going to be the greatest leader they can be. You’ve got to be constantly 
challenging yourself and learning from other people and doing all of that and I think it’s also 
partly because often the pressures SES are under, they don’t give themselves the opportunity 
to do the professional development that they probably should be [doing]. ('Bianca')

Professional development is critical to the SES who are knowledge workers in 
the context of a knowledge-based economy, where individuals are increasingly 
self-managing their golden capital (Davis, 2006) and taking responsibility for 
their own development and careers rather than the employing organisations 
(Marti & Enache, 2008). Authentic leaders must be committed to their own 
learning and development (George et al., 2007).

5.9 Conclusion

The central dynamic of the group at the end of the study was a feeling of 
intensity about leadership purpose [focus values priorities all located in Phase 
III] and the need for future interdependent action] vision values priorities all 
located in Phase IV]. The challenge for the participants of this study in their
quest for professional development was that it required broadening the group’s skills and philosophical base. The group profile identified that ethical choices were based on personally meaningful and increasingly clear values as means values matured and that it was important for members of the group to have trusted peers with whom they could share their concerns and aspirations on a regular basis. Peer support groups in the work environment and building relationships with people in other professional environments who have similar responsibilities was identified as critical at this stage of development and that the direction of growth was moving beyond a focus on personal group issues to an integration of a human systems perspective.

All of us, I suspect, shared a willingness to discover the values that were at play and at work in our lives. We’re coming at values in a very different way than the way people come at it when suddenly they’re confronted by somebody who says “I am sectarian brand x, these are the values that belong in here, if you’re talking to me you’ve got to talk in these values”. We’re not being overt about values; we’re being responsive to the discovery of the values that are there.

[Ted]

The group profile post study identified a values shift to cycle 5. In conclusion, the group had reached a point, according to the Hall-Tonna Values Framework, of being torn between making choices based on their individual values and choices based on the rules of the organisation they relate to and work within. Cycle 5 reflects a shift in worldview where people search for a way to work and to live more in accordance with their individual values. However, not everyone reached cycle 5 themselves. It depended upon participants’ starting point at the beginning of the study, their personal action plans and whether or not eight months was enough time for an entire cyclic values shift to occur.

Further comment from an understanding of group dynamics theory and the potential impact that individuals can have on others, it did not appear that any particular participant had more of an effect than any other on the action research progress and outcomes. The fact that many of the goal values were similar in both the pre-test and post-test group profiles would seem to indicate a harmonious group with a relative degree of values alignment. Conversely not everyone agreed in the focus group discussions either but they did respect individual opinions and supported each other through the individual action projects being trialled. This behaviour reflects the fact that the means value of ‘rights/respect’ identified in both the pre and post-test was maintained
throughout the study period as a core value for professional development.

The research participants came to realise and understand that knowing one’s values position and being able to hold strategic values conversations regardless of their location in the values cycle was an effective way to navigate tensions between individual and organisational values non-alignment. The next Chapter extends the research findings and examines similar tension for public sector administrators with the government of the day. The action research study was conducted within the context of the Australian Public Service that embraces a unique set of legislated values. Extensive content analysis was therefore conducted on the Australian Public Service [APS] Values and Code of Conduct as well as on the Australian Public Service Commission [APSC] 2005 State of the Service Report (Australian Public Service Commission, 2005). Such analyses allowed the research participants to move into more sophisticated conversations about their experiences as SES officers and to trial new ways of leading from a values-based perspective.
6.1 Introduction

This chapter presents the research findings gathered through content analyses conducted on the key documents related to this study – the Australian Public Service [APS] Values and Code of Conduct as well as the Australian Public Service Commission ‘State of the Service’ Report (Australian Public Service Commission, 2005). The reports elicit the values priorities and leadership style being communicated to the APS and provide data about the organisational values being promoted via the Hall-Tonna Values Framework.

Research participants also highlighted issues associated with the politically contestable arena in which they work as leaders and managers and the tension experienced when espoused values do not align with values-in-action. A sense of disquiet about ethical behaviour in public service emerged with ongoing concern about negotiating this space from a values-aligned perspective that underpins an ethical standpoint. This interplay between personal and organisational values in the public sector became a central issue for participants in the study.

6.2 Australian Public Service [APS] Values

A study about values in the public sector necessitates a degree of scrutiny regarding the Australian Public Service [APS] Values and its associated Code of Conduct legislated through the Public Service Act 1999. The Act articulates the importance of role modelling and the ‘special responsibilities of the Senior Executive Service [SES] in relation to the APS Values and the Code of Conduct’ (Australian Public Service Commission, 2006). The Code of Conduct ‘is really just another way of expressing the values’ ('Bianca'). As members of the Senior Executive Service, the research participants support the tenet of the APS Values but found them unwieldy, irrelevant, ineffectual and impractical.
There are probably about 14 by the look of it, public service values…the problem with this is that it’s just fluff; it’s just too much to digest. [Bob]

People go ‘click’ and turn off. [Ted]

It’s irrelevant as a document, irrelevant to life. It’s part of the organisational rhetoric not part of the reality in the organisation. [Alex]

The APS Values present as descriptors of model behaviour and ‘some are really rules’ (Wendy’). It is questionable as to how many actual values there are. Unfortunately, there exists a tension within the public service as reported by the research subjects in the demonstration of those values-in-action.

You read something like these things and I know so many people now at our place who would say ‘oh yeah, so what’ and they don’t believe a word; it’s all bullshit. And they’re basing it on concrete evidence. [Ted]

Whilst everyone at the top thinks that these things are all being upheld, the people down below are terribly cynical…anyone you speak to could find an exception in their memory to one or a number of those. Really, these are now becoming platitudes and debased…the Commission should be looking beyond the return and doing its own audit. There needs to be like an ethical audit of agencies to see whether they actually are doing these things that they claim. [Bob]

The ‘values’ of appointment on merit and fairness in the workplace emerged as the most contentious, along with that of an apolitical public service which is examined in a latter section. The merit principle ‘has to do with trying to ensure that people are promoted on merit’ [Ted]. Although public servants work under a seniority system [including the research participants] it would appear that the majority of public servants have a different experience about appointments ‘on merit’, thus leading to cynicism and anger.

About 87% of those who responded to a survey that was conducted in the ABS said it stinks because the way you get placed in this merit list has got nothing to do with their perceptions of your merit. Even when they look into the process whereby people are rated and then placed in the merit list, the people who are in charge of it appear to be out of touch and out of harmony with the people who are being placed and their perception of their own merit…everybody wants a real, good, fair, honest, proper, merit order but nobody can agree on what the merits are or how the merits are to be rated. So they’ve got a real problem. [John]

[It’s not happening] It’s a piece of the machinery at the moment…it honours the promise but the way in which it is enacted, leaves people confused and puzzled and a good number of people very, very angry. [Bob]

Related to this issue is the perception that favouritism ‘is rife…they do the valuable work and everyone else gets the rubbish [for instance]…so people see that there’s the in-crowd and the out-crowd’ [Bob]. In addition, the frustration felt by inexperienced younger people was cited as cause for concern during an Australian Public Service Commission [APSC] briefing session held in 2005 on embedding the APS Values. One of the research subjects who attended reported that:
...the most recent survey of APS staff across the whole sector... seemed very much concerned that merit selection doesn’t happen and it’s stacked in favour of a particular person or it’s negative and all those sorts of things. It seems to have gotten worse the more people have tried to put up processes to try and promote the whole merit principle and some of the ideas that were being thrown around, aside from the obvious one which is ‘if I don’t get the job then it’s not merit selection because I’m clearly the best’ is the fact that we are increasingly recruiting on the basis of technical expertise and secondly that because of the way the merit selection has tended to operate is that you exclude younger people because they just obviously don’t stack up in terms of experience and that then is creating frustrations in particular areas within agencies and then that fields the idea that it’s favouring particular people. I don’t know what the answer is but obviously the APS is struggling with this at the moment. (‘Bianca’) A merit scheme, that is the recruitment of staff on the basis of merit, is the chief vehicle for implementation of the espoused APS Value ‘employment decisions are based on merit’ in public sector departments and agencies. The research subjects suggested that it should be tied to an effective performance appraisal scheme ‘so that you don’t have situations where a person gets a 4 out of 5 every year, is doing really well but suddenly they don’t get up to the next run. There’s got to be some reason’ (‘Bianca’).

It’s got to be fair and open and capable of being challenged...if there are some deficiencies then maybe part of that person’s development is getting those extra skills sets and giving them opportunities so they’re not just written off as ‘you’ve reached your plateau and that’s it’. I think some people thrive under certain people and others get de-motivated so that maybe moving people around has got a lot to do with it. [Bob]

Whether an actuality or just a platitude, ‘employment decisions based on merit’ is at the nucleus of every employee’s public sector career experience and there is argument for an improved measurable system to demonstrate this value-in-action. The stated APS Value of ‘fairness’ in the workplace and in decision-making is perhaps more intangible and therefore more about perception than an ideal that can be measured. Ultimately, it is an intrinsic experience.

We have some issues with the perception of how decisions are made and one of the things we’ve tried to get our people to understand is that the concept of fairness is not necessarily the same as equity or equality and we say that there is nothing less fair than treating an unequal situation equally... the true essence of a good decision is that it is fair. It’s a tricky one because so much of it is perception. My sense is that the more you put procedures in place, in some ways the more open you are to criticism because as soon as you have a procedure in place then that sets up a pattern for how everything is considered. (‘Wendy’)

Of the numerous discussions conducted within the action research group about the perception of fairness as an espoused value rather than a value-in-action, ‘trust’ in the judgement of people making such decisions emerged as an overriding concept. Whilst it doesn’t appear in the suite of APS Values, ‘trust’ is a value; it was suggested by the focus group as something that comes from:

observations...as to how the people making the decisions have acted in the past and how they act in making decisions relating to the business externally rather than people. There were
people that you just implicitly trusted to sift through the information and make the right decision because you knew they had the skills and the ability to do that. You'd have all the processes you like in place but for most people, their confidence in a decision is based on their knowledge of how that person has acted on previous occasions...You've got to get people to rise above that and say "yep, we trust the people that are making the decisions and they're making them on all the factors that are part of this particular situation...or selection process". (Wendy)

The way that workloads are managed is a case in point. The research participant who was most open to the values cited the fact that it was due to:

growing up in a public service family, watching shows like "Yes Minister" and listening to my parent's conversation about my father's work. I think all of this had a big impact and that I internalised a number of the values reflected in the APSC material...[it] works for me because of my personal experience. [Sally]

As an integral aspect of the action research, the APS Values and Code of Conduct were analysed using the Hall-Tonna Values Framework [HTVF]. The next section describes this process and presents the findings from this analysis.

6.3 Document analysis on the APS Values and Code of Conduct

Document analysis on the APS Values and Code of Conduct using Values Technology software (Hall et al., 1986) is a communications analysis based on the principle that values written many times in a document reflect the importance of the value; that is, the more times the value is present the more important the value is and the priority an organisation places on its values will therefore reflect the desired organisational behaviours. Table 17\(^\text{22}\) presents the values priorities of the APS Values and Code of Conduct using the HTVF method.

\(^{22}\) Table 17 is a copy of the original document located in Appendix 14.
Table 17: Values priorities [values clusters] of the APS Values and Code of Conduct

<table>
<thead>
<tr>
<th>VALUES NAME</th>
<th>FOUNDATION</th>
<th>TIMES CHOSEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goals</td>
<td>Family/Belonging</td>
<td>1</td>
</tr>
<tr>
<td>Means</td>
<td>Control/Order/Discipline</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Obedience/Duty</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Rights/Respect</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Safety/Survival</td>
<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>VALUES NAME</th>
<th>FOCUS</th>
<th>TIMES CHOSEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goals</td>
<td>Work/Labour</td>
<td>9</td>
</tr>
<tr>
<td></td>
<td>Service/Vocation</td>
<td>9</td>
</tr>
<tr>
<td></td>
<td>Integration/Wholeness</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Equality/Liberation</td>
<td>1</td>
</tr>
<tr>
<td>Means</td>
<td>Law/Guide</td>
<td>6</td>
</tr>
<tr>
<td></td>
<td>Duty/Obligation</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>Authority/Honesty</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>Administration/Control</td>
<td>4</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>VALUES NAME</th>
<th>FUTURE/VISION</th>
<th>TIMES CHOSEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goals</td>
<td>Construction/New Order</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Truth/Wisdom</td>
<td>1</td>
</tr>
<tr>
<td>Means</td>
<td>Accountability/Ethics</td>
<td>8</td>
</tr>
<tr>
<td></td>
<td>Community/Supportive</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Mission/Objectives</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Unity/Diversity</td>
<td>2</td>
</tr>
</tbody>
</table>

The communications analysis revealed the order of values priorities according to the Hall-Tonna Values Framework to be:

1. Service/Vocation
2. Authority/Honesty

The top priority value of ‘Service/Vocation’ suggests that the documents are directed at serving government and being professional in that service. It is interesting to note that the documents do not suggest ‘Service/Vocation’ to the people or society at large. This value further suggests that the Australian Public Service is encouraging meaningful work by helping staff to be motivated to use their unique capabilities to contribute to the organisation.

The second most important value of ‘Authority/Honesty’ suggests that the APS wants staff to express one’s full range of feelings and thoughts in a straightforward, objective manner as an experience of personal integrity in the workplace. This priority also expresses the desire for the APS to be seen by the people to be above reproach and condemn corruption in the organisation.
The third priority values found an equal number of times in the documents are ‘Accountability/Ethics’, ‘Duty/Obligation’, ‘Law/Order’ and ‘Work/Labour’. These four values are organisational values that reflect the organisational expectations and organisational pressure to impinge its values on staff. In order for these organisational values to be seen as positive rather than repressive, it is important that the document reflect individual values that are needed to achieve organisational values. Therefore, the values that need to be prioritised more are ‘Self Actualisation’, ‘Adaptability/Flexibility’ and ‘Rights/Respect’.

The next sub-section examines the documents’ foundation, focus and vision values and the consequent communication messages these documents give the Australian Public Service.

6.3.1 Foundation, focus and future values

Table 18\(^{23}\) maps the APS Values and Code of Conduct into the HTVF.

\(^{23}\) Table 18 is a copy of the original findings located in Appendix 14.
### Table 18: Values cluster map of the APS Values and Code of Conduct

<table>
<thead>
<tr>
<th>Phase 1</th>
<th>SURVIVING</th>
<th>Phase 2</th>
<th>BELONGING</th>
<th>Phase 3</th>
<th>SELF-INITIATING</th>
<th>Phase 4</th>
<th>INTERDEPENDENT</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>UNSAFETY</strong></td>
<td>Goals</td>
<td>_goals</td>
<td>Physical Delight</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
</tr>
<tr>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
</tr>
<tr>
<td><strong>SECURITY</strong></td>
<td>Goals</td>
<td>Means</td>
<td>Means</td>
<td>Means</td>
<td>Means</td>
<td>Means</td>
<td>Means</td>
</tr>
<tr>
<td><strong>FAMILY</strong></td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
</tr>
<tr>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
</tr>
<tr>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
</tr>
<tr>
<td><strong>CONSTITUTION</strong></td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
</tr>
<tr>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
<td>Self interest/ control</td>
</tr>
<tr>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
<td>Wonder/Awe/Fate</td>
</tr>
<tr>
<td><strong>VOCATION</strong></td>
<td>Goals</td>
<td>Means</td>
<td>Means</td>
<td>Means</td>
<td>Means</td>
<td>Means</td>
<td>Means</td>
</tr>
<tr>
<td><strong>NEW ORDER</strong></td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
</tr>
<tr>
<td>Art/Beauty</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
</tr>
<tr>
<td>Being Self</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
</tr>
<tr>
<td><strong>INTERDEPENDENT</strong></td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
</tr>
<tr>
<td>Art/Beauty</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
</tr>
<tr>
<td>Being Self</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
<td>Goals</td>
</tr>
</tbody>
</table>

**FOURTH FOUNDATION**: Autocratic - Paternalist - Manager - Facilitator - Collaborator - Servant - Visionary
Continuing with the communications analysis, the foundation values are weak in the goal value area. This suggests that if the APS comes under a crisis and/or is under stress, it will have a hard time seeing its goals to be able to recover quickly. The system will use its ‘means values’ as a course of action but will have difficulty achieving its desired outcome.

The focus values are the strongest area in the documents. This indicates that as long as a public sector organisation is not under stress, it will run with clear direction both strategically and tactically. However, in these new times with changing demographics and market forces, high staff turnover and higher than usual vacancies are being experienced. The APS could therefore experience stress in the recruitment and retention of public servants for instance. Focus values will not sustain the behavioural change needed, either because behaviour needs to change to be in values alignment or the environment is changing and responding to such requires future/vision values guidance.

Unfortunately, the vision area of the documents is also weak in the goals values area. This suggests that the APS does not have a clear view of its long-term outcome and reason for the values in the first place (Kroening, 2006). Values that are visionary in nature need to be added to the documents to be balanced and for their meaning and context to be understood clearly. Critical visionary values steer a public service towards a future worth aspiring towards.

There’s nothing aspirational [in the APS Values] about ‘this is the sort of organisation we want to be’. (Bianca)

That’s precisely what we lost…We were told that that wasn’t acceptable anymore, the aspirational stuff…We respond to Government and that was our job. [Ted]

To sum up, the communications elicited from the document analysis of the APS Values and Code of Conduct identify strength in the focus area, the day-to-day operations. Chapter 3 outlined how the APS Values and Code of Conduct came into being and the tension at the time of its creation between political parties and the union movement. Concentration by politicians on the current political climate at the time would account for the lack of future aspirational goals and go some way towards explaining the weak foundation goals. It further suggests that the value of ‘Family/Belonging’ is a core value held by those who are politically inclined to be in Parliament. Further discussion on this point is beyond the scope of this thesis.
The following two sub-sections reveal the deeper issues that the APS Values and Code of Conduct raise.

6.3.2 APS Values are not values

The communications analysis revealed that the APS Values are statements of behaviour rather than actual values. In fact, there were more values embedded in the Code of Conduct behaviour statements despite its purpose to provide a disciplinary code for public servants. It is no wonder that the APS Values have proven difficult to implement. They cover concepts that cause ‘much eye glazing over’ (‘Wendy’) and are uninspiring.

At best, the APS Values represent something akin to a foundation element in a Code of Ethics or the foundation rules of governance. The research concurs with the argument that there are too many values and they are too diverse (Wanna, 2005). Whilst intended to be ‘about relationships and how we conduct ourselves in organisations’ [Alex] the current APS Values are difficult to remember let alone be useful in practice. Many public servants believe that providing ‘frank and fearless advice’ for example is part of the APS Values and Code of Conduct but ‘fearless’ is public service folklore; it’s not in there.

6.3.3 APS Values are static

The APS Values need assistance to be effective. The Australian Public Service Commission has spent an inordinate amount of time and resources to assist Department Heads and the Senior Executive Service [SES] to embed the values in the public sector with questionable success.

I don’t know how much effective hands-on training there is. This will impact on people’s ability to internalise the values ie, if they don’t fully understand them, or the values are not easily incorporated into someone’s personal way of articulating what is important to them in their own lives…What works for individuals will be very different – each person will have a range of types of “hooks” that they hang ideas and concepts off. I don’t know that there is a universal or even an Australian hook that would be common to most. We are not a religious society, so that hook is not available. The fact that we don’t have a common social discourse I think will make it more difficult for the APSC to figure out how to package their material in a way that “speaks” to the greatest number. [Sally]

If the APS Values are missing individual priority values as the document analysis suggests then it would be an impossible task to internalise them. The personal motivational ‘hook’ is missing. In the current climate, sanctions influence whether the values are enacted or not [through the ‘threat’ of
levelling a Code of Conduct complaint] in addition to the individual’s readiness to uptake. The language being used around ‘values’ in the APS is not about values that guide the APS into the future but are statements that reflect how the government want a public service to behave ‘in the moment’.

The APS Values and Code of Conduct are static. There were numerous instances cited by the research focus group where the model behaviours scripted by legislation had not been enacted. The literature explained how values are dynamic and how they operate in binary combinations which create ‘movement’; that is, they provide energy to move into the future. The literature also found that the APS Values had not been informed by any values theory and this has contributed to their static nature. They have instead been a product of political party dynamics.

The next section presents an examination of the contemporary issue of whether or not the public service is apolitical as mandated under the APS Values. It is presented in this chapter because of the link between government and the APS Values and Code of Conduct they legislated. One of the key issues impacting on the executive role of the research participants was that of an increasingly politicised public service.

### 6.4 Politicisation of the public service

The APS Values state that the Australian Public Service ‘is apolitical, performing its functions in an impartial and professional manner’ (Australian Public Service Commission, 1999b). Claims that the public service under the Howard government has become more politicised have featured in public administration journals, news media, related seminars and press conferences (Fenton-Menzies, 2007; Marr, 2007) despite the Secretary of the Department of Prime Minister and Cabinet and head of the public service, Dr Peter Shergold’s claims otherwise (Lowe, 2007; Shergold, 2007). The research subjects work in a highly contestable environment and one of the key issues influencing this, they report, was an increasingly politicised public service.

I would say it’s more politicised. I wouldn’t say it’s 100% politicised but I think…there is a shift in the balance and it is now more difficult to say “no you can’t Minister because it’s out of bounds”. To be honest I remember back in the early 70s when I first came to Canberra I can still remember whingeing about how political the public service was so it’s not new; I think it’s just more so. I know in the number of jobs I’ve had in the last few years, I’ve copped that political
Public servants work to the respective government Minister but a prevailing view held under pre-Howard governments was that they worked for the public. ‘Before, we had a fierce sense that the public was the customer…and the Minister was the boss of an organisation which was serving the public’ [Ted].

Most people would see the Minister as apart from the organisation…a lot of the time in our organisation we talk about the Minister as a client rather than the head of the organisation and the Secretary would be the head of the organisation. [Sally]

As Bianca explained, ‘there is consistency between servants to the government and servants to the community. You service the community through the government which is put in place by the community.’ Motivation for public servants entering the profession is largely to make a difference but it can be a source of tension when that difference is difficult to gauge as an outcome of their efforts.

If there is any single thing that has drawn the life out of our organisation, it’s the loss of the notion that we work for the community…you’re serving the community, you are a servant to the public and the structure and democratic form and all the rest of it and the Minister is in effect the boss. That’s absolutely crucial to some of the problems we’ve got. [Ted]

The research participants argued that there has been a change in the character of public service and expectations of public servants. Under a decade of the Howard government, the public service had been made to conform and merge as a whole-of-government branded service. As explained in chapter 3, this was in keeping with the New Public Management principles that were sweeping the globe at the time. An example that highlighted the change in emphasis was dropping individual department logos and replacing them with the Australian Coat of Arms against a great deal of unhappiness, as reported by the research subjects.

[Our logo is] a very important part of our organisation. There would have been nobody in our organisation who would have said ‘that doesn’t mean anything to me’. It was I think a very useful focal point. We had a little over half our staff overseas so I think there was that aspect to it as well that there was that sense of belonging…scraping the logos and trying to get this uniformity and conformity within the public sector is seen by us as the beginning of the end in terms of organisational independence and encouragement for initiative taking and that sort of thing. (Wendy)

It’s centralising authority and if you’re going to centralise authority, you’re going to cascade down the line to ensure conformity and I believe that’s actually happening…We’re in a phase of centralisation and increasing authoritarianism. [Ted]
Another example was the overwhelming message that public servants now work for the Minister serving the government; they do not work for the public. Through the collaborative focus group discussions and experiences, the contrast presented by the research participants was that most public servants joined the service because they wanted to make a difference and this was understood as serving the public through the Minister.

The majority of public servants still are serving the public correctly…you tell them the minister is their primary customer and it just doesn’t wash. It’s just horse manure really when you say that to them. [Bob]

I can have a whole debate about this. Our job is to help the Minister to inform the Minister’s consideration of what’s in the public interest, so you’ve got to have a view of the public interest to start with. If you just start with a blank sheet, what’s the point; you may as well not exist. At least with policy advice, you might as well not exist. [Ted]

 Appearing before Senate Estimate Committees is a required but nonetheless daunting task for most senior executives and a process they prepare for assiduously. During the period that the focus group was operating, a particularly hot political topic was under Senate scrutiny. The senior executives involved were told by their Ministers not to say anything except “I can’t comment”. Stifling comment put additional pressure on those appearing before the Committees to answer questions on the matter.

When you go before a Senate Committee, there is a clear understanding that you’ll protect the Minister. There is also an understanding that you won’t tell lies. [Heather]

If I lied to the Estimates Committee I’d be hung, drawn and quartered…You really need a good talk on tactics before you go in. Anytime I’ve gone to Senate Estimates, it was always clear that the Minister would respond on matters of policy and you on matters of administration. [Ted]

The complexity of the role of senior public servants is further highlighted when Ministers change portfolios. Consequences include imposition of a different set of values, the appointment of staff who fall into line with those values and removal of staff if they don’t.

In one hit, the Minister’s values are imposed, a whole new set of leadership personalities are brought in and as a consequence, a new cluster of values comes into the organisation and the organisation is either changed by it in order to absorb the new values, or people in the organisation are made to feel just that much more distant from those whose values are coming down from above. [Ted]

The effect that [a change in the Minister or Secretary/CEO] can have on staff …staff feel much closer to their CEO/Secretary. If that person is removed and the values that they hold are gone and then bringing in a new person who starts all over again, very often probably for his own protection, he exaggerates the values of the Minister or appears to be doing so. [Bob]

Public servants at all levels will leave departments for many reasons, not least of which includes the alignment of their values with transferring managers whom they might follow or non-alignment of their values with their respective
organisations. This tension creates role conflict. Contributing to this tidal movement is Ministers’ hierarchical way of working ‘because we’ve all got to conform. I think that’s actually becoming more and more endemic in the APS and I think it will make it very difficult to form empowering type [organisational] structures’ [Heather].

We were clear about [our roles and what we stood for] and then this guy comes in and gives us a lecture about how we are so far outside of the mainstream that we are no longer regarded as a particularly good organisation; we don’t serve government effectively or efficiently, we have to change our way of thinking, we have to conform. In a sense, they took away our values...we have to become more typical; we have to become more like the mainstream, whatever that is. It’s interesting when he uses that language. So the organisation has been told to ship up and conform...there’s all this talk about values but the organisation is actually a bit of a wreck at the moment. [Ted]

Competing values between public servants and the government they serve has created varying degrees of tension. The imposition of the Howard government’s values of ‘conformity’ and ‘compliance’ through an ‘increased regulatory function that we didn’t have before’ (‘Bianca’) has led to regression in terms of values development with ‘a strong tendency to think from clichés; not to think into an issue and explore it’ [John]. All research subjects agreed that there had been a change in the expectations of public servants. ‘This emphasis on what’s in the public interest; it’s not for you to [now comment and] know what’s in the public interest’ [Heather].

It’s true [there’s been a shift]. I can remember one of my friends used to say that working for public service was a vocation not just a job and he meant it. I repeated that to him a year ago and he snorted and I thought ‘that’s a big shift’. [Ted]

It would appear that the New Public Management principles introduced by the Howard government were unpopular because they were based on a different set of values from those held by these senior public sector leaders. The values which motivated the research participants to enter public sector administration, although largely a ‘silent discourse’, were being challenged. With the disappointing and confusing APS Values and Code of Conduct added into the mix, it was little wonder that such sentiments were being expressed. It appears that a clear vision was lacking from government for the APS leadership to guide the public service through these changing times. Ethics and ethical behaviour in the next section emerged from this discussion to become a strong thread throughout the research period.
6.5 Ethics and ethical behaviour

Ethics is the discipline that guides behaviour within a broad framework of a particular population under which we might think and act. Everyone within that population, be they research scientists, medical practitioners, lawyers, teachers or public servants are expected to know and to hold the minimum values priorities to lead a constructive purposeful life (Hall, 1995); that is, to live to one’s maximum potential.

As previously stated, the research participants are all members of the Senior Executive Service [SES]. The SES was created under the Hawke government but implemented when the Howard government came to power in 1996. Employment conditions for the SES were brought into line with those of their private sector counterparts as a New Public Management initiative. ‘They brought in this thing called “the structural efficiency principle” and the SES got all the cars and money and the rest of us learned how to type because they abolished typing courses’ [Bob].

Whilst there is an expectation that the SES will adhere to the policies and expectations set by Parliament and serve the government of the day without favour, the impact on leadership style under an increasingly regulated and compliant-driven public sector serves to attract and reward those who value ‘compliance’ and ‘conformity’. There are many in the SES who do not hold these values nor can they comfortably demonstrate the desired behaviour.

Ethics represent the minimum values that everyone must agree to (Hall, 1995). ‘I think the standards expected of public servants are probably higher than those expected of politicians’ [Sally]. One of the APS Values states that public servants will have ‘the highest ethical standards’ (Australian Public Service Commission, 1999b) and certainly there is a need to be operating ethically. This includes maintaining the ethics of the agency, the ethics of the decisions...
made [based on values] and the ethics to uphold the standards of public service. Ethical dilemmas faced by research subjects occurred whenever their employer was perceived to be not acting ethically and asked of them to do things differently.

Various methods for providing a ‘dose of truth’ were offered that included provision of options and their consequences in cabinet submissions and ministerial briefs. However, ‘I once had the experience where I was asked to comment on a cabinet submission I wasn’t allowed to read’ [Ted]. Ethical dilemmas and role conflict abound in the SES role. The research group suggested that self-censorship takes place.

The research participants report an overall concern about the ethical behaviour of their employer, the Australian government, and the different standards expected of them as employees.

24 The ‘children overboard’ affair was an event in which was alleged that illegal immigrants coming into Australia by boat threw their children overboard when caught by authorities. This event was proven to be a false accusation but the issue was connected by the Howard government to the refugee debate and occurred just prior to the Australian 2004 federal election.
working in an environment where the elasticity of the concept of honesty...is very different to what the court expects the directors of HIH\(^{25}\) for example to work to. Had the Directors of HIH been in politics, at the very most they would have gone to the backbench. [Bob]

‘There are times when the government has made clearly stupid decisions’ [Ted] and the Minister will ‘quite directly blame us as public servants for the program going wrong. People just get sick of that, especially if the retribution is quite abusive’ [Ted]. The concept of an Ethics Officer emerged.

I think that perhaps every organisation should have some ethicist / Ethics Officer to give this barometric reading of how the values are being upheld and somebody independent in a sense, who is not going to be bullied by the CEO [or Secretary]; maybe some outplacement of the commission or whatever. It sounds a bit like a political officer but if you go to any major corporation, they have somebody like that I think; particularly in the US because there are very stiff penalties for unethical conduct so they have somebody there to make sure that the company doesn’t run foul of the law and then get wound up. So you need somebody like that who is perhaps some sort of gauge as to how the values are being upheld and really the State of the Service Report should be putting that out. [Bob]

The APSC act in some way towards fulfilling the role of an Ethics Officer but they operate from a central location and are not dispersed throughout APS agencies. The expectation on the SES to model and uphold ethical standards of public service has already been mentioned but this is different to ‘Bob’s suggestion. In considering ethics, behaviour and a potential Ethics Officer role, the discussion moved towards concerns about managerial performance.

### 6.5.1 A lens on managerial performance

A common scenario that questions the ethics and integrity of senior executives occurs when espoused values do not translate into values-in-action. Although ‘we’re all ethical in our own eyes’ [Bob] there is cognitive dissonance at play where people justify their conduct through the way they perceive themselves.

It’s a phenomenon you often get in terms of ethical dilemmas. People rationalise their behaviour by this process of using some technique to revoke a nagging conscience. ...I absolutely understand the human desire to not necessarily see your weaknesses, that's a fundamental part of human nature and you don’t like getting criticism. What is not normal from my

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\(^{25}\) HIH was an Australian-based entrepreneurial insurance company that collapsed in 2001. It was the largest corporate failure in Australia to date, caused loss and hardship to millions of people and was a major contributing factor to the insurance crisis that followed. A Royal Commission found that several of the company directors were dishonest and/or derelict in their duties and they consequently served gaol terms. It reported that “the Australian community had an expectation that corporate regulation, audit and good corporate governance should have triggered early warnings of any looming crisis. Public confidence has been shaken.” Bailey, B. 2003. Report of the Royal Commission into HIH Insurance. Canberra, Parliament of Australia, Parliamentary Library. [http://www.aph.gov.au/Library/pubs/RN/2002-03/03rm32.htm](http://www.aph.gov.au/Library/pubs/RN/2002-03/03rm32.htm).
perspective is a complete inability to see that you can do something differently.’ Even I think people who have fantastically intact egos and think they’re wonderful, most of the time they can acknowledge ‘ok, I could have done that a bit better’. [Ted]

The adverse affect of cognitive dissonance is amplified when senior executives continue to act out of alignment with their espoused values or are unethical in some of their practices, whether conscious of doing so or not.

*When people reach a certain level it’s as if I say and not as I do. Of course, if somebody very senior is seen to be shonky, everyone else is going to adjust their own [focus] values to match what they think the boss does.* [Bob]

An exaggerated focus on outcomes at the expense of process was of concern to research participants. ‘The trail of bodies along the way’ [Bob] questions ethical means. ‘Some people don’t care how they get there or who they tread on along the way’ [Ted].

*All too often people say outcomes are what matters but they don’t realise that the process by which you reach the outcome you want has other outcomes attached to it. As a crude example which is very common in the APS I think, if you leave a whole lot of disgruntled unhappy people in your wake, that will come back to bite you. There will be an outcome to that, even if it’s not visible at the time that you achieve the explicit outcome that you are seeking. That is the whole point and that in my view is where our place has been going wrong and where a lot of other APS agencies are going wrong. This notion of outcomes are what you are explicitly looking for today leaves a whole lot of other outcomes that you create inadvertently or otherwise for the future…the department of unintended consequences is huge…If there is no dialogue, if you just impose a decision, you’ll squeeze an outcome into the picture; you’ll create a very hostile and aggressive one if you don’t involve people in the process. People who are generally involved are much more likely to accept the decision that’s been finally reached.* [Ted]

An example that highlighted an issue of ethical behaviour centred on managers not dealing with underperforming staff over several years and not modelling the development of appropriate people skills.

*One of the difficulties [I have] is my predecessor was a personal friend of [the previous manager of the state office] and it would appear, according to the staff there, that while it was raised repeatedly with this person, her response was “well, that’s just her, we’ll work around it, it’s not that bad, it will be ok”. But it then developed to a level where [staff were saying] “it was no point arguing with management because nothing will happen”…What’s really curious is that for whatever reason, the person concerned thinks this has all just manifested out of the blue and that there’s never been a problem before and that they must have all ganged up together for some reason. It’s unforgivable from a management perspective that the organisation would have left those people to have to cope and some of the stuff that has gone on is pretty awful.* [Bianca]

Managers owe a duty of care towards staff, especially in these circumstances. ‘Everyone has the potential to be better than what they are with the proper support’ (‘Bianca’). An additional issue for senior executives concerns the APS ideal of the portability of the SES [under NPM principles] and the consequence of being placed in positions with limited subject matter knowledge. An emotion this raised included feeling like an impostor and not being able to
CHAPTER 6: DOCUMENT ANALYSIS BASED COMPARATIVE NARRATIVE: INTERPLAY BETWEEN PERSONAL AND ORGANISATIONAL VALUES

demonstrate a degree of vulnerability because of the high expectations on the SES.

People are moved from one place to another, often to an area where they don’t have the skills and the people there don’t trust them so they drive people off to bring in their own people whom they feel secure with. So you have a lot of bullying that happens against people who are good workers but they make them feel bad to get rid of them...you suddenly find productive people becoming unproductive, absenteeism and all of that; not because they’re bad to begin with, it’s because this newcomer doesn’t feel comfortable with people. I think they’re tough on bullying at lower levels but bullying at a higher levels, is just seen as management. [Bob]

Research subjects suggested that the whole nature of complaint handling in the APS needed an overhaul.

When we concluded the investigation, we were advised...that while we could tell the staff who complained that there had been a conclusion and finding, we were not able to tell them the specific outcome in terms of whether or not their particular allegation has been upheld...leaves the staff up in the air which is pretty awful. Obviously we would have handled it discreetly ... it also means that there is no general sense [to her and to other people]...of being able to say...management does take bullying and harassment seriously and we will do something about it. (Bianca)

The APSC has published useful guidelines on official conduct that lists unacceptable behaviour as well as a supervisor’s guide for recognising bullying in the workplace. The Code of Conduct establishes directly the grounds upon which misconduct proceedings can be initiated (Minns, 2004). The individual elements in the Code state clearly the expected standards of ethical conduct. However, the effectiveness of the Code of Conduct remains dependent on managers prepared to take action and ‘to institute appropriate remedial procedures’ (Minns, 2004).

I think what you need is both a code of conduct and code of ethics because the ethics is the highroad but it needs to be underpinned about what is the minimum of acceptable behaviour. Often they won’t be in sync and what’s illegal and what’s ethical are two different things too. There’s got to be a sting in the tale that if people won’t follow the principles based approach, at least they’re clearly aware of what is not acceptable. I used to be one of those who would think that the compliance approach doesn’t work because people hunt for loopholes but if it’s married up with principles based code of ethics, that tends to work but you don’t just publish it, you’ve got to have workshops and raise awareness. [Bob]

Given there are ongoing issues about bullying and harassment in the APS (Australian Public Service Commission, 2010), it would seem that managers are still not effectively addressing unacceptable conduct even though the Code of Conduct exists. The next section takes a deeper look at what the APSC is communicating through its annual ‘State of the Service’ Reports.
6.6 Analysis of the 2005 ‘State of the Service’ Report

The APSC is the government regulator with responsibility for governance of the APS Values and Code of Conduct. Table 19\textsuperscript{26} presents the values priorities expressed by the APSC in the document analysis of the 2005 ‘State of the Service’ Report (Australian Public Service Commission, 2005). This was the main reference document for governance of the APS at the time of the research.

Table 19: Values priorities [values clusters] of the APSC through analysis of the 2005 “State of the Service” Report

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<thead>
<tr>
<th>VALUES NAME</th>
<th>FOUNDATION</th>
<th>TIMES CHOSEN</th>
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<tbody>
<tr>
<td>Goals</td>
<td>Family/Belonging</td>
<td>19</td>
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<td></td>
<td>Security</td>
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<td></td>
<td>Self preservation</td>
<td>2</td>
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<tr>
<td></td>
<td>Wonder/Awe/Fate</td>
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<tr>
<td>Means</td>
<td>Control/Order/Discipline</td>
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<tr>
<td></td>
<td>Care/Nurture</td>
<td>21</td>
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<tr>
<td></td>
<td>Economics/Profit</td>
<td>19</td>
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<td></td>
<td>Friendship/Belonging</td>
<td>17</td>
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<tr>
<th>VALUES NAME</th>
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<tr>
<td>Goals</td>
<td>Work/Labour</td>
<td>66</td>
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<tr>
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<td>Service/Vocation</td>
<td>50</td>
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<td></td>
<td>Competence/Confidence</td>
<td>41</td>
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<tr>
<td></td>
<td>Integration/Wholeness</td>
<td>27</td>
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<td>Law/Guide</td>
<td>77</td>
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<td>Management</td>
<td>75</td>
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<tr>
<td></td>
<td>Achievement/Success</td>
<td>49</td>
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<td></td>
<td>Quality/Evaluation</td>
<td>47</td>
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<tr>
<th>VALUES NAME</th>
<th>FUTURE/VISION</th>
<th>TIMES CHOSEN</th>
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<tbody>
<tr>
<td>Goals</td>
<td>Construction/New Order</td>
<td>9</td>
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<tr>
<td></td>
<td>Knowledge/Insight</td>
<td>9</td>
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<td>Faith/Risk/Vision</td>
<td>8</td>
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<tr>
<td></td>
<td>Truth/Wisdom</td>
<td>8</td>
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<tr>
<td>Means</td>
<td>Accountability/Ethics</td>
<td>222</td>
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<tr>
<td></td>
<td>Growth/Expansion</td>
<td>60</td>
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<tr>
<td></td>
<td>Community/Supportive</td>
<td>37</td>
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<td></td>
<td>Unity/Diversity</td>
<td>13</td>
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</table>

The communications analysis revealed greatest emphasis in the focus values area with values priorities being ‘Law/Guide’, ‘Management’, ‘Work/Labour’ and ‘Service/Vocation’. There was minor emphasis on the values of ‘Family/Belonging’ and ‘Control/Order/Discipline’ identified as the foundation values priorities. Of particular interest, however, is the disproportionate emphasis indicated for ‘Accountability /Ethics’ in the future/vision values.

\textsuperscript{26} Table 19 is a copy of the original report in Appendix 14.
priority area. This value was selected nearly two hundred more times than any other value and clearly it reigns as the highest values priority for the author of the Report, the Australian Public Service Commission [APSC].

The literature in chapter 2 considered that organisational working documents such as the ‘State of the Service’ Report and individual departments’ ‘Mission, Vision and Values’ Charters usually lag behind an organisation’s culture because documents take time to write and to get integrated into the culture. Whilst the research participants concern about ethics and ethical behaviour is a contemporary issue, this salient document of its time was still exhorting the value of being accountable and ethical. In the Hall-Tonna Values Framework, this lag can be identified where two to three steps differ between analysis of an organisation’s communication documents and the executive leadership team. I return to this point in the next sub-section.

Nevertheless, research participants agreed with the values of ‘Accountability/Ethics’ as the highest priority for public sector administration but cited many instances when what was espoused versus what occurred in reality differed significantly.

Our new CEO was appointed under a questionable process that wasn’t values-based, whereas everyone else in the agency has been appointed for each of the [agency’s] values. This one wasn’t and the fall out is enormous. (‘Wendy’)

This is an example of a government department appointing senior executives whose values align with theirs and whose behaviour would therefore be similar. This action is potentially in isolation from the values held by members of the organisation. In this agency, all of the SES and executive level staff left within months of the new CEO appointment and the majority of the remaining staff followed suit within a year. The values of the agency shifted as the senior executive and management team were replaced by others known to the CEO and who were familiar with, and possibly shared, his values. It had the effect of recreating the organisation in his comfort zone.

I’ve gone through that situation myself and, unfortunately, sometimes it seems like there’s toxic management and trying to sell a values-based thing in a background like that is an uphill battle. (Bob)

Issues of appointment on merit have been previously highlighted in this thesis but the above examples raise the question ‘on whose merit’? The next sub-
section considers the values position of the APSC from an analysis of the leadership style it communicates through its documents.

6.6.1 Leadership style reflected in the APSC documents

Thus far it has been ascertained that the values priorities of the APSC are disproportionate and that attention to rebalancing the foundation, focus and future values is needed. Similar to the APS Values and Code of Conduct there is a greater emphasis on the focus values, the everyday work of the APS which will not provide long term sustainability of the profession in these changing times. There will need to be a change in emphasis for public sector administration to remain in alignment with the values of the community it serves.

Table 20 extending this argument to consider the leadership style being communicated to the APS through the 2005 ‘State of the Service’ Report, the major publication of the APSC at the time of the study. ‘State of the Service’ Reports are published annually.

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27 Table 20 is a copy of the original report in Appendix 14.
## Table 20: Values cluster map of the 2005 ‘State of the Service’ Report

<table>
<thead>
<tr>
<th>Phase 1: Surviving</th>
<th>Phase 2: Belonging</th>
<th>Phase 3: Self-Initiating</th>
<th>Phase 4: Interdependent</th>
<th>Foundation</th>
<th>Focus</th>
<th>Vision</th>
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<td>Self Words</td>
<td>Self Actualization</td>
<td>Construction/ New Order</td>
<td></td>
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<tr>
<td>Means</td>
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<td>Means</td>
<td>Means</td>
<td>Means</td>
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</tr>
<tr>
<td>Food/Warmth/Shelter</td>
<td>Means</td>
<td>Food/Warmth/Shelter</td>
<td>Adaptability/ Flexibility</td>
<td>Art/Beauty</td>
<td></td>
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</tr>
<tr>
<td>Function/Physical</td>
<td>Means</td>
<td>Function/Physical</td>
<td>Authority/ Honesty</td>
<td>Art/ Beauty</td>
<td></td>
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</tr>
<tr>
<td>Safety/ Survival</td>
<td>Means</td>
<td>Safety/ Survival</td>
<td>Congruence</td>
<td>Being Self</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The communications analysis shows that the APSC is unconsciously submitting to the APS a facilitative leadership style albeit at an early stage of cycle 4. The steps in leadership development are shown in Table 22 with the APSC located at step 10 [coded yellow]. Analysis of the APS Values and Code of Conduct identified a facilitative style as well but at one developmental step further [at step 11 coded green]. The action research group values profile began the study at step 12 [coded blue] and moved to step 13 [coded red] by the end of the study.

Table 21: Steps of leadership development in the HTVF

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 |
|---|---|---|---|---|---|---|---|---|----|----|----|----|----|----|----|----|----|----|----|
| AUTOCRATIC | PATERNALIST | MANAGER | FACILITATOR | COLLABORATOR | SERVANT | VISIONARY |

The literature in chapter 2 identified that lags do occur between documents describing an organisation’s mission, vision and values and the lived experiences of the people who work there. In the HTVF, this lag can be identified in the steps to leadership development shown in Table 22. The literature also described the relationship between leadership and followership as ideally a situation where organisational leaders represent the aspirations of its members. This can be seen in the HTVF as being one step ahead [as a minimum], often two and sometimes three steps ahead. The literature also pointed out that leaders needed to be relevant to the members of an organisation and that if members of an organisation were steps ahead [in terms of values development] than its leadership then the latter became irrelevant and ineffectual and, if the leadership was not changed, the members would leave. Such was the case cited in the previous sub-section about the CEO appointment and the masses that subsequently left soon after.

Table 22 highlights similar differences and presents these differences in a developmental leadership style continuum. Clearly the documents produced by the APSC do not resonate with the research participants collectively despite agreement about the values of ‘accountability/ethics’ being the highest priority. Messages being emitted from the APSC via documents such as these are 2-3 steps behind the development needs of its SES. From a values perspective, the research participants would not be seeing the leadership they need from the
APSC. However, the research participants could provide leadership that would bring the APSC forward in terms of values development and understanding.

These findings have implications for leadership development programs for the SES. They go some way to explaining why the participants were drawn to this study in the first place and perhaps to the promise of professional development with peers in collaboration learning together through values inquiry.

6.7 Conclusion

The APS Values and Code of Conduct, both similar in their behaviour statements, could be re-envisioned as a Code of Ethics that encompasses the foundation, focus and future values of public service. The APS Values could sit within this code and provide substance for it to be embedded. A Code of Ethics that provides guidance and direction to the public service differs vastly to a Code of Conduct designed purely for disciplinary purposes. ‘Building an ethical code’ (Hall & Joiner, 1992) as an inclusive practice within a profession has the effect of building commitment. Such a process can allow for the translation of values into ethical standards [values-in-action] to clarify what is acceptable and what is not acceptable behaviour.

As the Australian Public Service becomes more politicised, the role of the Senior Executive Service [SES] becomes more politicised and they face an uncertain future in terms of the clarity of their role. Attempts to bring private enterprise principles to the SES through the New Public Management agenda have been fraught with the culture and history of the APS and the behaviour of Parliament and Ministers. The SES endeavour to operate professionally in a political context that causes the ‘rules’ to be slippery and unclear. They have a unique relationship in public sector administration. Whilst their position is not very different to that of CEOs in private enterprise - they are on contract and work under instruction of a Board [government of the day] who provide broad policy directions - the impression is that CEOs are more protected than the SES under the Australian Corporation Law; the CEO can speak directly to the Board and the Board is more ‘hands-off’ on the operational side. In sharp contrast, Ministers often ‘push through’ the SES to the operational side, resulting in the latter being affected by the whim of a single person.
Senior Executives in the Australian Public Service work in a highly contestable environment with demand for expertise and capability in, for example, negotiation, decision-making, meeting diverse stakeholders’ needs, resolving role conflict [theirs and others] and personal resilience. As a leadership group they are situated between and influenced by the demands set by the Minister on one hand and the expectations of public servants whom they lead on the other. They are expected to demonstrate leadership in policy development, project management, relationship management, business systems and governance. Possessing a working understanding of values-based practices and their impact appears to be essential to the success of their organisational leadership role in traversing the interplay between their values, the values of their organisation and the priority values of the government of the day.

The document analysis gave research participants new understandings about the embedding of values in the workplace and allowed them to move into more sophisticated conversations about their experiences as SES officers. Grounded in this knowledge, and flanked by support from research peers in the action research group, participants’ confidence to trial different leadership practices strengthened and their understanding of the values dynamic deepened. It was critical for participants to be aware of their own values position and to take themselves seriously as learning leaders. They were active in dialogue in the focus group sessions and openly shared their experiences for all to benefit.

The next chapter analyses and interprets the composite and comparative narratives from the previous two chapters and presents the key themes and new knowledge that emerged from the research.
7.1 Introduction: research questions unpacked

This inquiry is situated in the fields of values, ethics and leadership in public sector administration. The key research question was to examine the sorts of changes that might be possible if organisational leaders engaged in values inquiry as a basis for professional development. Underpinning this question were a number of related questions as outlined in chapter 3.2 which guided the outcomes of the choice of research methods and orientation to the study. These are now summarised below.

The action research group which comprised of senior executives in the Australian Public Service [APS] undertook a values journey by firstly exploring their own values position and establishing a personal action plan to guide them through the inquiry period. In keeping with action research principles, they reported on the progress of their action planning as part of the collaborative peer learning group. Action plans were evaluated and new strategies proposed as the research participants actively and with intent changed their leadership behaviour. The values inquiry incorporated an analysis of organisational values in the form of key APS documents which enabled scrutiny between individual and organisational values alignment. The research participants considered how to manage values differences at this interface and, in particular, the politically contentious values space in which they work. The extent to which a values shift was possible within an eight month research inquiry focused on an in-situ exploration was measured through the pre and post testing of the Hall-Tonna Values Framework inventory (Hall et al., 1986).

This research is unique because it is the first time that a study on the link between values, ethics and leadership development had been conducted in the Australian Public Service with a cross-agency/departmental action research group comprising members of the Senior Executive Service. It is also the first
time that the Hall-Tonna Values Framework had been used in this setting. Document analysis of the APS Values and Code of Conduct and the communications analysis of an annual ‘State of the Service’ Report added another lens and an opportunity to triangulate data methods in keeping with qualitative inquiry principles (Creswell, 2003; Denzin, 1978).

The findings from this inquiry propose a new look at leadership development programs with an ethical dimension for public sector administration and a revamp of the APS Values and Code of Conduct. Whist the inquiry cannot claim to reflect every senior executives’ experience in the Australian Public Service, many will see elements of their own experience in the account presented in the previous two chapters and the key findings presented in this chapter are expected to be widely recognised.

The findings that emerged from the inquiry come under higher order approaches that are discussed in detail in the next chapter. Both the key findings and the higher order approaches incorporate the dynamic that exists for senior executives in the Australian Public Service as they fulfil their complex roles in a politically charged contentious work environment and how values get played out across that dynamic. This was the context in which the research participants were engaged as organisational leaders and from which the key research findings emerged. They are: leadership using core values; values language and interpretation; values-based leadership; ethics and ethical behaviour; and the Australian Public Service [APS] Values.

7.2 Leadership by core values

The literature in chapter 2 identified that the most successful, productive and enduring organisations were strongly values-based and that these organisations had embedded their core values deeply into their culture through aligning their practices with their rhetoric. People were reportedly more happy and healthy when their values were in alignment with those of the employing organisation and when leadership-in-action reflected what the organisational values espoused.

This research found that synthesizing organisational values to preferably four [and no more than six] key ‘concepts’ for simplicity and resonance was
essential for everyone in the organisation to grasp. For values-based leadership to work, values needed to be reinforced through day-to-day decision making, dialogue and other forms of communication. Values-in-action needed to be reflected in work practices supported by and aligned with procedures, reward systems and recruitment strategies to be successful. The research participants found it easier to remember and to act upon four core values than to incorporate the long list of the Australian Public Service [APS] Values.

An example provided involved a domestic crisis that one of the participants had to manage while she was overseas. She reflected to the research group how a decision had to be made ‘on the spot’ and how she did so ‘mentally ticking it off against my core values’. She was comfortable with the decision because of her process. In previous situations she had lost sleep over major decisions.

The Hall-Tonna Values Framework was a salient guide for the research participants to work with in practice. Using their values priorities identified via self-diagnosis [the questionnaire] and then developed into core values through individual action plans, research participants were able to centre their leadership efforts during the course of the study. Upholding succinct core values enabled these leaders to act with confidence particularly when timely decisions had to be made within a complex work environment.

Another example pertained to a team scenario. A participant wanted his management team to work more as a team rather than as a collection of individuals. He trialled facilitating values-based conversations to elicit his team’s core values. With further refinement over three months, and some input from the research participants, the team collaboratively constructed three core values with statements about what they looked like ‘in practice’. In other words, through values dialogue based upon core values this team were building the bridge between the rhetoric and reality of values-in-action. As a result of their developmental experience, it is possible that these middle managers could in the future go on to practice ‘working with’ leadership using values-based conversations with their staff.

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28 Refer Appendix 13 for two examples of individual vision statements and action plans.
Experiences of the action research participants attempting to implement values-based approaches in their leadership resulted in greater self knowledge and better understanding of their staff and deeper practical understanding of their workplace culture. The previous example presented a ‘leaderful’ (Raelin, 2003) approach to changing the culture of an organisation through values work.

Organisational values could be exposed to similar values-based processes to make them more meaningful and relevant for the people who work there. This is the space in which leaders must lead, through holding strategic values-based conversations that encourage open dialogue to elicit shared meaning of the values-in-action and hence shared workplace values. This brings me to raise the next critical research finding, that of values language and interpretation.

### 7.3 Values language and interpretation around values

The literature has indicated that values-based approaches in organisational leadership are critical for gaining commitment and understanding in the workplace. McCann’s (2005) work identified that it was safer to talk about values if the discussion was framed as values in the workplace and this inquiry concurs. The research participants found that using the term ‘values’ was itself value-laden because ‘values’ were interpreted in different ways that caused people to become uncomfortable, confused and misunderstood. This finding was illuminating, given the fact that public servants are expected to adhere to and operate under the APS Values framework which implied some degree of anticipation that public servants could openly discuss values in the workplace. However, this assumption was not borne out in the research.

An example provided from the action research group typically involved one-to-one discussions between a research participant and a staff member in the early stages of the research. The research participant actively opened up the space for values dialogue only to experience a complete ‘shut down’ by their staff member and this was puzzling. One could interpret this incident by drawing on the hierarchical organisational structure of the Australian Public Service with reference to seniority. Members of the Senior Executive Service are generally articulate, well educated and ‘big picture’ thinkers and it might be a daunting prospect for their staff to engage personally with them. The group debated this
position. It was clarified in later group meetings that the language used around values had to be qualified such as framing the conversation with the term workplace values. Without this clarification, people could interpret the question as perhaps personal values or family values or religious values.

This was an important finding that proved fundamental to the other findings. We have to be mindful about using values language particularly in leadership positions. There are other phenomena going on in the workplace than what we might at first observe. For instance, Argyris (Christensen, 2008) points out that individuals use defensive routines to preserve a worldview they hold that may or may not be held by others. This can lead to ‘skilled incompetence’, most often an unconscious protective mechanism akin to the ‘cognitive dissonance’ factor referred to by the participants in this study to explain self-fulfilling beliefs. As Argyris (1993) states, ‘the worst part is that the use of defensive reasoning prohibits questioning our reasoning’ (p.12). Leaders will not be able to shift the views of colleagues and followers automatically because people will unconsciously hold on to a known and comfortable worldview. What needs to change is the personal values lens through which leaders and the people they engage with in their leadership role see the world.

The research identified that this lens held family values, religious values or some other values domain as a higher priority over values in the workplace because they were more important to the individual. Indeed, the research recommends not using the term ‘values’ in workplace dialogue loosely but suggests instead to be more specific and to use the term ‘workplace values’. By using this term the research participants gained more effective traction with their values work aimed to enhance their leadership practice.

Taking this notion a step further, the research also found that the meaning behind each value needed to be understood as a value-in-action in context. This was achieved in the action research through unpacking each term into an agreed behaviour statement via dialogue around two pivotal questions: “What does this [particular value] mean in this workplace?” and “How would we know that this value was being demonstrated?” The latter question proved to be a crucial one because it unravelled the meaning behind the words chosen.
and, in surfacing this understanding for individuals in a group setting, shared understanding and agreement was developed about the associated and acceptable behaviours involved.

Collation of a set of values statements in this way, such as through workshopping with a targeted group in the workplace setting, enabled the development of a common values-centred language that was understood by each member of that group. However, as the research participants discovered, this process requires an investment in time. Being part of an action research project motivated the research participants to follow through on this strategy which otherwise might be less attractive due to time constraints. It is important for leadership development programs to therefore build the facilitation skills of leaders to encourage values dialogue with an ‘other-centeredness’ (Davis, 2010) agenda.

From the shared values statements meaningful discussion can be advanced about motivation, goals and purpose of the work group. An important factor to the success of this initiative lies in the skills of leaders being able to facilitate these discussions in a strategic way. It requires the ability of leaders to hold strategic values conversations through a working understanding of the values dynamic in operation. This is explained further in the remaining two chapters.

A values-based approach to leadership involves learning to think beyond one’s own parameters and limitations of both culture and experience which we express through language. Leadership practice that seeks to explain differences in language and meaning and to accept those differences would be beneficial to those who work in the organisation. Creating space to hold the values conversation will build relationships that influence the actions taken.

7.4 Values-based leadership

The literature explained at length issues associated with organisations and organisational leaders who espoused values that were not enacted. The research found that those in leadership positions needed to be explicitly aware of their values priorities and to understand how these priorities drive their behaviour. The research also found that leaders needed to be decisive in the values
priorities they choose and that it was possible to change them with a conscious effort. The research participants set goals to put their values priorities into action. They were consciously aware of how they personally demonstrated their values-in-action and intended to align their values with their behaviour.

This research found that effective leaders must create the space for values dialogue with followers who are, in a knowledge economy, actively making choices for the environment they desire to work in and to be the best follower they can be. In the new workforce, inspiring people in this way is not only a new leadership skill but a critical leadership challenge that requires highly developed interpersonal skills and emotional intelligence, attributes that are the hallmark of values-based leadership. This leadership literacy criterion relates to ‘other centeredness’, an attribute of servant leadership (Davis, 2010) which dismisses the ego driven heroic model of past times. The literature also showed a link between a sound degree of moral development and leadership competence.

Being able to conduct strategic values conversations requires knowing one’s value position and priorities in different contexts and having a working understanding of the values dynamic at play. These are fundamental characteristics of values-based leadership and followership as highlighted by the research. To sustain this leadership essence through transformational change requires grounding in an ethical dimension. The subject of ethics and ethical behaviour subsequently became intertwined with the action research findings.

### 7.5 Ethics and Ethical Behaviour

Both the literature and research findings highlighted a requisite for ethical leadership in these new times. The world experienced a severe economic downturn and harsher insurance premiums and credit restrictions, for example, as a result of both unethical leadership practices and global companies that lacked a moral compass. The ‘living asset stewardship’ (Bragdon, 2006a) of the planet has not been served well by greedy corporations led by questionable leadership practices. The times call for responsible worldly leadership with ethical behaviour that is rooted in the ethical dimension of leadership.
Ethical behaviour not only includes maintaining the ethics of the organisation such that the espoused values match the values-in-action, it calls for ethics in decision making that bring to life an organisation’s core values in every pore of its operation. Ethical behaviour is the demonstration of professional standards in a particular field of endeavour where personal values are in alignment with organisational values. These are ‘working with’ leadership practices that have at their epicentre a values barometer.

Research participants emphasised the necessity for an ethical stance in public sector leadership and cited Air Chief Marshall Angus Houston as a prime example. When he stood up against the Australian government and dismissed the ‘children overboard’ affair, there was pride in the military he led as a result and he was eventually promoted to Chief of the Australian Defence Force. This example was cited because it was in contrast to the experiences of the research participants themselves [in their agencies] and was aspirational. The research participants agreed that ethical leaders build high levels of trust amongst followers. This has been their experience.

Senior executives are regularly faced with ethical dilemmas that cause conflict between their loyalty and integrity because they work in a highly contestable political environment. The most commonly cited examples involved working to government Ministers who themselves did not behave to the standard expected of public servants. Managing this dissonance successfully required senior executives to suspend their values position. This is not an easy thing to do. The examples exposed through the collaborative peer learning group may well have assaulted my personal values position and that of the reader; however, the participants themselves had experienced these events many times and although they didn’t agree with it, they were philosophical about it. They would, however, like to see a Code of Conduct for politicians.

Everyday examples cited by research participants that raised the issue of ethical behaviour in the workplace and in the Australian Public Service included modelling inappropriate interpersonal skills including bullying and harassment and not dealing with staff underperformance. The latter often becomes someone else’s problem in the future. These examples indicate a need
to examine moral reasoning at earlier stages of professional development to build an ethical dimension to leadership.

The research participants cited the merit principle as the strongest ethical issue faced in the public sector; that is, the processes by which staff were selected. They were not critical of the selection itself being of merit. There was, however, a perception that favouritism was rife and that the merit list had little to do with one’s actual merit and more to do with others’ perceptions of merit. Once again the issue of cognitive dissonance emerged and was more evidence that the APS Values were not working.

The ethical dimension of leadership is a necessary condition for successful transformational leadership. The inquiry demonstrated that it was possible for organisational leaders to shift in their values position and to change their leadership behaviour through values work. Important personal change took place through immersion in the study. Participants gained insight not only into their own values position but into how their behaviour impacted on others and these insights were critical to understanding how to work with intangible yet powerful motivators and drivers of behaviour in a conscious way and through an ethical values lens. These findings have implications for the design of future leadership programs.

7.6 Implications for leadership development programs

Organisational leaders were motivated to participate in this values inquiry because it addressed both their personal standpoint and the professional dimensions that concerned them. They self-selected into the study to learn about themselves, about values and about their leadership. Their educational background was a contributing factor to the deeper inquiry into the values domain and they welcomed the rigour of the research process and the opportunity to influence the direction of the study as action researchers themselves.

The research collected and analysed empirical data on values and leadership in the public sector which had not previously existed. The inquiry linked into my values position, my developing in-depth understanding of values and leadership, and raised the questions for research accordingly. Up until this

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point, the benefits of working with intangibles such as values had been merely anecdotal and often dismissed as irrelevant or not counted. However, working with intangibles has been a growing area of concern for organisational leaders. The importance of understanding who they are and their impact on others is the foundation of this process and is crucial in the development of a leader identity.

The inquiry elicited the need for maturity in moral reasoning as pivotal to the scaffold of ethical leadership development. Values understanding and competency in holding strategic values conversations underpin this growth.

The values framework used in the study provided a working understanding of the values dynamic at play and was a mechanism to introduce the language of values which was new to group members. These findings have implications for leadership development programs.

Current leadership development programs conducted through the Australian Public Service Commission include upholding the APS Values and modelling the Code of Conduct. Findings about the true values position of the APS Values and Code of Conduct were seminal to the research participants’ understanding about the way organisational values were perceived and acted upon. This learning was supplemented by the communications analysis of the 2005 ‘State of the Service’ Report. These findings are now presented.

7.7 Australian Public Service [APS] Values and Code of Conduct

Public sector ethics and public sector values are associated with public sector leadership. The inquiry discovered a sense of disquiet about ethical behaviour in public service and the ethical behaviour of government Ministers. Cognitive dissonance emerged as an issue for the research participants to deal with in their professional relationships. The values framework proved a useful tool to negotiate this space and surface the interplay of different values at these junctions. The document analyses allowed the research participants to move into more sophisticated conversations about their experiences as senior executives and to trial new ways of leading from a conscious values position.
A resounding finding from the research was that the APS Values and Code of Conduct do not work as they currently stand. From the insights gained to date from the outcomes of this research, it is now possible to conjecture on the reasons why this is the case. Firstly, they were developed by politicians as part of a political process to legislate changes in the way the Australian Public Service operated to accommodate for the New Public Management principles of devolved responsibility and economic rationalism. They were not drawn from any theoretical understanding about values systems. Secondly, they do not contain ‘values’ per se but instead are lists of normative behaviour statements. This has made them confusing and inoperable. Thirdly, the communications analysis revealed mixed messages rather than alignment in the values expressed through these documents and the ‘State of the Service’ Report. These findings were authenticated through discussion and action by the research participants.

It would appear that the New Public Management principles were unpopular because they were based on a different set of values from those held by these senior public sector leaders. The impact on leadership style under an increasingly regulated and compliant-driven public sector attracted and rewarded those whose valued ‘compliance’ and ‘conformity’. The values which motivated the research participants to enter public sector administration, although largely a ‘silent discourse’, were being challenged. With the disappointing and confusing APS Values and Code of Conduct added into the mix, it was little wonder that such sentiments were being expressed. It appears that a clear government vision was lacking from the outset for the APS leadership to guide the public service through these changing times.

The research participants agreed with the tenant of the APS Values but found them difficult to remember or apply. The notion of having succinct core values that represent the essence of public sector administration was a strong finding from the research. The values have to mean something to the professional cohorts who operate within them or they just become platitudes or ‘motherhood’ statements. Holding strategic values conversations would enable the translation of these core values into meaningful and purposeful action in the workplace so that alignment of values and values-in-action can take place.
With no meaningful core values there can be no effective values-in-action and values gaps and the conflict they cause will continuously dominate the workplace setting and question the culture of an organisation.

The most controversial element of the APS Values, the Merit principle, is not a value per se but an example of how a core value such as ‘Fairness’ which sits under Kernaghan’s (2003) *Ethics* values cluster is applied ‘in action’. As outlined in chapter 2, principles are not values (Henderson, 2004) in themselves but rather act as a rule for how the values are played out in the business. In this case, the Merit principle should be seen as an intent to guide the value of ‘Fairness’ in action. The concepts of values and principles are mixed in the current APS Values framework and this contributes to their impracticality and criticisms of being unwieldy and ineffectual.

The research participants found that collectively the suite of values lacked coherence and appeared haphazard. They are static. In essence the APS Values and associated Code of Conduct fail as an effective communication tool as demonstrated through the document analysis which supports the research participants’ experiences. There is confusion with what the value priorities actually are for the Australian Public Service and a disjunct exists in leadership styles being expressed by the APSC and those held by the research participants themselves.

The document analysis revealed ‘Accountability/Ethics’ as the highest value priority for the Australian Public Service Commission [APSC] but this value was third in priority in the APS Values and Code of Conduct. As I outlined in chapter 6, the value ‘Service/Vocation’ was found to be the highest value priority in the APS Values and Code of Conduct. This can be interpreted as public service being a vocational choice to provide service to politicians. For the public service as a profession, represented by the APSC, the highest value priority was ‘Accountability/Ethics’ irrespective of who the government of the day might be. This can be interpreted as ‘accountability’ being the highest professional ethical standard for public sector administration. From the outcomes of this study, I predict a continuing tension between Ministers and the public service who work to them about the demonstration of these values-in-action.
The research participants recommend that the APS Values be synthesised into preferably four and no more than six core values. Kernaghan (2003) suggested ethics, democracy, professionalism and people. As a consequence of this inquiry, I conclude that the core APS Values need to come under similar values clusters of ethical, democratic, professional and people. I envisage values related to governance could be combined with democracy.

The core APS values advocated by the research findings could be presented as key concepts with behavioural examples which reflect what is meant by those values-in-action. Ideally, behavioural examples would be further elicited at the work unit level and understood by everyone within a particular work area. The study concurs with Hall’s findings (1995) that at any one time, people can hold up to four value priorities and that four simple values work effectively, not only because they can be remembered but that the value priorities chosen are directly useful to their public service work. The study also supports Kernaghan’s (2003) stance in his analysis of public sector values, noting from chapter 3 that formal values statements should be concise and capture the essence of a government’s public service.

The core values and resultant values framework need to accommodate foundation, focus and future values in their dynamic through a meaningful organisational framework. The over-representation of focus values as described in chapter 6 does not easily allow for the Australian Public Service to grow into a new future in these new times. They reflect the short-term focus of politicians with a short election cycle. Values that are visionary in nature need to be added to the APS Values ethos to be balanced and for their meaning and context to be understood clearly. Organisations including the restructure of the public sector when a government comes to power are constructed with the future business needs in mind (Susman & Evered, 1978). Critical future/visionary values are considered necessary to steer a public service towards a future worth aspiring to, a leadership literacy for the Senior Executive Service in these new times.

Ultimately, the research strongly recommends that a Code of Ethics be developed for the Australian Public Service under which the core values and a future APS values framework sit. The current APS Values and Code of
Conduct appear to represent a foundation element within a Code of Ethics or the foundation rules of governance with ‘accountability’ as the highest value priority. What is proposed as an outcome of this research is a Code of Ethics that encompasses the foundation, focus and future values of public service. The APS Values would sit within this code and provide an embedded substance for the Code to operate successfully.

A Code of Ethics that provides guidance and direction to the public service which this inquiry proposes differs vastly to the current Code of Conduct designed purely for disciplinary purposes. Building a Code of Ethics is a parallel process to developing commitment and includes translation of values into ethical standards which clarify what is acceptable and what is not acceptable.

In keeping with the ethos of an Australian Public Service Code of Ethics would be a Code of Practice rather than a Code of Conduct. A Code of Practice is more than a Code of Conduct; it represents a profession’s agreed codes of behaviour and actions of the group’s membership. A public sector Code of Practice as recommended here would incorporate an ethical framework for making decisions and shift the current Code of Conduct into a future Code of Professional Practice for public service.

The research also suggested a similar Code of Ethics for politicians to adhere to so that elected leaders and appointed leaders were in values alignment with their efforts. Now that would be transformational indeed and, as expressed by the action research group, having them actually take notice would be miraculous.

7.8 Conclusion

This study has provided a unique lens into the organisational culture of the Australian Public Service from the experience of members of the Senior Executive Service [SES]. The SES were created by both sides of politics but, as the key findings show, these senior executives work in a politically contested field that requires them to make judgements about how to behave ethically and according to a myriad of values at play, not just their own. The APS Values and Code of Conduct was an attempt to set the rules for everyone
to behave in public sector administration but as the research has highlighted its purpose and effect have been questionable. In reality they represent by proxy the values of politicians; are foundation elements of a recommended Code of Ethics; and were not developed from any values theoretical framework nor indeed were they drawn from any wider consultation or discussion.

The research supported the assertion arising from the literature that a values-based approach to leadership has the capacity to generate momentum and high performance. It requires surfacing values priorities and consciously striving to align behaviour with them. For individual leaders this means engaging their moral compass to align their values-in-action and being mindful of intentions behind decisions made. For leadership-in-practice it means holding values conversations with others in a strategic way that surfaces the hidden values at play for all to understand.

Values-based leadership has the capacity to significantly influence staff engagement and commitment. Sound values systems rooted in an ethical dimension can give individuals a notion of deeper meaning for the organisation and, in turn, a notion of deeper meaning for their role. The end result is an organisation better equipped to achieve and succeed.

All of these key findings come under broad themes that are discussed as higher order approaches in the following chapter. Collectively they represent my original contribution to the body of knowledge on values, ethics and leadership.
8.1 Introduction

This study was initiated by my curiosity about the affect of values and values work in the domain of leadership development. The key research question examined the sorts of changes in the Australian Public Service that could be achieved with a values-based approach to leadership. Through collaborative action research and reflexive practice by senior organisational leaders in the Australian Public Service, this study concluded that values-based approaches to leadership development do have a significant role to play towards the implementation and sustainability of organisational change. It also demonstrated the potential to do much more.

Values-based leadership is needed to navigate the wider societal changes reflective of the knowledge era into a successful global knowledge economy. This chapter outlines the higher order approaches that enable values-based leadership to be translated into practice and how these can be used to mediate potential conflicts in values that public servants and members of the Senior Executive Service may have with the elected government of the day. It draws comparisons from the research findings summarised in chapter 7 with the body of knowledge identified in chapters 2 and 3 and concludes with commentary on values-based approaches to leadership development in these new times.

8.2 Values alignment

The literature review identified leading theorists such as Argyris (1990; 1993; 2004; Argyris & Schön, 1978), Schein (1992), McCann (2002b; 2005) and Hall (1995) who were concerned with disconnect between the rhetoric of values and the reality of those values-in-action. They purported that individual values are generally hidden and therefore not understood as drivers of individual behaviour unless they are consciously elicited. The research evidence concurred that organisational leaders need to be conscious of their personal values in order to better understand what motivates their thinking, decisions and actions. Without a conscious values position, behaviour-in-action
can be out of alignment with values espoused. This phenomena is often referred to as leaders ‘not walking their talk’ and prevents authentic leadership from taking shape as purported by Argyris (1990; C Argyris, 1993; 2004; Argyris & Schön, 1978), Hames (2007), Goffee (Goffée & Jones, 2006, 2007) and many others.

Leaders already make decisions using values be they silent, unaligned and/or purposeful. The research found that knowing one’s values position had the effect of enabling leaders to better articulate their position on any given issue with consciousness and to confidently facilitate conversations with others who might have a different values perspective. This is the space where leaders must be purposeful in their efforts to achieve values alignment. It occurs through conversations that are strategically values-based and which allow for dialogue to flow.

Mission, Vision and Values Statements are an example of attempts to bring individual and organisational values into alignment. Unfortunately, the opportunity to galvanise a workforce in their development is sometimes lost due to lack of consultation and/or not enough time devoted to the process. This results in having the effect of being token gestures and becomes part of the rhetoric rather than the reality of organisations. The development of Mission Statements and their equivalent and the process of reviewing them could be important opportunities for holding strategic values-based conversations to reflect on the purpose of the business/production, the work effort and why the organisation exists. Leaders in these new times must create the space for this discussion.

This process for attaining values alignment suggests an approach for organisational leaders to implement Bragdon’s (2006b) standpoint about cultivating a stewardship culture where there is a deep respect and care for living assets and, as I mentioned in chapter 2, for the intangible personal and relational networks that make up highly successful organisations. It is an ongoing role for organisational leaders and public servants alike. This argument is further strengthened by Bragdon’s (2009) most recent writing where he sets the scene on contemporary shifts in these new times for
organisations. He promotes the attributes of relational equity and the ability to harness the golden capital as fundamental levers for triumphant organisations and their leadership. Such leadership qualities are paradigmatic and necessitate mastery of the values dynamic at its epicentre.

8.3 Mastery of the values dynamic

The increasing reliance on compliance and surveillance highlighted by Marr (2007) under the 1996-2007 Australian government were seen as attempts to control order in an increasingly complex global, networked and information rich world. The machine-age scientific world view of ‘if it can’t be measured it can’t be managed’ is still prevalent but it is no longer appropriate because this view does not acknowledge that the real key performance indicators required for success in the new millennium are likely to be intangible. The overuse of such control mechanisms and economic rationalist single bottom line practices discussed in chapter 2 that Edwards (2002) and Bragdon (2006b) refuted are actually part of the problem, not a solution. Such behaviour is an example of regression under pressure to outmoded foundation values that Hall and Tonna (1995), Graves (Cooper, 2002; 1959, 1974) and Barrett (2006) identified in their respective values frameworks outlined in chapter 2. This focus has the effect of diverting energy away from the true purpose of governments, the public service and other organisations for the future. Familiarity and developing confidence and skill in engagement with the values dynamic can be thought of as a senior executive moving to a position of ‘mastery’ with respect to this same dynamic. Acquisition of ‘mastery’ in this sense through engagement as a leader with his/her own staff and others with the values dynamic becomes an appropriate method for moving this agenda forward.

This research study clearly demonstrated the tension that senior public servants must traverse in their everyday work between their role as leaders in the administration of public service and their role as servants to the Minister of the elected government of the day. As organisational leaders, senior executives are expected to uphold a high standard of ethics and integrity which is usually played out behind the scenes yet is fundamental to honourable public service. Ministers, in the political context on the other hand, tend to see themselves
through a more pronounced ideological lens. Incidents where senior public servants were told by Ministers not to comment in Senate Estimates Hearings were frequent yet these Hearings are a forum of accountability of public service under our democratic Constitution.

To navigate the tightrope created by clashes in values held by senior executives with those held by their political chiefs requires degrees of ‘mastery’ of the values dynamic. This values position has not been previously identified in the literature review whereas the research highlighted this ‘mastery’ as a requisite for positive ‘working with’ leadership practices and ethical behaviour. Being true to one’s personal values is not always possible when confronted with a range of politically charged situations that senior public servants face when operationalising the intricacies of government policy. Understanding the values dynamic at play enabled research participants to separate personal values from political values and to critique the behaviours involved. Mastery was developed through conscious guidance of conversations and dialogue in strategic planning processes based on this perspective of personal/political values.

The research outcomes also highlighted an ability to mediate conflicting values-in-action such as political versus personal values through assessing the priority of the ethical values appropriate to the context. As stated previously in chapters 5, 6 and 7, senior executives of the Australian Public Service are positioned in a contentious role divided between being organisational leaders of their staff while, at the same time, being followers of their Ministers. As reported, role conflict was inevitable. However, being able to make a conscious assessment of the ethical considerations involved as part of their values perspective enabled research participants to successfully mediate this conflict. This same awareness and subsequent mastery is also required to mediate clashes in values between those of individual staff and others, and those of the organisations in which they work. Being able to steer followers towards values alignment is an important aspect of mastery of the values dynamic.

This research study has identified the importance of those in leadership positions needing to be explicitly aware of and decide upon the value priorities.
that will drive their behaviour. Leaders at advanced positions on the values leadership continuum create vision through articulating future values, then motivate, coach, inspire and align individuals to that vision. This is mastery of the values dynamic in operation. In earlier publications informed by this research study, this phenomenon has been named “the ‘V’ factor” as a shorthand descriptor of this heightened level of facility with the values dynamic, with ‘mastery’ of the values dynamic (Nanschild, 2008b; Nanschild & Davis, 2007). This thesis further establishes that the APS Values framework is currently missing this ‘V’ factor essence. In the ‘new’ public sector, inspiring senior people is a decisive leadership challenge essential to attracting and retaining the best people for public administration and the provision of a meaningful organisational values framework will be central in achieving this goal.

8.4 Organisational values alignment

Organisations are made up of individuals who come together to accomplish a common goal. These individuals bring with them their own set of values that are generally hidden and rarely articulated yet are demonstrated through their behaviour. At the core of organisations are human values (Hall, 1995) that influence the culture and structure of the organisation. Whilst shared mutual values can lead to harmony, understanding and shared vision, a clash in values can and does cause conflict between people (McCann, 2005). Indeed, the clashing of values is often the root cause of failed change management initiatives and a reason for the slow take up of ‘working with’ leadership practices that are much more suited to the knowledge era. This research study supports the claim that it is imperative that organisational leaders acquire mastery of the values dynamic to steer people and organisations through the complex, ambiguous, changing world of paradox and contrary reality that is a marker of new times.

Hall and Tonna (1995) discovered that individuals could hold up to four value priorities at any given time whereas organisations could hold up to ten for them to remain meaningful and relevant. The Australian Public Service [APS] has at least fourteen through the APS Values normative statements of behaviour and
CHAPTER 8: VALUES-BASED LEADERSHIP

more through the Code of Conduct. Kernaghan (2003) was able to find 25 values in his analysis of these documents. This research study elicited troubled passages for implementing these values into action, values primarily drawn from an array of politicians as described in chapter 3 and presented in an uninspiring fashion. This situation is unlikely to change until they are synthesized into a meaningful, practical structure and are informed by theoretical underpinnings of the values dynamic at play.

In addition to attempting to enact politician-derived values as its own, this research study has shown that the Australian Public Service has, in recent times, been more politicised. This is the experience of the Senior Executive Service [SES] as elicited through the action research findings of this study. This factor exacerbates the political and organisational contested space in which the SES already works and further emphasises the need for public sector organisational leaders to acquire mastery of the values dynamic.

Mastery of the values dynamic creates the potential for a leaderful organisation (Raelin, 2003) with strategic effort concentrated towards values and behaviour alignment cascading from a workable number of core organisational values. The outcomes of this research agrees with Kernaghan (2003) in that the APS Values need to be a coherent nucleus and a succinct number of core organisational values of between four and six. These core values are the values priorities for an organisation and they ought to reflect foundation, focus and future values that people in the organisation can align with and uphold. Such a values dynamic would eventually lead to continual review and renewal of core values as the organisation moved towards and reached its [future] goal values.

Figure 9 summarises the values dynamic at play. It indicates that values shifts take place as future goal values become a reality and are incorporated into the day-to-day focus arena. The focus values are stretched while this transition is happening until some of them become automatic and are dropped off from being a focus to being part of an organisation’s foundation. This is a cyclic evolution of development achieved through maturity of means values and skills development. Hence, the day-to-day focus changes and the visionary goals are
redefined. This dynamic helps to understand, manage and lead organisations through change in these new times; that is, the knowledge era.

Figure 9: The Values Dynamic [from chapter 2]

In conjunction with this development this research study found that organisational leaders needed to be mindful of values language. Mastery of the values dynamic necessitates skillful use of values language as a tool for mediation in an organisational setting. This notion takes Kernaghan’s (2003) suggestion that public service leaders need to develop the art of values management several steps further. Mastery of the values dynamic commands a higher degree of consciousness in the use of everyday language.

This finding also supports Ras (2008) who suggested that effective leaders were able to draw on people’s values and Chippendale (Colins & Chippendale, 1995) who claimed that highly successful organisations comprised of people aware of how their values align with those of the organisation. Awareness of personal preferences and the need for relationship building skills in these new times also supports Cote's (2007) discourse on leadership in the public service. Creating space to hold the values conversation will build relationships that influence the actions taken.
Organisational leaders are typically more removed from the frontline so it can be harder to gauge the pulse of what is really happening. To obtain good information and insight from those ‘in touch’, followers need to be invited to share their perspectives despite any differences that the prevailing culture or the inquiring leader might have. They are more likely to do this through the language of partnership where ‘individual knowledge, responsibility and mutual commitment’ (Chaleff, 2006) are sought. It is the intention behind the effort that can bring values into alignment successfully which leaders can do consciously through the language they choose.

8.5 Language in values dialogue

Language and the way in which we speak is a critical issue when working with values. The research participants increasingly became more conscious about the term ‘values’ despite working within an espoused APS Values framework. They learnt that the term ‘values’ and what was proffered as values held potential subtext and innuendo. Meaning could not be assumed by the language used and nor could the term ‘values’ be used loosely in any context. Commonly used words for instance held different meanings for individuals when expressed as values. Constructing the meaning of the values-at-play through strategic dialogue about workplace values was a structured and more effectual approach to developing mutual understanding and shared expectations, particularly around the expression of those values-in-action. This process strengthened communication and the notion of working in partnership.

A values-based approach to leadership involves learning to think beyond our own parameters and limitations of both culture and experience which we express through language. Mastery of the values dynamic as a ‘leadership literacy’ (Hames, 2007) for these new times implores leaders to build their expertise into other spheres of understanding such as cross cultural experiences identified by the research participants. Leadership practice that seeks to explain differences in language and meaning and to accept those differences would be beneficial to those who work in the organisation.
A shift in language as a consequence of a shift in mindset of leadership towards genuine collaboration [cycle 5] and servant leadership principles [cycle 6] are transformative. When collaborative leadership and servant leadership styles are practiced, transformation of people and organisations is possible.

8.6 Transformational leadership

Chapter 2 outlined the cyclic shifts in consciousness associated with values development. These were summarised in Figures 1 and 2. There was a strong correlation between Hall and Tonna (1995), Graves (1974), Barrett (2006), Maslow (1970), Rokeach (1973, 1979) and Beek and Cowan (1996) regarding levels of human development and a corresponding evolving higher order of consciousness to meta-levels of values summarised in Tables 2 to 5 and Tables 7 to 11. These represent the dynamic of values systems and provide a glimpse into understanding the deeper shifts required for transformational leadership.

Bass (1985, 1998) initiated the concept of transformational leadership and Mezirow (1991, 1997, 2000) the concept of transformative learning which ensuring theorists have since contributed towards. At the heart of this concept is character-led (Sarros et al., 2007), morals based (Bass & Steidlmeyer, 1999) leadership. Whilst it can be argued that political leaders appear bereft of some of these traits, senior executives involved in the study consolidated their leadership as a values-centred one. The transformation for them came firstly with themselves, a process that Kotter (1990; 1996, 2006) and Christensen (2008) advocated. The research demonstrated that personal transformation is an outcome of values-based leadership development. Over time this transformation would likely radiate through to the people they lead.

The research outcomes together with review of literature strongly supports the claim that an understanding of values priorities and how we come to hold these priorities leads us to greater self-knowledge about ourselves and our own defensive patterns (C. Argyris, 1993). The process of acquiring greater self-knowledge within the values domain makes more conscious the process of reflection which brings an understanding that others will have deeply held belief systems too. It is upon this reflexive practice that we can engage in deep
impact learning and effective ‘working with’ leadership practices for ourselves and our organisations. The acknowledgement of values as integral to who we are and to our relationships with others is acknowledging the ‘V’ factor at work in our lives.

Servant leadership is regarded as a contemporary and transformative leadership style of the times. Greenleaf (1970, 1998) was the thought leader behind this concept which has rapidly influenced leadership theorists throughout the world. Sendjaya (2007) adds to this notion with his work on spiritual leadership, the basis of which involves making workplaces meaningful to the people who work there. Both of these concepts are qualities of transformational leadership.

Organisations often demonstrate complex systems characteristics (O’Donoghue, 2010) which leaders can influence [more so than direct]. However, the personal values of leaders have a direct effect and influence on followers. The literature on servant leadership (Greenleaf, 1998; Hall, 2004; McGee-Cooper et al., 2008; Russell, 2001; Sendjaya et al., 2008) proposed that the distinguishing feature of servant leaders from other leaders was their personal values. Servant leadership implies an ethical values system of a higher level of consciousness which correlates with the Values Frameworks presented in chapter 2. McDougle (2007) called for transformational leadership in the public sector through an integrated approach which incorporated ethical considerations and a core set of moral values. An ethical servant leadership model would therefore present a transformative leadership model for the public sector.

One of the research participants had evolved as a leader with a servant leadership style as was identified through the post-survey results whilst others had moved one or two steps closer towards servant leadership than at the beginning of the study. The research concluded that servant leadership is not a necessary criterion for personal transformation; however, personal transformation is necessary for servant leadership to be genuinely modelled in practice. Transformation begins with the self. It’s about leading change from the place where followers and organisations are positioned using ‘working
CHAPTER 8: VALUES-BASED LEADERSHIP

with leadership practices. The research concluded that transformational change is possible through consciously leading from a values-based position.

Sinclair (2007), O’Brien and Gosling (2008) promoted effective leadership development as necessitating identity work. O’Brien and Gosling offered three aspects to this development of leadership identity. Knowing oneself as a leader is a personal leadership identity and having followers who acknowledge organisational leaders as such are another form of identity. The third requirement was membership of a future leader’s group which offers a vehicle to bring Hames’ (2007) notion of a future-to-present focus into play as an aspect of leadership literacy. The collaborative action research professional peer group fulfilled the third criterion.

The research study found that peer collaboration was an essential criterion for values-based leadership development that was transformative in nature. The research participants were members of a collaborative professional learning group, in essence an action research group, keeping a critical eye on the status of values in the public service. Research participants seized their participation as a professional learning opportunity about themselves, using the peer forum for their professional development which was not prescriptive but driven from a fuller awareness of their personal values profiles as well as from the experiences and learning shared amongst the group.

8.7 Ethical leadership

Senior public servants are regularly faced with ethical dilemmas because they work in a highly contestable political environment. They have to navigate through complex situations and make decisions that can be at odds with their personal values system. The research participants found that their skills at mediating conflicting values positions were sharpened by the conscious awareness of their own values priorities with the particular values-at-play. These values-based perspectives are attributes of ethical leadership.

As described in chapter 7, ethical leadership is a requisite for these new times and it begins with knowing one’s values position. The research participants reflected upon ethical leadership in the Australian Public Service [APS] as
modelling personal integrity and having a genuine commitment to the development of people. Air Chief Marshall Angus Houston was noted as an outstanding ethical leader in the APS. Leaders with ethical leadership qualities have mastery of the values dynamic and can encourage others’ perspectives through dialogue to move towards values alignment. Ethical leaders stand for something worthy of aspiration.

8.8 Conclusion

This research study has shown that change is possible and that it starts with a focus at the personal level of development for leaders. Surfacing values priorities and consciously striving to align behaviour with them is a critical leadership literacy for these new times. Demonstrating values-in-action as an organisational leader has a significant influence on staff engagement and commitment. When one is leading from a values perspective, leadership is transforming.

The research participants underwent a values process, a values journey, assisted by individual values profiles and organisational culture mapping tools outlined in chapters 2 and 4. These tools were pivotal instruments to extrapolate personal and organisational values. The research participants have all moved on to bigger challenges both nationally and internationally. The research study itself provided a professional learning experience not otherwise obtainable and the support of the peer learning group was essential to their growth.

As our nation moves to a knowledge-based economy, best leadership practice must learn to create with rather than deliver to. Productivity, in its broadest sense, in these new times requires investment in ‘working with’ leadership practices. Such investment in the SES of the APS would enable the public sector to make the transformational shift for a knowledge-based economy. Critical consideration of the intangible barriers to transformational change in organisations and people also requires a focus on values.

The research identified that the Australian Public Service [APS] Values and Code of Conduct were ineffectual as a medium for ethical leadership and
change management. This thesis supports the transformation of the APS Values Framework and the Code of Conduct into a professional Code of Ethics for the Australian Public Service. The Senior Executive Service [SES] will continue to be caught in the politically contested space that it currently traverses which demands mastery of the values dynamic because of the conflicting and paradoxical values being played out in that theatre. Some may argue that perhaps this is the role of an SES officer anyway.

Drawing on the outcomes of this research study, what is possible for the Australian Public Service as a whole? Firstly, it needs to move to a values-based awareness and understanding with the assistance of a reconfigured set of values that are informed by theoretical values frameworks. Secondly, the development of a Code of Ethics is essential in these new times. A Code of Conduct just will not promote the vision necessary for public servants to aspire to in the future. Thirdly, the values process needs the guidance of ethical leadership and leaders skilled in the mastery of the values dynamic. Once these conditions are met, the Australian Public Service may then have the capacity to move towards a values-centred visionary public service that leads a knowledge-based economy.
CHAPTER 9: CONCLUSION - VALUES AND LEADERSHIP

9.1 Introduction

This thesis emerged from a values inquiry into leadership development in an Australian context. This chapter responds to the research questions and presents the new knowledge claims arising from this doctoral research study.

9.2 Research questions answered

The key overarching research question for this study was to examine the sorts of changes that might be possible if organisational leaders engaged in values-based professional development. Specifically, the study sought answers to the following five research questions.

9.2.1 What are the values priorities of senior executives in the public sector?

The group profile at the beginning of the study indicated the values priorities of senior executives to be ‘self worth’ and ‘family/belonging’ in the foundation values area; ‘belief/philosophy’, ‘service/vocation’, ‘equality/liberation’ and ‘competence/confidence’ in the focus values area; and ‘knowledge/insight’, ‘construction/new order’ and ‘being self’ in the future/vision values area. The group had indicated a facilitative leadership style.

The group profile at the end of the study had changed to a collaborative leadership style. Their foundation values priorities became ‘family/belonging’, ‘self worth’, ‘belief/philosophy’ and ‘competence/confidence’. ‘Equality/liberation’ remained important as a priority in the group’s focus values area and ‘word’ was maintained in the future/visionary values area.

New values priorities as a result of the research were ‘self actualisation’ in the focus area and ‘intimacy/solitude’, ‘truth/wisdom’ and ‘global harmony’ in the future/vision area. The goal values of ‘construction/new order’ and ‘knowledge/insight’, previously in the group’s vision/future values priority
area had shifted into the focus values area.

9.2.2 What is the relationship between these values and the espoused values of the employing organisation?

Each participant had demonstrated at least one stage of development further than their respective organisation’s values profile. Three of the participants were two stages ahead. This meant that the research participants were suitably positioned from a values perspective to provide leadership to the followership in their employing organisation. At the end of the study, this difference had expanded by another stage.

9.2.3 Are there values differences at this interface and if so, what are they and how are they managed?

The inquiry discovered that values differences did exist between the values priorities of the group and their employing organisation. A primary focus of the action research effort targeted these disjunct and developed strategies to test how they could be effectively managed. Strategies included using core values to align people with the work they did, being mindful of the power of values language and how values can be interpreted differently. Strategies also involved deliberately holding a conversational space to elicit meaning and understanding amongst people at work and taking the time to come to a position of shared values agreement.

Managing values differences between senior executives and the government of the day required mastery of the values dynamic. Being true to one’s personal values was not always possible when confronted with a range of politically charged situations that senior public servants face on behalf of government policy. Understanding the values dynamic at play enabled research participants to separate personal values from political values and to critique the behaviours involved. The research participants found that their skills at mediating conflicting values positions were sharpened by the conscious awareness of their own values priorities with the particular values-at-play. Mastery of the values dynamic was developed through conscious guidance of conversations and dialogue in strategic planning processes based on this values perspective.
The greatest difference between the group’s profile and the overarching organisational profile identified through document analyses related to where the values emphasis was being applied. The group were working on realising their vision/future values whereas the organisation remained static in the focus values area.

Although the values of ‘accountability/ethics’ were shared by the research participants and the organisation in different priority order, these values were disproportionately high for the organisation and would be difficult to realise without a values framework to underpin it.

9.2.4 What is the extent to which a values shift is possible within an eight month research project focused on an action based in-situ exploration?

The inquiry proved that a values shift was possible within an eight month research project. The extent of this shift was presented as steps along the values continuum of leadership development. The group profile was initially located at step 12 [blue] along this continuum and shifted to step 13 [red] at the end of the research period. This shift is shown in Table 21.

Table 21: Steps of leadership development in the HTVF

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This values shift moved the group into a new cycle of development from a facilitative style of leadership to a collaborative one. This change in leadership behaviour reflected the different set of values priorities being expressed.

9.2.5 What might successful values-based approaches in public sector administration look like?

We can recognise values-based leadership when the espoused values of organisational leaders match their behaviour. This can be seen in the quality of interaction they have with their colleagues, staff and stakeholders and by the genuine way they work in harmony with others to find solutions to complex
problems. In public sector administration, we can recognise values-based leadership when conflicting values positions are mediated skillfully and when respect has been generated for the people involved. Public sector leaders with a values-based orientation to their leadership will devote energy and investment of time into building relationships throughout the agency and across public sector departments. These leaders will be purposeful and willing to create shared values, meaning and mutual understanding with others in the workplace. They will do this through holding strategic values conversations which bring into focus the alignment of individual and organisational values. People who work in public sector administration will know the core values which drive their work effort. They will feel positive and know that their contribution as a public servant is appreciated.

9.3 New knowledge claims

This inquiry was clearly grounded in a particular organisational context and involved senior executives working in that environment. However, there are new insights about values and leadership that have come out of this study which I claim can be generalised from this context. The new knowledge generated from this research into values and leadership relate to the capacity for leaders to hold strategic values conversations and the implications for values-based leadership professional development programs. These new knowledge claims highlight the importance for organisational leaders to develop mastery of the values dynamic.

9.4 Hold strategic values conversations

Organisations are made up of individuals who ideally come together to accomplish a common goal. These individuals bring with them their own set of values that are generally hidden and rarely articulated yet are demonstrated through their behaviour. The values that people bring to the workplace will influence the culture of the organisation. At the fulcrum of successfully conducting strategic values conversations is the critical ability of leaders to draw out, through dialogue, the core values that unite people at work. This is the ‘conversational space’ where leaders navigate understanding and meaning into action. Leaders who work with the values dynamic are able to draw on
people’s values and create understanding of how their own values can become more aligned with those of the organisation.

A leadership imperative in these new times of uncertainty, turbulence and change is to know one’s values priorities. This knowledge will contribute towards leaders’ ability to better articulate their position on any given issue with consciousness of self and to confidently facilitate conversations with others who might have a different values perspective. This is the space where leaders must be purposeful in their efforts to achieve values alignment within their team of staff and with their organisation’s mission. It is in this contested, uncertain and often risky space where leaders must do the work to make alignment happen and it takes an investment of time and a genuine commitment to the process. It occurs through conversations that are strategically values-based and which allow for dialogue to flow.

The ability to hold strategic values conversations involves mastery of the values dynamic and this requires a particular set of skills as a leader. Firstly, it requires leaders to know their own values position. Secondly, for values to be useful, they have to be known and be commonly understood by everyone. This necessitates skillful manoeuvring by leaders of the conversational space to elicit what those values mean in action. It requires conscious use of values language and their interpretation. Even when organisational values are articulated, this in itself does not lead to aligned behaviours without a significant amount of purposeful effort and dexterity by leaders. Thirdly, values conversational mastery has an intention to steer groups of people towards agreed core values which underlie the organisational effort. Deliberately engaging others in values conversations creates the space within organisations where change can happen; that is, change predicated on an explicitly and, hopefully, shared professional values substrate.

It is necessary but not sufficient for organisational leaders to become values-centred leaders in their relationship with followers. It is also important for leaders to interact with their colleagues, employers and stakeholders through strategic values conversations that enable them to mediate potential conflicts in expectations and values positions. Strategically moving towards agreed values
positions through holding meaningful values conversations in this relational space will also promote further growth of the leader.

The capacity to hold strategic values conversations shapes the leader identity. The values dynamic being played out in the relational space has an interactive influence on themselves as a leader and contributes to their development along the leadership continuum. Facilitating others’ understanding about values and working with them to reach agreement on those values-in-action requires a collective self-reflective dynamic that shifts the leadership style to a more collaborative one. Reaching shared agreement and understanding is not a static values position because values and values systems are cyclic and dynamic. Through continuing to hold strategic values conversations and sharpening their values conversational skills the leader can be promoted along the values continuum. In this way, a collaborative leader, for example, can shift in their identity towards a servant leadership model. Value shifts occur when deep learning takes place.

The research participants reached a collaborative style of leadership through the professional development intervention central to this inquiry. They became able, by themselves, to move forward independent of this study as self actualised values-centred leaders realised through interactions with their staff and with their other internal and external relationships around values.

### 9.5 Values-based leadership development programs

At all levels of leadership and management education there is a need to expose learning leaders to the moral reasoning processes behind the decisions they make and the actions they take based on these decisions. It begins with the construction of identity from understanding one’s values position and the use of a values framework to elicit this understanding was highly regarded by the participants in this research study.

From the literature underpinning this research and from the participants’ contributions to the qualitative narratives of the study, it is reasonable to claim that moral development is an outcome of values-based development. Armed with self knowledge and an action plan informed by a values framework,
learning leaders can build their leadership identity through a lens on moral development into the ethical dimension. Skills associated with this development include an ability to work with values language; facilitation of other-centeredness thinking and learning; increasing competency in holding strategic values conversations; and aligning core values of people and the institutions they work in, while managing any contradictions this may entail.

Learning leaders will enter values-based professional development programs at different cycles of growth. Individuals may operate at one, two or three levels at a time, and drawing upon different values clusters at different levels. Material values take precedence over humanistic ones, for example, at the lower levels. The level of growth at which learning leaders enter such professional development programs will determine the behaviours, expectations and attitudes they bring with them.

It would be beneficial to conduct a values inventory on learning leaders when they sign up for professional development programs of this type to determine where each is situated along the leadership values continuum and to focus their program accordingly. Certain conditions, skills and development must be undertaken and embedded before growth is possible. As a person changes and adapts they move into a new level of understanding, firstly of themselves and secondly, of others. In reality, they have moved into a new level of existence, one that draws from different motivations and understanding about people and culture. In essence, the person moves through a values cycle.

Assuming that senior executives, like those who participated in this research study, are most likely to be at mature positions in the values continuum with motivation to create new order through a collaborative leadership style, these values positions also highlights a need for a group of trusted peers with whom they can share their concerns and aspirations on a regular basis. Peer support groups that enable leaders to build relationships with people in other professional environments who have similar responsibilities emerged from this study as critical in values-based leadership development. Values-based conversations at this higher level amongst senior colleagues promotes the direction of growth beyond a focus on personal group issues to an integration
of a human systems perspective. These are the requirements of senior executives in their professional development.

The senior executives in the study were ahead in their cycle of development to that of their workplace. They were equipped with their values profiles and the values profile of their respective organisation from which to mediate their own leadership position. It would be advantageous for learning leaders to have a values profile of their organisation and to understand the values position of ‘followers’ in addition to an understanding of their own values profile, as resources informing their participation in values-based leadership professional development programs. This could provide important disciplinary discourse on leadership style and inform developmental action plans.

Engaging reflectively with values has the potential to transform people and, in turn, the culture of an organisation. Values-based professional learning programs can significantly address, for example, ongoing issues of bullying and harassment. Values shifts are possible through immersion in a values-based professional development program structured by an action research ethos. Strategy alone will not sustain change in the long term but investment in people and culture will. Leadership development programs must equip organisational leaders with the knowledge and skills to successfully navigate gaps in values alignment between people and the organisations in which they work, while overcoming exposing the real values of the organisation, real in the sense that these are the values that are reflected in organisational actions, to critique and, perhaps, to review.

9.6 Final conclusion to the thesis

This thesis is in the field of values, ethics and leadership. The significant contribution of this thesis is in the translation of leaders’ developing awareness and more sophisticated understanding of their own values and how these relate to the values of organisations and to their leadership role and identity. This thesis has identified a way forward in terms of acting as a leader in an organisational context and as a leader of enterprise. A significant strategy identified is to hold strategic values conversations complemented by values-based professional development programs which build the moral fortitude of
leaders, a necessary adjunct to the ethical dimension of leadership development.

By gaining experience in and confidence about engaging one’s staff in values conversations, a leader can develop increasing degrees of ‘mastery’ of this conversational space. Equipped with ‘mastery’ in this sense of the term, leaders can steer people and organisations through the complex, ambiguous, changing world of paradox and contrary reality that is a marker of these new times. Imminent change in every sphere of life – social, geopolitical, environmental, economic, spiritual - is upon all of us. This is a clarion call for worldly leadership that has at its epicentre sound ethical values. Holding strategic values conversations can mediate clashes in values between those of individuals and those of the organisations in which they work. Being able to steer followers towards values alignment is an important aspect of this mastery. It is a leadership imperative to guide people through these complexities. Holding strategic values conversations is a decisive step taken by leaders towards gaining commitment and understanding in the workplace.

The capacity to hold strategic values conversations is a ‘working with’ leadership literacy needed in these new times. This leadership attribute enables people to come together in meaningful conversation around the organisational values which create shared visions and, in turn, which foster organisational learning and organisational change. Sound values systems give individuals a notion of deeper meaning for the organisation and, in turn, a notion of deeper meaning for their role. This process supports building learning organisations for a knowledge-based economy with implications for global thinking leadership.
APPENDICES

Appendix 1: Example Values Tracking & Skills Reports

There are three parts to this report: the selected growth track that the research participant has chosen; their adjusted growth track based on an understanding of values tracking to reach their selected goal values; and the means values mapped onto the Values Chart that showed the skill development required.

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SKILLS REPORT

**Purpose:** Identifies the skills that represent the growing edge for your development.

**Uses:** Refer to these reports to develop a tailored action plan that will enhance your capability and performance. By reflecting on the values that underpin the current vocational path and skills needed to actualise these values, you will be able to identify and integrate primary skills essential to your development.

It is possible that you believe many of these skills are already fully integrated in your development. In this case, the skills report also provides a secondary skill set that accompanies and expands the primary skill set. Search for those skills that have room for growth within you and prioritise your efforts in these areas to discover the growing edge of your potential.

**STAGE 3:** Tradition

- Participating in and learning about the history and traditions of the place where you work and celebrating those traditions with others.
- Organizing historic and values-oriented education programs.
- Celebrating historic events and organization milestones.

**STAGE 4:** Education/Certification

- Studying and getting the education necessary to develop the trade or professional skills you need. Achieving whatever level of certification or credentialing is required in your field of work.
- Keep up-to-date on the knowledge and credentials required by your profession.
- Acquire and maintain the credentials needed in your field through formal education and certification programs. Enrol in an advanced degree program (such as an executive MBA program) to add credentials in your field. Acquire project-management or computer-software expertise through formal learning opportunities. Recognize on-the-job (OJT) training and develop clear criteria for mastery of key skills.

**Membership/Institution**

- Thinking, planning, and executing procedures to make your place of work successful and productive. This involves building effective teams committed to the organization goals, creating feelings of personal investment, and balancing the interests and needs of your own team with those of the broader organization.
- Establish a group/team identity and invest time and effort in building pride in group membership. Explain how each individual’s job fits into the work environment of the whole organization and why his/her effort is important to the whole.
- Recognize the achievements of the entire group/team and emphasize how it was the activity of the entire group that made the result possible. Schedule an annual retreat for your group in order to build esprit de corps. Reinforce employees’ performance and demonstrate your pride in them for being part of the team.
- Use in-house newsletters and other communication vehicles to promote the achievements of your group.
Loyalty/Fidelity

- Showing concern and commitment to the organization and to those for whom I am responsible. This includes gaining support and commitment of others and building teams committed to organization goals.
- Demonstrate enthusiasm and personal commitment to your manager and the organization.
- Go to bat for any one of your employees who has a good idea that has been overlooked or rejected. Do not misuse information shared with you. Keep confidential information confidential.
- Demonstrate loyalty to the person to whom you report by trying to understand his/her responsibilities and identifying ways in which you could provide better support.
- Study all available documents regarding strategic plans, goals, and philosophy of your organization. Make a list of the things you would like to know more about and seek this information. Attend employee information meetings, go to the annual shareholders’ meeting, and participate in other public meetings sponsored by the organization.
- Understand your job description and how your responsibilities fit into and support the goals of the organization. Utilize the organization’s products and services as much as you can.

STAGE 5: Adaptability/Flexibility

- The ability to adapt your perception and reaction to situations and requests in order to give service to the client or associate and be willing and able to adjust to multiple demands, shifting priorities, ambiguity, and rapid change.
- Learn to accept change as unavoidable and necessary. Review your career and analyze how you have responded to changes in the past. How did you feel and what were your reactions? Summarize what you have found about your reaction to change.
- Consider the opinions of others. If you are not considering other's opinions, you will be perceived by others as rigid and inflexible.
- If your first reaction to a problem is to immediately generate a solution then, you may be seen as inflexible and unwilling to take the time to consider potential alternatives other than your own. Keep in mind there are many possible solutions and that you should consider all of the information before making a decision.
- Try to consciously delay making a decision and seek the input of several other people before actually making the decision. Look for the best aspects of all alternatives and try to come up with another one that incorporates the best aspects of each alternative.
- Seek to establish a broad base of information. If you are slow to accept new information when dealing with a problem, then you need to consider discarding some rigid assumptions that block you from accepting new information.
- Ask others to give you feedback on situations where others may see you as rigid in your thinking. Try to identify the times that you have given snap reactions to the input of others and learn from them.
- Keep informed broadly. Attend seminars that will broaden your perspective; read journals and periodicals in fields other than your current concentration.
- Expand your mental flexibility. Ask co-workers to give you feedback about situations where you are seen as rigid.
- If you have difficulty reacting to situations spontaneously and you feel ill at ease when you are not sure exactly what is expected of you, then the following actions may help: Imagine yourself in situations where you are unfamiliar and the responsibilities or
ground rules are unclear; try to envision how you would respond: instead of avoiding unstructured situations (such as participating in task forces), seek them out as opportunities to expand your leadership abilities.

- Maintain a positive and open attitude towards new ideas. Refrain from saying, "It can't be done." Instead, say, "What are some ways we could make that possible?"

Search/meaning/hope

- Studying, seeking, and reflecting on values, psychology, philosophy, theology, and even career options in order to make sense out of what your place in the world is as a part of your growth journey. This also implies pursuing personal learning and self-development.
- Use the Hall-Tonna Values Inventory and other instrumentation to gain insight and clarity on your values and to discover what gives your life meaning.
- Clarify your personal vision to increase your sense of hope and your positive outlook on life.
- Expand your intellectual curiosity by seeking ways to continually increase your knowledge of the world around you. Be up-to-date on current events. Keep current in your thinking by reading the latest professional journals and books of current interest. Consciously choose subjects that expand your area of knowledge.
- Select areas in your organization that you know little about and develop an action plan to become more knowledgeable in those areas. When you are involved in long-range planning, be sure that a diverse group of individuals is convened to discuss the subject and share diverse views. Encourage people to explore all dimensions of the subject, not just what may have been included on the agenda.

Stage 6: Creativity

- The ability, using brainstorming, research techniques, and personal reflection and investigation, to bring new ideas and images into a practical and concrete reality. This ability includes the use of new technology, such as computer software, to enhance this possibility. The purpose of this is to enhance the goals and mission of the organization.
- Bring your values to consciousness.
- Be able to synthesize new information.
- Be able to initiate totally new ideas from seemingly unrelated data.
- Perceive hidden meaning in standard data.
- Be able to dream and imagine new futures.
- Develop brainstorming skills.
- Use "think tank" techniques.
- Be able to utilize several modes of communication, such as poetry, music, and dance.
- Keep a pad of paper handy at home and at work to jot make note of thoughts and ideas as they occur for later follow-up.
- Suspend critical judgment. Avoid the notion that "it will not work." Generate far-out ideas and loosen up blocked thinking.
Education/Knowledge

- Ongoing learning and teaching as a means of gaining new facts, truths, and principles that promote your knowledge of human differences and dignity. Includes helping others to be learners through teaching what you know.
- Understand how teaching methodology varies with personality type and ethnic and cultural heritage. Learning the new tools for accelerated learning.
- Develop skills in group dynamics and group learning.
- Be current in your field of endeavor and in current research and thinking on human relations issues.
- Offer to speak to or teach others about areas in which you have expertise.
- Study fields of interest in which you have no expertise as a means to broadening your perspective.
- Volunteer your time and energy with social or political or religious groups whose membership includes people of diverse backgrounds and interests.
- Be aware of and skilled in the use of organizational instrumentation, such as the Birkman, Myers-Briggs Type Indicator, and/or Profiler as a means to greater understanding of self and others.

Limitation/Celebration

- Recognizing that your limitations are the other side of what constitutes human potential for you. Being able to celebrate this, laugh at your own mistakes and errors, grow from the experience, and help others do the same.
- Seek ways that you can make a unique contribution to your organization and take calculated risks to demonstrate that contribution. Ask for feedback.
- Support others in taking calculated risks and use mistakes as an opportunity to learn. Beware of perfectionism, especially when delegating to others.
- Avoid "blame and shame" both towards yourself and others. Avoid labelling people or projects as failures; instead, look at a different outcome from that desired as an opportunity to learn.
- Recognize and deal with poor performance in yourself or team members as soon as it occurs; give feedback and jointly develop solutions. Monitor improvement.
- In dealing with disagreements with others, take the time you need to detach from strong emotions and to focus on the issues or the behavior and not the self-worth of the individual. Think through your issues and arguments in advance of any discussion and stay focused on the issues and the desired outcome.
- If you are facing conflicts of an interpersonal nature that are ongoing and causing you stress, keep a log of these situations, noticing how you dealt with the situation and the outcome. Identify the underlying source of the conflict and how you might deal with it differently. Seek input from others on alternatives you might not have considered. Seek to honour the views of others and find common ground.
- Always prepare yourself for a situation that may require negotiation and allow yourself the time needed to hear, acknowledge, and consider all positions. Always strive for a win-win solution.
Pioneerism/Innovation

• Promoting the vision of the organization by enabling creative ideas for positive change in social organizations and systems and providing the framework for actualizing them. This implies being a catalyst for change.

• Values essential to developing the skill of Pioneerism/Innovation in the workplace include Corporation/New Order, Mission/Objectives, Research, Collaboration and Interdependence.

Research

• Abilities in systematic investigation of truth--be it research methodology in the sciences, arts, or humanities--for the purpose of creating new insights and awareness as a way of promoting your organization's goals and mission.

• Consider a broad range of factors through a systematic process of investigation.

STAGE 7: Prophet/Vision

• The ability to communicate the truth about global justice issues in such a lucid manner that the hearer is able to transcend his/her limited awareness and gain a new perspective on oneself and the needs of the human family.

• See Communications, Empathy, and Sharing/Listening/Trust.
Appendix 2: The ‘Dark Side’ of Values Development

Introduction

During our focus group session in December, questions were raised regarding the maturation of people and their development. An example given was that of a 20 year old; is it possible for them to be at a more developed cycle? At the time, I mentioned Brian Hall’s research findings that people could jump a stage or two of development if they were interacting with a group at such a cycle. I also mentioned the ‘dark side’ of the personality and promised to research this further. Here are my findings thus far.

The Effect of Memory on the Future

Memory is one way to experience the past. A memory of positive experiences gives us positive images of the future, often experienced as imagination. Hall found that this process was directly related to the power of our future values to motivate us to grow and change. Conversely, a memory of negative experiences in the past can draw people back to a Phase I view of the world depending on the scenario. A consciousness-shift depends on whether, in Hall’s words, we have ‘catalogued’ positive rather than negative experiences in our memory.

Positive experiences of the past and positive hopes for the future feed into the present, and over time affect our day-to-day decision making in a forward way. If, however, we have negative experiences of the past that we have not taken care of or matured, our future values are retrograded to the opposite of hope such as despair, and over time our day-to-day decision-making and behaviour is thus affected; we can act out our worst selves. The latter phenomenon represents the ‘dark side’ of our personality.

The Dark Side Explained

There are actually 250 values in the Values Framework we are using. For every value we have been working with in a positive way, there is a corresponding value that manifests itself in oppositional behaviour if the value has not been matured.

The experience of ‘failure’ is an example of a negative experience. As a past experience, failure is manifested as guilt and transfers into the future as the experience of fear and anxiety. Hall found that both these elements get transferred into the present as experiences of frustration and an increased inability to act. As he explains, it can be anxiety-producing for some people just to think about alternatives whereas for others, choosing is a simple matter but anxiety can beseech them when it is time to act on these choices.
This is the dark side, where foundation values become our future and the vision values disappear. On the other hand, when people overcome this anxiety and act successfully, they experience a new sense of themselves. Our personal foundation values lie behind our experiences of failure and success. These foundation values automatically move to the future as either hope or despair. Hope is the activation of our future values; despair is their negation.

**Phases I and II**

Phases I and II (stage 1-4) are typically the foundation areas of our development over a lifetime. People in these stages are not working on or living their own values; rather, they are working on someone else’s values like their parents, peers or the organisations they belong to. Only when a person reaches a maturity level where they start questioning and selecting their value system, will they be able to mature into Phase III.

For example, if a person in stage 3 tries to operate at stage 5, there is a strong possibility that they may operate on the dark side of stage 5, particularly if they are under stress. This means that they don’t have the skills or the earlier values integrated in their life to operate on the ‘white’ or ‘light’ or ‘right’ side. One way to gain these skills is to work with or associate with people who are more mature. Another is to learn from one’s mistakes in the earlier stages in a positive way.

A person can only operate on 2 or 3 values at any moment in time. The prioritised values can shift depending on the situation and how the person perceives themselves and the world (their world view).

**How to Support Personal Growth**

1. Take care of your foundation values: you need at least the basic skills for actualizing your values in the foundation and focus areas and to have integrated your foundation values into your life.

2. Develop at least minimal skills in all four skills areas: to develop your instrumental, interpersonal and system skills, you must have access to your imagination at each cycle to become an integrated, mature person.

A management example of where growth is stifled is a management style that alienates people. If personal decisions about people are based only on the technical
requirements of the job, the manager can be overwhelmed by the interpersonal realities of management. The dark side emerges in behaviour if the manager espouses an interest in people (the theory is articulated) but acts the opposite over a long period of time (the practice is not in alignment). To acquire mature interpersonal skills, the manager must become self-aware and have knowledge of their past and present emotional and imaginal life. This is usually acquired through a form of education. The values that would motivate one to know oneself in the emotional arena do not occur until Phase III (eg. Empathy) but they do need prior development in other phases through means values such as Care/Nurture.

A Final Note

If we are to develop and grow, we must choose certain value priorities at given points in our life. Hall explains that we all have some level of anxiety about making the right choices and creating something for ourselves in the world. However, in a world of complexity, ambiguity and change, some failure is inevitable but negative feelings have a positive side too: they motivate us to change. These are natural feelings and a part of what motivates us to be responsible, to risk, to love, and to live.

In the values questionnaire, you had the opportunity to select each of the 125 values four times. If you selected a value all four times, then it is a priority value for you. How these values are clustered marks your maturity level. I did not order the values cluster report in the first round but if you would like to have that information, I will order it as part of your values profile in the second round when you complete the questionnaire again at the end of our action research period.

Deborah Nanschild

Deakin University

February 2006
Appendix 3: Sample Values Profile

Figure 1: Individual Values Cluster Map

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<tr>
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<th>Phase 2: BELONGING</th>
<th>Phase 3: SELF-INITIATING</th>
<th>Phase 4: INTERDEPENDENT</th>
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## VALUE CLUSTERS

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Developmental Central Dynamics

NARRATIVE REPORT

Central Dynamic

The central dynamic is an experience of excitement about personal growth and development. Values, vocation focus and mission direction is becoming more focused.

World-View

You are beginning to view the world from a new perspective as you try to assess your successes in relationship to the new revelations and doubts you are having about yourself, your gifts and your vocation. Ethical issues seem less complex, although never as clear as when simply following the rules.

Reasoning your way to making appropriate decisions is still a difficult task. Making firm commitments is less difficult for you than before as your internal valuing system can better guide you to differentiate between ethical and non-ethical behavior. Human equality and issues of justice are a growing concern for you, both in race, class and sex. Sorting out differences and not confusing equality of power and skills with equality of persons are important.

In other words, while people are equal in worth, some have more skills than others in certain areas. A common error is to insist that all persons within an institution, community or family must agree on all decisions. This is only appropriate when the persons have equal skills and knowledge and equal access to the information on which these decisions are made.

Leadership and Organizational Style

The style of leadership should be regarded as an interim style, for although it does exert influence, it is minimal due to the reluctance to take precise action. You may be caught between adherence to what the institution demands and a new view of your own human dignity. If you wish to develop your leadership capabilities, you will need to integrate the skills in the management and administrative sciences with the personal dimensions of group dynamics and human relations training. This integration can lead to a more dignified and life-giving view of corporate and/or institutional culture.

The organizational style tends to be laissez-faire, which is an interim style that tends to react against hierarchy and structure and favor participative management styles. The hierarchical structures need to remain and the more participative approaches added and integrated slowly, using standardized team building techniques and methods that stress leadership formation rather than personnel replacement.
Ethical Choices

Your ethical decisions are becoming less relativistic. You support the value systems of others only after creative criticism. You are striving to find a clear, life sustaining value system to which you can seriously commit yourself. Ethical decision making in this transitional period will be difficult if the institutions that you work in and relate to are not open to exploring new ideas and alternatives to old ways of doing things.

Behavior under Stress

When you are under stress you may tend to be materialistic or paternalistic, listening to others in a caring way but not taking what they have to say seriously. Ultimately, you would find it difficult to delegate and would make decisions in an authoritarian way, while expecting others to show you loyalty and respect. You would base your ethical choices on established laws and rules. If you experience behavior, look carefully at the way in which you make decisions. It will be helpful to ask a trusted friend or colleague to evaluate your behavior objectively and tell you how he/she sees you performing.

To reduce the possibility of stress behavior, it is important for you to have the support of loyal friends and respected peers with whom you can talk openly and seek ways to manage the stress you are experiencing.

Under conditions of extreme or prolonged stress you may emphasize personal security and ownership. You would have a tendency to become very autocratic, particularly when your security, material ownership and physical survival became issues. Self-interest would seem the most logical way for you and others to survive. You would base your ethical choices on this orientation.

Reflections for Growth

Do you have support structures (persons and organizations) that enable you to function at your best?

Have you developed ways for coping with stress, such as good time management, healthy dietary habits and exercise routines?

Have you completed your professional education or training? Do you need to upgrade any skills in these areas?

Do you engage regularly in creative activities that require as litany skills as your work and that enable you to detach completely from the stresses of daily life?

Do you have good skills in relating to others, such as skills of listening effectively, expressing your feelings creatively and asserting your points of view?

Do you have a strong sense of your own worth? Do you feel valued by others?

Can you express your emotions in a way that facilitates your growth and enables others to understand you more deeply?

Have you healed any pain caused by past experiences?
Appendix 4: Definitions of Hall-Tonna Values

**Accountability/Ethics**: To act on personal moral principles even when faced with pressure to do otherwise.

**Achievement/Success**: Driven to complete projects and accomplish something noteworthy.

**Adaptability/Flexibility**: Adjusting readily to changing conditions.

**Administration/Control**: Exercising given authority to complete specific management tasks.

**Affection/Physical**: Expressing fondness by touching. (Child and Elderly Care)

**Art/Beauty**: Experiencing intense pleasure through the inherent value of natural and person-made creations.

**Authority/Honesty**: The exercise of personal power as straightforward expression of feelings and thoughts

**Being Liked**: Experiencing affirmation by peers.

**Being Self**: Acting interdependently from the awareness of personal limitations, skills and know-how.

**Belief/Philosophy**: adherence to a belief system, set of principles, or established philosophy that is based on universally accepted document which advocate the reverence for a universal order.

**Care/Nurture**: Being emotionally supported by and consciously supporting friends and work-mates.

**Collaboration**: Cooperating interdependently with personnel at all levels through delegating responsibility.

**Complementarity**: Enabling people to work together so their unique skills supplement, support and enhance each others.

**Communication/Information**: Transmitting ideas and factual data between people and components of an organization.

**Community/Personalist**: Committing to a group or team to maximize both independent creativity and interdependent cooperation.

**Community/Supportive**: Creating cooperative groups of peers that provide mutual support, to enhance quality of work, and human interaction based on common values.

**Competence/Confidence**: Having assurance in one’s skills to achieve and make a positive contribution at work.

**Competition**: Being energized to win and do better for one’s self and as a part of a team

**Congruence**: The ability to express feelings and thoughts consistent with internal experiences in a straightforward manner.

**Construction/New Order**: Developing the organization and its mission or a new organizational structure.

**Contemplation**: Practice of the art of Meditation in order to achieve quality presence.

**Control/Order/Discipline, Being** disciplined and orderly according to established rules no matter how stressful the circumstances are.

**Convivial Technology**: Developing usable, practical technology to improve the quality of life.
Corporation/New Order: To be energized by creating and improving the organization, its quality and management efficiency.

Courtesy/Hospitality: Being treated and treating others politely with respect.

Creativity: Sharing and applying new and original ideas and thoughts.

Decision/Initiation: Starting projects and a course of action based on personal conviction, without getting others approval.

Design/Pattern/Order: Applying creative design through art, ideas or technology.

Detachment/Solitude: The regular discipline of non-attachment that leads to quality relationships with others and the other.

Dexterity/Coordination: Skills in physical and mental Coordination.

Discernment: Enabling group consensus through openness, reflection, and honest interaction.

Duty/Obligation: Loyalty to managers, peers and the organization, its customs and regulations.

Economics/Profit: Establishing financial stability

Economics/Success: Managing financial resources to attain prosperous results.

Ecority: To contribute to ecological balance through creative technology.

Education/Certification: Completing a formal learning program.

Education/Knowledge: To love learning for its own sake and to seek comprehensive information from a variety of sources in order to make informed decisions.

Efficiency/Planning: To do critical path planning that maximizes output and minimizes waste.

Empathy: Listening and responding to others so they see themselves with more clarity. Seeing and feeling their concerns and issues as they do.

Endurance/Patience: Handling difficult and painful tasks with calm and perseverance.

Equality/Liberation: Recognizing that one has the same value and rights as others.

Equilibrium: Maintaining status quo by managing conflicts.

Equity/Rights: Ensuring that all employees and peers are treated fairly.

Expressiveness/Joy: Sharing one’s vision of the future, feelings and ideas openly and spontaneously so others are free to do the same.

Faith/Risk/Vision: Committing to the mission or plan of action based on one’s values.

Family/Belonging: Nurturing close and loyal relationships with one’s kin and or co-workers.

Fantasy/Play: Engaging in imaginative activities for amusement or brainstorming new ideas.

Food/Warmth/Shelter: Making sure basic needs for board and lodging is taken care of.

Friendship/Belonging: Being part of a group with whom one can share day-to-day.

Function/Physical: Being concerned about the ability to care for oneself. (Health Care)

Generosity/Compassion: Being sensitive to the limitations of others and using one’s unique gifts and skills to help them without expecting something in return.

Global Harmony: Promoting quality of life internationally by influencing positive change relative to equality, conflict resolution and ecology.

Global Justice: Bringing about inter-institutional collaboration to provide the basic rights and necessities for the disadvantaged. (Government and UN Agencies)

Growth/Expansion: Enabling the organization to develop appropriate growth strategies.
**Health/Healing**: Engaging in, sound ongoing preventative health practices such as diet, exercise and relaxation.

**Hierarchy/Order**: Being able to understand and manage bureaucracy.

**Honor**: To promote respect and loyalty to people in authority.

**Human Dignity**: Promoting an organizational environment where everyone is respected and have their basic needs met so they can develop their full potential.

**Human Rights**: Committing of one’s resources to assuring basic global human rights. (UN Agency, Social Agencies)

**Independence**: Thinking and acting for oneself without being constrained by external authority.

**Integration/Wholeness**: Harmonizing the mind and body.

**Interdependence**: Giving preference to cooperation, both personal and inter-organizational, over independent action.

**Intimacy**: Sharing thoughts, feelings and fantasies, mutually and freely, regularly with another person.

**Intimacy/Solitude**: Experiencing inner harmony that results from meditation, mutual openness and acceptance of another person.

**Justice/Social Order**: Acting to address, confront and correct conditions of human oppression.

**Knowledge/Insight**: Pursuing truth through patterned investigation and use of intuition as a basis for decision making.

**Law/Guide**: Using the rules and regulations as guidelines, rather than directives for decision making.

**Law/Rule**: Living by the rules established by the legal system.

**Leisure**: Engaging in highly skilled activities that totally detach you from the stress of work and increase your overall creativity.

**Limitation/Acceptance**: Recognizing personal inability’s as a beginning point for problem solving and growth.

**Limitation/Celebration**: Laughing at one’s imperfections as a way of defining one’s unique skills and talents.

**Loyalty/Fidelity**: Duty to those in authority and friends even when it’s to your disadvantage.

**Macroeconomics**: Managing financial resources within and between institutions to enhance stability and the quality of life of people.

**Management**: To cope with one’s affairs and giving guidance to one’s family or employees in accordance with one’s philosophy and beliefs and the goals of the institution.

**Memberships/Institution**: Taking pride in belonging to and working is the organization.

**Minessence**: Taking complex ideas from different sources and converting them into simplified, practical technology that improves society.

**Mission/Objectives**: Management of the strategic planning of an organization.

**Mutual Accountability**: Maintaining a reciprocal balance of tasks and assignments with others so that all are answerable for their own areas of responsibility.
**Mutual Obedience**: Being equally responsible for establishing a group’s rules and following them.

**Obedience/Duty**: Complying with established moral and legal obligations of management.

**Ownership**: Taking pride in what you own and the responsibilities you have.

**Patriotism/Esteem**: Pride in one’s country, its unique culture and its products.

**Physical Delight**: Positive experience of the senses and the body as a whole. (Health Care)

**Pioneerism/Innovation**: Giving leadership through pioneering new creative ideas.

**Play/Recreation**: Placing a priority on playful relaxation as essential to the quality of your relationships and work.

**Presence**: Being attentive to others in a high quality way, so their lives become more meaningful.

**Prestige/Image**: Appearing successful to gain the esteem of others.

**Productivity**: To be energized by completing and achieving personal and group tasks and goals.

**Property/Control**: Skills in managing property and finances.

**Prophet/Vision**: The ability to talk about global human issues that enable others to recognize their limited awareness and act.

**Quality/Evaluation**: Appreciating objective self-appraisal and being open to what other’s reflect back about oneself or team (Hay Group) and the products of one’s work, for personal growth, and the improvement of service to others.

**Reason**: Thinking logically and exercising reason before emotions.

**Relaxation**: Engaging in a diversion from physical or mental work and reduce stress so one’s potential can be realized.

**Research**: Patterned investigation in order to create new practical insights and/or technology that improve the quality of life.

**Responsibility**: Being accountable and in charge of a specific area or project.

**Rights/Respect**: Recognizing the worth, accomplishments and property of others.

**Ritual/Communication**: Increasing human awareness and consciousness using ceremony, media, technology and the arts.

**Rule/Accountability**: Behaving according to established codes of conduct.

**Safety/Survival**: Having concern about health, safety and the bottom line.

**Search/Meaning/Hope**: Seeking to discover one’s uniqueness and making sense out of day to day existence.

**Security**: Creating an environment where one feels their basic foundation needs are taken care of, such as health care benefits or salary.

**Self Actualization**: Developing spiritual, psychological, physical, and mental health.

**Self Assertion**: Communication your thoughts and feelings and the value of your point of view.

**Self Interest/Control**: Exercising personal control and if necessary control over others.

**Self Preservation**: Watching the bottom line and protecting one’s self from financial or physical disaster.

**Self Worth**: Knowing that one is valued by those who know one well.

**Sensory Pleasure/Sexuality**: Satisfying sensual desires and experiencing one’s sexual identity.
**Service/Vocation**: Knowing that you have skills, an occupation, or profession that is making a significant contribution.

**Sharing/Listening/Trust**: Hearing another person’s thoughts and feelings and expressing one’s own in a climate of mutual confidence.

**Simplicity/Play**: Seeing simplicity in complexity, as a basis for decision making, leadership and lifestyle.

**Social Affirmation**: Receiving the support and respect of one’s peers.

**Support/Peer**: To give and receive from one’s peers even in difficult times.

**Synergy**: Energizing group relationships so as to maximize the creation of new ideas and projects.

**Technology/Science**: Applying scientific methods to create new inventions and tools.

**Territory/Security**: The defense and maintenance of property.

**Tradition**: Recognizing and celebrating personal, cultural company and national history.

**Transcendence/Solitude**: Exercising spiritual discipline that enhances a global and visionary perspective.

**Truth/Wisdom**: Reflecting on complex data to develop integrated and practical insights about the interrelationships of people and systems.

**Unity/Diversity**: Recognizing and accepting differing viewpoints and opinions.

**Unity/Uniformity**: Achieving efficiency, order, loyalty, and conformity to established norms in an organization.

**Wonder/Awe/Fate**: Appreciating and feeling helpless in the face of the grandeur and mystery of life.

**Wonder/Curiosity**: Desiring to explore nature with a sense of marvel and amazement.

**Word**: Transforming the values and worldviews of others through the communication of universal truths.

**Work/Labor**: Providing for self and family.

**Workmanship/Art/Craft**: Producing artifacts or products that modify or beautify the person-made environment.
Appendix 5: Australasian Values Inventory (AVI)
Definitions


Accountability/Ethics: To hold yourself and others accountable to a code of ethics derived from your values. To address the appropriateness of your behaviour in relation to your values.

Achievement: To accomplish something noteworthy and admirable in your work, education, or your life in general.

Adaptability/Flexibility: To adjust yourself readily to changing conditions and to remain flexible during ongoing processes.

Administration/Control: To be in command. To exercise specific administrative functions and tasks in a business or institution, such as finance or recruitment.

Affection: To express fondness or devotion through physical touch.

Art/Beauty: To experience intense mental pleasure through observing that which is aesthetically appealing in either natural or human creations.

Assertion/Directedness: To put yourself forward boldly regarding a personal line of thought or action.

Being Liked: To experience friendly feelings from your peers.

Being Self: The desire to know the truth about yourself and the world around you. This includes seeking an objective awareness of your personal strengths and limitations. The desire to be yourself in all situations.

Care/Nurture: To be physically and emotionally supported by family and friends throughout your life and to value the same from others.

Collaboration/Subsidiarity: Independent co-operation will all levels of management, ensuring full and appropriate delegation of responsibility takes place.

Communication/Information: The effective and efficient flow of ideas and factual information to persons in all or parts of the organisation.

Community/Personalist: To have sufficient depth and quality of commitment to a group, its members and its purpose, so that independent creativity and interdependent cooperation will be maximised simultaneously.

Community/Supportive: The desire to have, or to create, a group of peers for the purpose of ongoing mutual support and the creative enhancement of each other.

Competence/Confidence: To experience the realistic and objective confidence that you have the skills to achieve in the world of work and to feel that your skills are making a positive contribution.

Competition: To be energised by a sense of rivalry, to be first or most respected in a given arena; e.g. sports, education or work.
Congruence: To experience and express your feelings and thoughts in such a way that what you communicate externally to others is the same as what you experience internally.

Construction/New Order: To initiate and to develop a new form of institution or organisation for the purpose of creatively enhancing society.

Contemplation/Asceticism: The self discipline and art of meditative reflection that prepares you for intimacy with others and that gives you a sense of being part of something bigger than yourself.

Control/Order/Discipline: To control people and/or things according to prescribed rules so as to maintain the accepted level of discipline and order.

Convivial Technology: The application of technology for the benefit of both humanity and the planet.

Cooperation/Complementarity: To work cooperatively in a group so that the unique skills and qualities of one individual supplement, support and enhance the skills and qualities of others in the group.

Corporation/New Order: The innovative design of new organisational or institutional forms which, if implemented, would creatively enhance society.

Courtesy/Hospitality: To treat others, and be treated by them, in a polite, respectful, friendly and generous manner.

Creativity/Ideation: Original thought and expression that converts, for the first time, new ideas, images or concepts into practical and concrete forms.

Criteria/Rationality: To think logically and reasonably using a formal framework for analysis. To exercise reason before emotion.

Decision/Initiation: To take personal responsibility for beginning a creative course of action. To act on your conscience without external prompting.

Design/Pattern/Order: To have an awareness of the natural arrangement of things. To use this awareness to create new arrangements through the application of the arts, ideas or technology; e.g. architecture.

Detachment/Solitude: Regular discipline of non-attachment to external things that leads to the potential to live more fully.

Detachment/Transcendence: Spiritual discipline and detachment so as to experience a global and visionary perspective through a feeling of being in touch with some ultimate source of wisdom.

Dexterity/Coordination: Sufficient harmonious interaction of your mental and physical functions to perform basic instrumental tasks; e.g. following a knitting pattern to knit a jersey.

Discernment/Communal: To make conscious decisions, relative to long-term planning for a group or organisation, through prayerful reflection and honest interaction.

Duty/Obligation: To closely follow established customs and regulations out of dedication to your peers and a sense of responsibility to institutional codes.

Economics/Profit: To accumulate physical wealth in order to be secure and respected.

Economics/Success: To attain favourable and prosperous financial results in business through effective control and efficient management of resources.
**Ecority/Aesthetics**: The personal, organisational or conceptual influence to enable persons to take authority for the created order of the world and to enhance its beauty and balance through creative technology in ways that have worldwide influence.

**Education/Certification**: To value completing a formally prescribed course of learning and to receive a certificate of accomplishment.

**Education/Knowledge/Insight**: To experience ongoing learning as a means of gaining new facts, truths and principles, motivated by the reward of a new understanding gained through insight. To enjoy the ‘A ha’ experience of learning.

**Efficiency/Planning**: To plan processes and activities which, when implemented, will make the best possible use of available resources.

**Empathy**: The ability of being able to see things from other people’s point of view.

**Endurance/Patience**: To bear difficult and painful experiences, situations or persons with calm, stability and perseverance.

**Equality/Liberation**: To experience yourself as having the same value and rights as all other human beings in such a way that you are set free to be yourself and to free others to be themselves.

**Equilibrium**: To maintain a peaceful social environment by averting upsets and avoiding conflicts.

**Equity/Rights**: To have an awareness of the moral and ethical claim of all persons (including yourself) to legal, social and economic equality and fairness plus a personal commitment to advocate this claim.

**Evaluation/Self-system**: To appreciate an objective appraisal of yourself. To be open to what others reflect back to you as being necessary for self-awareness and personal growth.

**Expressiveness/Freedom/Joy**: To share your feelings and fantasies so openly and spontaneously that others feel free to do the same.

**Faith/Risk/Vision**: To commit to a cause, or to champion a way of life, even if it may mean putting your lifestyle at risk.

**Family/Belonging**: To devote yourself to, or be concerned about, your family. To belong to and be accepted by your family. To have a place to call home.

**Fantasy/Play**: To experience your personal worth through unrestrained imagination and personal amusement.

**Food/Warmth/Shelter**: To have adequate physical nourishment, warmth and comfort and a place of refuge from the elements. To be protected from the natural elements.

**Friendship/Belonging**: To have friends to share things with on a day-to-day basis.

**Function/Physical**: To be able to perform minimal manipulations of your body to care for yourself. To be concerned about the body’s internal systems and their ability to function adequately.

**Generosity/Service**: The desire to share your unique gifts and skills with others as a way of serving humanity without expecting anything in return.

**Growth/Expansion**: To creatively enable an organisation to develop and expand.
Health/Healing/Harmony: To have a soundness of mind and body that flows from meeting your emotional and physical needs through self-awareness and disciplined preventative measures.

Hierarchy/Propriety/Order: To have a methodical, harmonious arrangement of persons and things ranked above one another, in conformity with established standards of what is good and proper within organisations.

Honour: To have high respect for the worth, merit or rank of those in authority; e.g. parents, managers or national leaders.

Human Dignity: The basic right of every human being to have respect and to have their basic needs met in a way that will allow them the opportunity to develop their potential.

Human Rights/World Order: To create the means for every person in the world to experience their basic right to life-giving resources such as food, shelter, employment, health and a minimal practical education.

Independence: To think and act for yourself in matters of opinion, conduct etc., without being subject to external constraint or authority.

Integration/Wholeness: To organise your personality (mind and body) into a coordinated, harmonious totality.

Interdependence: To value personal and inter-institutional cooperation above individual decision-making.

Intimacy: To be able to share yourself fully – thoughts, feelings, fantasies and realities – mutually and freely with another on a regular basis.

Intimacy/Solitude as unitive: To experience the personal harmony that results from a combination of meditative practice, mutual openness and total acceptance of another. The experience leads to new levels of meaning and awareness of truth.

Justice/Global Distribution: To elicit inter-institutional and governmental collaboration to help provide the basic life necessities for the poor in the world.

Justice/Social Order: To see every human being as part of equal value and to place a priority on taking a course of action that addresses, confronts and helps correct conditions of human oppression.

Knowledge/Discovery/Insight: To be motivated by the experience of moments of insight in a quest for truth through patterned investigation.

Law/Guide: To see authoritative principles and regulations as a means for creating your own criteria and moral conscience, and questioning those rules until they are clear and meaningful to you.

Law/Rule: To live life by the rules. To govern your conduct, action and procedures by the established legal system.

Leisure/Freesence: To use your time in a way that requires as much skill and concentration as your work, yet totally detaches you from work so that your spontaneous self is free to emerge in a playful and contagious manner.

Life/Self-actualisation: To experience and express the totality of your being through spiritual, psychological, physical and mental exercises with the goal of developing your full potential.
**Limitation/Acceptance**: To give positive acceptance to the fact that people have weaknesses and limitations. To see their limitations as a necessary consequence of their strengths.

**Limitation/Celebration**: To recognise that your limitations are part of the framework for exercising your talents. To have the ability to laugh at your own imperfections.

**Loyalty/Fidelity**: To see as important the strict observance of promises and duties to those in authority and to those in close personal relationships.

**Macroeconomics/World Order**: To manage and direct the use of financial resources at an institutional and inter-institutional level. The goal being the creation of a more stable and equitable world economic order.

**Management**: To control and direct personnel on a business or institution for the purpose of optimal productivity and efficiency.

**Memberships/Institution**: To take pride in belonging to and functioning as an integral part of an organisation, foundation, establishment, etc.

**Minessence**: To miniaturise and simplify complex ideas or technology into concrete and practical applications for the purpose of creatively impacting on the worldview of the user.

**Mission/Objectives**: To establish organisational goals and execute long term planning that takes into consideration the needs of society and how the organisation contributes to those needs.

**Mutual Responsibility/Accountability**: To maintain a reciprocal balance of tasks and assignments with others so that everyone is answerable for their own area of responsibility.

**Obedience/Duty**: Dutiful and submissive compliance with moral and legal obligations established by parents, civic or religious authorities.

**Obedience/Mutual Accountability**: To be mutually and equally responsible for establishing and complying to a common set of rules and guidelines in a group.

**Ownership**: Personal and legal possession of skills, decisions and property that gives you a sense of personal authority.

**Patriotism/Esteem**: To honour your country through personal devotion, love and support.

**Personal Authority/Honesty**: To be in the position of being able to honestly express your full range of feelings and thoughts in a straightforward, objective manner. To command authority in your area of expertise.

**Physical Delight**: To delight in the joy of experiencing the stimulation of all the senses of your body; e.g. having a massage, sunbathing, taking a spa bath.

**Pioneerism/Innovation**: To introduce and originate creative ideas for positive change in organisations and other social systems. To provide the framework for implementing them.

**Play/Recreation**: To engage in an undirected, spontaneous pastime or diversion from the anxiety of daily life. To ‘recharge your batteries’ through playful activities.

**Presence/Dwelling**: To be there for another person in such a way that, through your own self-knowledge and inner wisdom, they are able to perceive themselves with increased clarity.

**Prestige/Image**: To have a physical appearance which reflects your success and achievement, gains the esteem of others and promotes success.

**Productivity**: To feel energised by generating and completing Tasks and activities. To be keen to achieve the goals set for you by others and to live up to their expectations.
**Property/Control:** To accumulate property, and exercise personal control over it, for your security and to meet your basic physical and emotional needs.

**Prophet/Vision:** To perceive with clarity global issues of social justice, human rights, ecology, etc. To communicate your vision in relation to these issues with such clarity that your listeners are empowered to take action.

**Relaxation:** A diversion from physical or mental work which reduces stress and provides a balance of work and play as a means of realizing your potential.

**Research/Originality/Knowledge:** The systematic investigation and contemplation of the nature of truths and principles that lie behind our experience of reality. The aim is to create new insights and awareness – to see things as no one has before.

**Responsibility:** To be personally accountable for, and in charge of, a specific area or course of action in your group or organisation.

**Rights/Respect:** To respect the rights and property of others as you expect them to respect you and yours.

**Ritual/Communication:** To use liturgy and the arts as a communication medium for raising people’s critical awareness of social issues.

**Rule/Accountability:** To have each person openly explain or justify their behaviour in relation to established codes of conduct, procedures, standards, etc.

**Safety/Survival:** To avoid personal injury, danger or loss, and to do what is necessary to protect yourself in adverse circumstances.

**Search/Meaning/Hope:** The inner longing and curiosity to integrate your feelings, imagination and knowledge in order to discover your unique place in the world. To search for ‘your place in the scheme of things’.

**Security:** To have a safe place or relationship where you experience protection and freedom from cares and anxieties. A place you find comforting to have.

**Self Interest/Control:** To restrain your feelings and control your personal interests for the purpose of physical survival in the world.

**Self Preservation:** Doing whatever is necessary to protect yourself from physical harm or destruction in what you perceive as an alien/threatening world. To look after ‘number one’ in the face of threat.

**Self-worth:** The knowledge that when those you respect and esteem really know you, they will affirm you are worthy of their respect.

**Sensory Pleasure/Sexuality:** To gratify your sensual desires and fully express your sexuality.

**Service/Vocation:** To use your unique gifts, skills and abilities to contribute to society through your occupation, business, profession or calling.

**Sharing/Listening/Trust:** To actively and accurately hear and sense another’s thoughts and feelings. To express your own thoughts and feelings in a climate of mutual trust and confidence in each other’s integrity.

**Simplicity/Play:** To have a deep appreciation of the world combined with a playful attitude toward organisations and systems that people find energizing and positive. To see simplicity in complexity and to be detached from the material world.
Social Affirmation: Personal respect and validation, arising from the support and respect of your peers, which is necessary for your growth and success.

Support/Peer: To be sustained in both joyful and difficult times, by persons similar to yourself.

Synergy: The harmonious and energizing relationship of persons in a group that results in the group far surpassing its predicted ability (based on the summation of the abilities of its individual members).

Technology/Science: Systematic knowledge of the physical or natural world and practical applications of the knowledge through the construction of devices and tools.

Territory/Security: To make provision for physically defending your property, state or nation.

Tradition: To ritualize family history, religious history, or national history in your life so as to enrich its meaning. To pass on traditional ways through ritual and ceremony.

Transcendence/Global Equality: To transcend physical needs with the intention of influencing issues of equality. For example a hunger strike to change the conditions for the inmates in a prison.

Truth/Wisdom/Integrated Insight: The intense pursuit and discovery of ultimate truth above all other activities. To seek the wisdom that stems from understanding a set of universal principles that govern all things.

Unity/Diversity: To value groups, organisations, society and the ecosystem, that have a diversity of membership. To value biodiversity. Recognizing and accepting differing viewpoints and opinions.

Unity/Uniformity: To create harmony and agreement in an institution for achieving efficiency, order, loyalty and conformity to established norms.

Wonder/Awe/Fate: To be filled with marvel, amazement and awe when faced with the overwhelming grandeur and power of your physical environment. Appreciating and feeling helpless in the face of the grandeur and mystery of life.

Wonder/Curiosity/Nature: To experience the physical world with marvel and wonder. To seek to learn about and explore it personally.

Word: The desire to communicate universal truths so effectively that the listeners become conscious of their strengths and limitations and life and hope are renewed for the individual.

Work/Labour: To have the skills and rights enabling you to produce an adequate living for yourself and your family.

Workmanship/Art/Craft: To create products or works of art to enhance the world and our life in it.

Worship/Faith/Creed: Reverence for and belief in God that is expressed and experienced through a commitment to religious doctrines and teachings.
Appendix 6: Graves’ Key Values

Professor Clare Graves

Graves published very little and due to serious health problems he died in 1986 just before releasing his major work, a book he was going to title: “Levels of Human Existence.” The core of his theory was published in *The Futurist*, April 1974, in an article titled: “Human Nature prepares for a Momentous Leap.”

The following table of Graves’ key values was published by a student of two of Graves’ students, Don E. Beck and Chris C. Cowan. Specific definitions of Graves’ values have been difficult to find and thus far do not appear to exist.

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
<th>Level 6</th>
<th>Level 7</th>
<th>Level 8</th>
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</thead>
<tbody>
<tr>
<td>Survival</td>
<td>Roles &amp; duties</td>
<td>Individual pride</td>
<td>Patriotism – group pride</td>
<td>Material possessions</td>
<td>Bonding</td>
<td>Inner peace</td>
<td>Metaphysical exploration</td>
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<tr>
<td>Allegiance to tribe &amp; chief</td>
<td>Physical strength</td>
<td>Hard work</td>
<td>Success</td>
<td>Harmony</td>
<td>Solitude</td>
<td>Reason</td>
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<td>Sacrifice</td>
<td>Victory</td>
<td>Sacrifice</td>
<td>Opportunity</td>
<td>Group consensus</td>
<td>Holism</td>
<td>Results</td>
<td></td>
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<tr>
<td>Conformity</td>
<td>Competition</td>
<td>Delayed gratification</td>
<td>Individual achievement</td>
<td>Feelings</td>
<td>Self management</td>
<td>Global survival</td>
<td></td>
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<tr>
<td>Rapport with spirits &amp; non physical world</td>
<td>Control</td>
<td>Obedience</td>
<td>Win-win solutions</td>
<td>Self discovery</td>
<td>Trust</td>
<td>Purpose</td>
<td></td>
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<td>Nature &amp; other creatures</td>
<td>Physical sensation</td>
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<td>Independence</td>
<td>Diversity</td>
<td>Causality</td>
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<td>Goals</td>
<td>Ingenuity</td>
<td>Results</td>
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<tr>
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<td>Competence</td>
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<td>Self reliance</td>
<td>Being ‘good’</td>
<td>Integrity</td>
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</table>
Appendix 7: The Australian Public Service (APS) Values and Code of Conduct

The core APS Values and Code of Conduct required under s.10 and s.12 respectively of the 1999 Australian Public Service Act are as follows:

The APS Values

The Australian Public Service:

- is apolitical, performing its functions in an impartial and professional manner;
- is a public service in which employment decisions are based on merit;
- provides a workplace that is free from discrimination and recognises and utilises the diversity of the Australian community it serves;
- has the highest ethical standards;
- is openly accountable for its actions, within the framework of Ministerial responsibility to the Government, the Parliament and the Australian public;
- is responsive to the Government in providing frank, honest, comprehensive, accurate and timely advice and in implementing the Government's policies and programs;
- delivers services fairly, effectively, impartially and courteously to the Australian public and is sensitive to the diversity of the Australian public;
- has leadership of the highest quality;
- establishes workplace relations that value communication, consultation, co-operation and input from employees on matters that affect their workplace;
- provides a fair, flexible, safe and rewarding workplace;
- focuses on achieving results and managing performance;
- promotes equity in employment;
- provides a reasonable opportunity to all eligible members of the community to apply for APS employment;
- is a career-based service to enhance the effectiveness and cohesion of Australia's democratic system of government; and
- provides a fair system of review of decisions taken in respect of employees.
The APS Code of Conduct

APS employees are required, under the Code of Conduct, to behave at all times in a way which upholds the APS Values

The Code of Conduct requires that an employee must:

- behave honestly and with integrity in the course of APS employment;
- act with care and diligence in the course of APS employment;
- when acting in the course of APS employment, treat everyone with respect and courtesy, and without harassment;
- when acting in the course of APS employment, comply with all applicable Australian laws;
- comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction;
- maintain appropriate confidentiality about dealings that the employee has with any Minister or Minister's member of staff;
- disclose, and take reasonable steps to avoid, any conflict of interest (real or apparent) in connection with APS employment;
- use Commonwealth resources in a proper manner;
- not provide false or misleading information in response to a request for information that is made for official purposes in connection with the employee's APS employment;
- not make improper use of:
  - inside information, or
  - the employee's duties, status, power or authority, in order to gain, or seek to gain, a benefit or advantage for the employee or for any other person;
- at all times behave in a way that upholds the APS Values and the integrity and good reputation of the APS;
- while on duty overseas, at all times behave in a way that upholds the good reputation of Australia; and
- comply with any other conduct requirement that is prescribed by the regulations.
Calling for Expressions of Interest for SES Research Participants

A doctoral study on ‘values-based approaches to leadership development in the public sector: implications for organisational change’ is being conducted within the APS during the second half of 2005. The researcher, Ms Deborah Nanschild from Deakin University is calling for expressions of interest from members of the Senior Executive Service to be involved as participants in the study.

The aim of the study is to explore values-based approaches to leadership development and the implications of these approaches for change management in the Australian public sector. The key research question is:

→ Can a values-based approach to leadership development at senior executive management level facilitate change management in the organisation?

The research will explore value priorities, values alignment and the relationship between values-based work and the transformation of people and organisations. The research aligns closely with the directions being taken by the APS and recognises the importance of values and change processes. Participants in the research will clearly connect SES officers to this agenda.

The project begins with a proposition that values drive behaviour; that they are mostly tacit and unexamined yet are the standards by which we relate to each other and form our understanding of the world. The project will explore the extent to which we are capable of shifting our value priorities.

Research participants will complete an online values questionnaire, be individually interviewed and participate in an action research focus group. The focus group will enquire into values-based leadership development and critique various models and their usefulness to senior executive managers in-situ. It is anticipated that the focus group will meet over a period of 6 months in Canberra (to be negotiated). Participation in the research project is anonymous. If you are interested in receiving further information and / or being involved in the study, please contact Deborah on 0408 496 622 or email dnanschild@bigpond.com.
Dear Colleague,

I invite you to participate in a research project entitled “Values-Based Approaches to Leadership Development: Implications for Organisational Change”. The project is part of my Doctorate of Education (Workplace Learning) based at Deakin University. My Principal Supervisor is Associate Professor John Henry and my Associate Supervisor is Dr. Christopher Hickey from the Faculty of Education at Geelong Campus.

The aim of my study is to explore values-based approaches to leadership development and the implications for change management in the Australian public sector. Research participants would ideally represent the Senior Executive Service of the APS. The research will explore value priorities, values alignment and the relationship between values-based work and the transformation of people and organisations.

The key research question is: can a values-based approach to leadership development at senior executive management level facilitate change management in the organisation?

Key research questions that I will be exploring relevant to this key research question are:

1. What are the value priorities of senior executives?
2. What is the relationship between these values and the espoused values of the employing organisation?
3. Are there value differences at this interface and if so, what are they and how are they managed?
4. What is the extent to which a values shift is possible within a six month research project focused on an action based in-situ exploration?
5. Can a values based approach to leadership development at senior executive level facilitate change in the organisation?

As a participant in this study, you will be involved in the following process:

- Completion of a values questionnaire that comprises 125 questions at the start and finish of the study. The questionnaire takes 30 – 45 minutes to complete. This will generate an individual values profile that will be collated with others to form the group values profile.
- An individual interview up to 60 minutes at either the start or finish of the study.
- A focus group that meets 4 – 6 times over six months in Canberra for 2–3 hours each session as a participatory action research study group.

In addition, key business documents produced by the organisation that are in the public domain would be analysed as well as the APS Values and Code of Conduct using the same values typology as the questionnaire. The purpose of this activity is to conduct a values gap analysis.
and to highlight values alignment with the group values profile. This information becomes the basis for the focus group program and participatory action research. Data from the focus group meetings will be compiled via a professional journal that I will write up after each session. Findings will be checked for accuracy by participants before being used in any report.

Participation in this research is voluntary and you may withdraw at any time, in which case data you have contributed will not be used. The research will not require the disclosure of any personal information and names will be anonymous in any publication. Results of the research will be published in aggregate form, such that neither you nor your organisation will be identifiable. I do need to highlight that I cannot guarantee complete anonymity since it is always possible that a member of the focus group may divulge information to others who are not part of the study group and it is also possible that knowledgeable colleagues not participating in the study may identify you through reports arising from the research.

Interviews would take place at a mutually agreed time, preferably on your premises or nearby. I wish to audiotape the interviews, with your permission, for the sole purpose of transcription after the interview. Sample discussion questions are attached. You will have the opportunity to check the transcription for accuracy and for permission on what I can use as data. Your name will not be used nor any material that could identify you. All participants will have a code ascribed to them known only by myself. The research data will be stored according to Deakin University Ethics Guidelines in a locked filing cabinet in my home office for the required 6 years and shredded thereafter. Your consent to participate and the ascribed code will be stored separately to the encoded data collected.

The research findings will be published as a paper for a refereed journal, as a conference paper and as part of my doctoral thesis. A copy of a refereed journal article or conference paper will be made available for participants to have. It is likely that contributions could be made from the research findings as part of further research into values, workplace learning and/or the Australian public sector.

If you have any further questions regarding the study, please do not hesitate to contact me on 0408 496 622 or my Principal Supervisor, Associate Professor John Henry on (03) 5227 2073 or fax (03) 5227 2014.

If you are willing to participate, please sign the attached Consent Form and return it to me. Once received, I will then proceed with arrangements for the study to begin.

Yours sincerely,

Deborah Nanschild

Management, Education and Training Consultant

Should you have any concerns about the research project, please contact the Secretary, Ethics Committee, Research Services, Deakin University, 221 Burwood Highway, Burwood, Vic. 3125. Tel (03) 9251 7123, Fax (03) 9244 6581 or email vemery@deakin.edu.au
Appendix 10: Participant Consent Form

DEAKIN UNIVERSITY HUMAN RESEARCH ETHICS COMMITTEE

CONSENT FORM – For Participants

I, of

Hereby consent to be a subject of a human research study to be undertaken

By Deborah Nanschild

and I understand that the purpose of the research is to provide an insight into values-based approaches to leadership development in the public sector and what implications might exist for organisational change.

I understand that the key research question of the study is:

Can a values-based approach to leadership development at senior executive management level facilitate change management in the organisation?

I further understand that the further specific research questions of the study relevant to this key research question, are:

1. What are the value priorities of senior executives?
2. What is the relationship between these values and the espoused values of the employing organisation?
3. Are there value differences at this interface and if so, what are they and how are they managed?
4. What is the extent to which a values shift is possible within a six month research project focused on an action based in-situ exploration?
5. Can a values based approach to leadership development at senior management level facilitate change in the organisation?

I understand that I will be involved in:

• completing an online values questionnaire twice;
• an individual interview on one occasion; and
• an action research focus group that meets 4 - 6 times over a period of 6 months.

I acknowledge

1. That the aims, methods, and anticipated benefits, and possible risks/hazards of the research study, have been explained to me, including that my interview will be audio-taped.
2. That I voluntarily and freely give my consent to my participation in such research study.

3. I understand that aggregated results will be used for research purposes and may be reported in scientific and academic journals.

4. Individual results **will not** be released to any person except at my request and on my authorisation.

5. That I am free to withdraw my consent at any time during the study, in which event my participation in the research study will immediately cease and any information obtained from me will not be used.

Signature:                                                                             Date:
Appendix 11: Sample Interview Questions

Examples of types of questions that may be discussed in interviews

Questions will depend upon each individual’s value profile that is generated from the questionnaire. The interview is a values clarification exercise and questions will be drawn from the main goal values and means values that are reported. Interviews will be semi-structured so the following are examples of the basis of the questions. [There are 7 cycles and 8 stages in all.]

Example 1: Sample Discernment Questions for Cycle 3 [Stage II a and b]

- Do you feel competent in the work you do?
- Do you enjoy competitive sports? Is winning important to you?
- How important is success to you?
- Is loyalty a high priority for you?
- Is completing your education important to you?
- Do you think of yourself as living within the rules?

Example 2: Sample Discernment Questions for Cycle 4 [Stage IIb and IIIa]

- Is the question of personal equality important to you in the way you act?
- Are you sufficiently your own person?
- Is being assertive or initiating your own course of action difficult for you?
- Do you have a set of principles by which you live and that make life an adventure for you, or do you have pressing unanswered questions?

Example 3: Sample Discernment Questions for Cycle 5 [Stage III a and b]

- In your work, do you place a high priority on the dignity of others, including in the way you treat the opposite sex and in your understanding of people who are of different cultural origins or financial or class status?
- How actively do you appreciate art and beauty?
- Is mutual accountability important among your staff and peers?
- Are you able to fully delegate anything you do at this time?
Appendix 12: Creating a Personal Vision Statement

A personal vision statement describes who you are and who you are becoming. It paints a picture of the contribution you can make with your unique values and gifts. It paves the way for you to bring this picture to life. As you create this statement, think about the important needs you have in your life, how you can satisfy them, and who you could become if you strengthened your Foundation, developed new skills in your Focus, and extended your personal Vision. When you are using the Values List as part of an organisational intervention, the Vision Statement will extend to work life and leadership role. Consider this statement a draft. Give yourself permission to change and expand it as your thinking evolves and matures.

Step 1: Describe the Vision area of the values map through the standardised definitions.

a. Look at the values you selected in the Vision area of the map.

b. Rewrite the standardised definitions of the Means Values as they relate to the Goal Values. It is important that you clarify & define in your own words what the values actually mean to you.

Example: I hope to gain Truth/Wisdom/Integrated Insight (reflecting on complex data to develop integrated and practical insights about the interrelationships of people and systems) through Synergy (energising group relationships to maximise the creation of new ideas and projects).

c. Bring into focus a clear and realistic picture that illustrates the meaning of these values in your life. Begin creating your vision statement by incorporating this vision.

Step 2: Describe how your Foundation Values support the vision.

a. Now look at the values you selected in the Foundation area of the Values Map. How do these values support the vision you just described? What needs do you have that must be met in order for your vision to become actualised?

b. Repeat the process of rewriting the standardised definitions of the Means Values in relation to Goal Values.
c. Reflect on and incorporate the meaning of your Foundation values as they relate to your Vision Values into your statement in your own words.

d. As a final step, select 3 priority values. This will help you set a clear focus.

**Step 3: Describe how your Focus Values form a bridge between the Vision and Foundation Values.**

a. To complete your vision statement, look at the values you selected in the Focus area of the Values Map. This is the area where the majority of your current development is taking place. How do these values help you move from the Foundation area to the Vision area?

b. What skills do you need to develop in this area to help actualise your Vision?

c. Reflect on and incorporate the meaning of your Focus Values and their standardised definitions into your statement in your own words.
Appendix 13: Examples of Personal Vision Goals

VISION STATEMENT 1

- I strive for self-awareness and am committed to a lifelong process of learning and development.
- I adhere to a core set of principles that guide my actions and behaviours.
- I have confidence in my ability to make a positive contribution to the world I live in.
- I seek to participate in the creation of a new and better way of living, working and thinking.

VISION STATEMENT & ACTION PLAN 2

VISION

Life ought to be primarily about the advancement of human dignity:

- within the family
- in the community, both local and global
- at the workplace.

In all three spheres I have been very fortunate in my life so far. My childhood and adult families have respected and valued all their members, enabling them to play constructive roles in the wider world and to find fulfilment in doing so. I have had the opportunity to be part of capably managed community organisations serving worthwhile purposes. For the most part my employers have been socially responsible and just - both internally and externally.

ISSUES

My skill set has generally served me well - a mix of empathy, judgement, ethical sense, numeracy and analytical ability. These characteristics, however, have also bee responsible for a serious problem which can be summarised thus:

- I do some things very well, but their range is patchy and I lack some important functional skills
- my positions of leadership and responsibility have enabled me to ‘off-load’ many things that do not come easily to me - my personal attributes are such that other people perform these tasks happily and effectively for me
• I have therefore been able to get away with neglecting the maintenance and redevelopment of many practical skills, and with not adapting to changes around me
• my natural self-confidence, low at the best of times, has been deteriorating as the size of the gap between the demands of the future (both professional and personal) and my capacity to meet them becomes more obvious.

To complicate matters further, the workplace environment has become less compatible with my values. In a nutshell, the department’s primary purpose is now to serve the Minister as its ‘primary customer’. In the past, the Minister was not a ‘customer’ but the political head of an organisation whose purpose was to serve the public. In effect, the instrumental has displaced the intrinsic.

One can argue about the rights and wrongs of the shift but, for the purposes of the current exercise, what matters is that the department has become more politicised, less inclusive and more authoritarian. Whereas it once took pride in being innovative, it is now seeking to rebuild its stocks with central agencies by taking more conventional approaches. My ‘fit’ with the organisation has thus become less comfortable.

NEXT STEPS - PROFESSIONAL

Partly for this reason I recently left the SES and resigned from full-time employment. The department is, however, keen to keep me as a part-time advisor and I have agreed to work in such a role until the end of February. It makes some sense, professionally and personally, to stay beyond that date:

• my core skills will be available to the department and its staff
• I am likely to find some satisfaction in continuing to play a significant role in an organisation which still has a vital role in the community
• the formation of staff can be a particular focus for me
• the level of conflict about values will be less than I would have faced as a continuing SES officer.

If I stay beyond February, my success can be judged - initially at around the six-month mark - by whether:

• the Strategic Policy Branch (where I am located) is leading ‘real’ policy
rather than just responding to short-term demands for briefing

- the branch has the right number (around 25), mix and quality of people to sustain its role
- my work as an advisor and mentor is valued by management and staff alike.

In my mentoring capacity, I will not be seeking to become a focus of opposition to departmental directions. Rather I will identify how the new conception of the Minister’s role can be reconciled with older understandings. The sort of framework I will present for staff to consider will be something like this:

- the department serves the public
- it exercises responsibility under the direction of its Minister who, as the portfolio representative of the democratically elected government, is the ultimate arbiter of the public interest
- to ensure that the Minister is positioned to make considered and well informed decisions, the department must offer objective advice which will inevitably include a view about what represents the public interest - the Minister can decide for herself whether she agrees or not
- as a matter of common decency and fairness, staff and managers should support each other and work collaboratively
- risk management is as much about innovation and creating opportunities as it is about neutralising risks
- Accountability is to be welcomed rather than feared.

**NEXT STEPS - PERSONAL**

For professional but mainly for personal reasons, I will need to acquire some basic functional skills. More and more I will need to do things for myself rather than rely on other people.

The critical issue in this context is computing. In most aspects of life, IT is now a vital tool - communication, research, analysis and even recreation all depend on it. The way people live is as much - maybe more - conditioned by computing as it is by the telephone.
IT skills need to be part of my survival kit. I have therefore set myself a goal for the next six months: to have a good command of basic computing functions such as word processing, spreadsheets and the like. I cannot move forward in other areas without improving my IT proficiency.

SUMMARY

I am entering a transitional phase in my professional and personal life. Much is unclear, but my fundamental objectives are:

- to use my existing strengths constructively and effectively
- to widen my choices by remedying serious deficiencies in some every-day survival skills.

If successful in these efforts, I will be able to advance human dignity effectively in the here and now while building further capacity to do so in the future. I will also be meeting my own need to improve self-confidence by improving my functionality in the present and future world.
### Appendix 14: Original Document Analysis Results

A: Values priorities of the APS Values and Code of Conduct – Table 18

#### VALUE CLUSTERS

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<tr>
<th>VALUE NAME</th>
<th>Foundation</th>
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</table>
### Phase I: Surviving

**Goals:**
- Self Interest/Control
- Self-Preservation
- Wonder/Awaken

**Means:**
- Food/Shelter/Health
- Function/Faith
- Purity/Control

### Phase II: Belonging

**Goals:**
- Family/Security
- Support/Safety

**Means:**
- Being/Being
- Conclusion

### Phase III: Self-Initiating

**Goals:**
- Values/Influence
- Knowledge/Intimacy

**Means:**
- Adherence/Influence
- Communication/Credibility

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### VALUE CLUSTERS

#### Foundation

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#### Focus

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#### Vision

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D: Values cluster map of the 2005 ‘State of the Service’ Report – Table 21

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