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Responsible Leadership in Global Business

Seminar in CSR

University of Zurich 2012

Christian Vögtlin

27.03.2012

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Content

- The challenges of globalization: Why leadership?
- Responsible leadership
  - What is meant by leadership?
  - What is meant by responsible leadership?
- Current thoughts and first results
- Leading towards legitimacy/ CEO leadership

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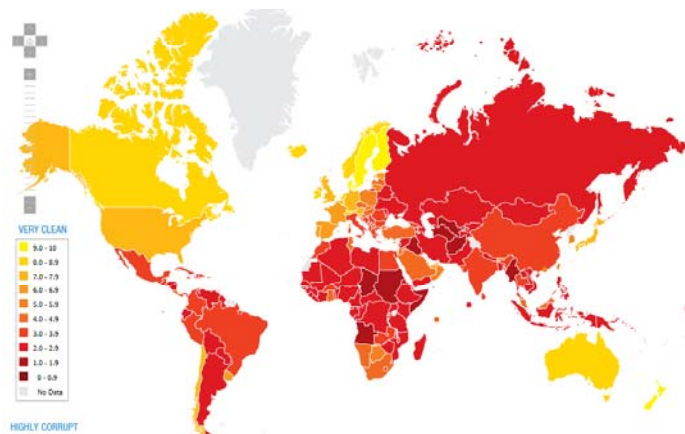
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Globalization: Challenges for business leaders

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Transparency International Corruption Index

VERY CLEAN

	9.0 - 10
	8.0 - 8.9
	7.0 - 7.9
	6.0 - 6.9
	5.0 - 5.9
	4.0 - 4.9
	3.0 - 3.9
	2.0 - 2.9
	1.0 - 1.9
	0 - 0.9
	No Data

HIGHLY CORRUPT

Quelle: http://www.transparency.org/policy_research/surveys_indices/cpi/2010/results

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The problem of corruption – The case of Siemens

In many places corruption seems an integral part of business negotiations

Investigators discover a system of secret bank accounts and hired consultants to bribe government officials around the globe; Siemens set aside an annual bribery budget of $40 to $50 million; in total an estimated amount of 1,3 billion has been paid

Until 199[...]
business[...]
paying a[...]
offense

In 2004, [...]
head of t[...]
UN-security council about the role of business in preventing conflicts and securing peace

Siemens had a „compliance"-system in place while corruption was still part of daily business

Corruption is an example of a negative business externality that illustrates the problem of heterogeneous laws and moral norms and the tension between ethics and efficiency

Legitimation strategies:
"if we don't bribe, our competitors will do it"

Siemens manager: "the payment, he says, were vital to maintain the competitiveness of Siemens overseas" (The New York Times, 2008)

Quelle: Patzer, 2009, S. 4ff; The New York Times, 2008

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The problem of corruption – Implications of globalization

"Companies must help managers distinguish between practices that are merely different and those that are wrong."
(Donaldson, 1996, p. 52).

Table 1
Possible Configurations in the MNC

	Local Responsiveness --------------------------------Global Consistency		
STRATEGY	multidomestic	transnational	global
HRM	adaptive	integrative	exportive
ETHICS	relativist	cosmopolitan	universal

Buller and McEvoy, 1999, S. 332

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Conditions of globalizing business

Multitude of economic and political actors (MNUs, NGOs, nation states, supranational organizations, the media)

New role of nation states (loss of monopoly of force over global business)

Heterogeneous legal systems and cultural norms

Conflict between economic rationality and ethical demands

(at least) three levels of action/governance (Corporation, nation state, global level)

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The challenges of globalization for leadership

• The increasing dynamic and complexity of daily business, heterogeneous value orientations and cultural backgrounds, as well as differing legal regulations make the worldwide operating business activities of MNUs more difficult, complex and uncertain

• The pressure of societal groups and NGOs increases the demands for legitimizing organizational conduct

• In accordance with this, there is a growing call for transparency of business conduct as well as for social and ecological responsible leadership decisions

• Subsequently, communication and exchange with internal and external stakeholders becomes a central demand for responsible leadership

BP, Siemens, Enron, Nike, Shell

Taken together, these challenges lead to the following question: *Who* is responsible for *what* towards *whom* in an interconected business world?

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Leadership in organizations

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The management process and the role of leaders therein

The management process can be conceived of the following five management functions: (1) planning, (2) organizing, (3) deployment (personnel placement), (4) leadership and (5) control (Steinmann & Schreyoegg, 2005).

While the four management functions planning, organizing, deployment, and control emphasize structural aspects, leadership is concerned with the management of persons and relationships and focuses on the interaction with employees and the influence process

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The management process

Such a plan determined business strategy can only be successful if all future developments can be predicted and can be realized within the established structures.

Yet, the environment of a corporation, especially in global business, is first, **complex**, i.e. not all alternatives can be determined in the forefront (bounded rationality), and second, **dynamic**, i.e. subject to a constant change that makes not all future developments predictable (Kirsch et al. 2009; Steinmann & Schreyoegg, 2000: 123ff).

Besetzung der Stellen mit kompetentem Personal

Personaleinsatz

Zielgerechte Ausrichtung der Einzelhandlungen

Führung

Kommunizieren

schen

Kontrolle

Soll-Ist-Vergleich

iten

Funktionen

Aktivitäten

➡ Leadership becomes an important balancing function in a dynamic and complex environment

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Definitions of leadership

„Führung in Organisationen ist ein von Beobachtenden thematisierter Interaktionsprozess, bei dem eine Person in einem bestimmten Kontext das Handeln individueller oder kollektiver Akteure legitimerweise konditioniert..." (Neuberger, 2002: 47).

„Leadership is an influence relationship between leaders and followers who intend real changes that reflect their mutual purposes" (Rost, 1991: 102).

„Leadership is the process of influencing others to understand and agree about what needs to be done and how to do it, and the process of facilitating individual and collective efforts to accomplish shared objectives" (Yukl, 2006: 8).

These definitions point to three constitutional elements of leadership: Person, interaction, task

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What is changed by globalization?

For the leadership *person*:
- Globalization deprives people of a shared bases for normative orientation
- New interaction partners: the stakeholders

For the leadership *interaction*:
- Changes in the mode of interaction (which influence do leaders have on external stakeholders?)
- Influence needs legitimacy

For the leadership *task*:
- Increasing competition and at the same time growing social expectation on business conduct
- CSR as strategic impetus becomes a integral part of the organizational agenda
- Balancing between social and economic goals

This results in an increasing call for ethical or responsible leadership

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The relationship between moral and ethics

Ethics is concerned with defining the good or fulfilled life as well as the reflection about what is right or just behavior

„Extensions on scope of action lead in modern societies to moral conflicts that can be ethically legitimate, i.e. they cannot be solved and as such increase the demand for ethical reflection" (Huppenbauer & De Bernardi, 2003, S. 35, translated in English).

Moral is referring the prevailing norms and values in a society that guide behavior

Quelle: Huppenbauer & De Bernardi, 2003

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Categorizing ethical theories

Teleological concepts of ethics stress the importance of the ends of actions. Hence the moral rightness of an action is determined by its outcomes and their contribution to a greater good (e.g., Aristotelian virtue ethics or Utilitarianism in the tradition of Bentham and Mill).

Deontological concepts ... the primary criteria to ev... itself are derived from th... intrinsic understanding ... ethics as forwarded by ...

Introductory literature for those who are interested:

- Short Introduction to Kant, Habermas, …from Oxford University Press
- Tugendhat, Vorlesungen über Ethik, Suhrkamp
- Huppenbauer, M. & De Bernardi, J. 2003. Kompetenz Ethik für Wirtschaft, Wissenschaft und Politik: Ein Tool zur Argumentation und Entscheidungsfindung. Zürich: Versus.
- Kant, I. 1993. Grounding for the metaphysics of morals. Indianapolis: Hackett.

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Ethical and authentic leadership in the literature

Authentic leaders are described as persons:

> "who are deeply aware of how they think and behave and are perceived by others as being aware of their own and others' values/moral perspectives, knowledge, and strengths; aware of the context in which they operate; and who are confident, hopeful, optimistic, resilient, and of high moral character"

> (Avolio et al., 2004: 4; zitiert in Avolio & Gardner, 2005: 321).

Ethical leadership was defined as:

> "demonstrating normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to followers through two-way communication, reinforcement, and decision-making"

> (Brown et al., 2005: 120).

What can these leadership concepts (not) accomplish/answer in relation to the challenges of globalization?

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Responsible leadership

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Conceptualization of responsible leadership

Develop a conception of leadership, that

(1) Is able to provide normative orientation for leaders in guiding them towards morally legitimate decisions and in establishing accepted values and norms through dialogue with the affected;

(2) Grants a license to operate for the firm and contributes the organizational wealth creation; and

(3) Can be operationalized and thus offers the possibility for a quantitative-empirical investigation of the phenomenon of responsible leadership

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Assumptions build on discourse ethics and deliberative democracy

Responsible leadership as a normative ideal; shall provide orientation

Jürgen Habermas' thoughts on discourse ethics and deliberative democracy as the theoretical grounding of an understanding of responsible leadership (see e.g., Habermas, 1996, 1998, 2001)

Discourse ethics as the normative theory, expanded by the thoughts on deliberative democracy

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Deliberative democracy

„Society should be organized so that important issues of public concern are settled through a free, uncoerced and rational deliberation among citizens […].

In an ideal deliberative democracy, citizens will discuss the merits of different approaches to dealing with important public issues, offer each other comprehensible reasons for pursuing one course of action rather than another, and count only on the force of the better argument to convince each other that some particular course is best" (Hussain & Moriarty, 2012, p. 5)

Leaders as proponents of their organization participate in these processes of public will formation in that they engage in dialogue with the relevant stakeholder groups

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Responsible leadership

Responsible leadership is understood as (1) the awareness and consideration of the consequences of one's actions for all stakeholders, (2) as well as the exertion of influence by enabling the involvement of the affected stakeholders and by engaging in an active stakeholder dialogue. (3) Therein responsible leaders strive to weigh and balance the interests of the forwarded claims. (4) Additionally, responsible leaders foster the public exchange of opinions and engage in public will formation
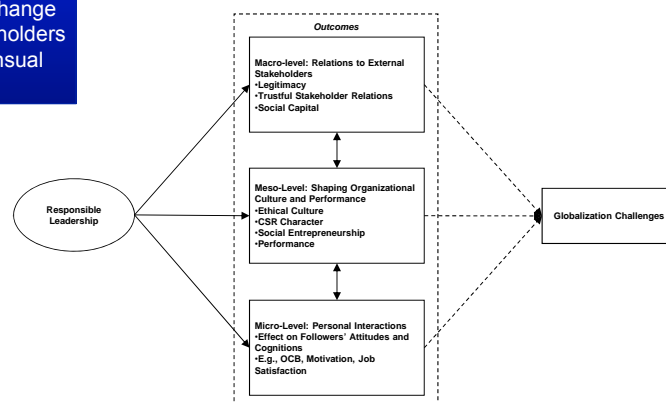
Leaders assume the role of enabler and moderator

Quelle: Voegtlin et al., 2012, p. 4

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Responsible leadership

Responsible leadership means to seek the exchange with the relevant stakeholders and to work out consensual solutions.

Outcomes

Macro-level: Relations to External Stakeholders
·Legitimacy
·Trustful Stakeholder Relations
·Social Capital

Responsible Leadership

Meso-Level: Shaping Organizational Culture and Performance
·Ethical Culture
·CSR Character
·Social Entrepreneurship
·Performance

Micro-Level: Personal Interactions
·Effect on Followers' Attitudes and Cognitions
·E.g., OCB, Motivation, Job Satisfaction

Globalization Challenges

Quelle: Voegtlin et al., 2012

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Differences between leadership concepts

Characteristics (of leadership concept)	Transformational, authentic, ethical and servant leadership	Responsible leadership
Differences		
Philosophical foundation	no explicit philosophical foundation	based on discourse ethics and deliberative democracy
	monological conceptions	discursive concept
	focus on ethical characteristics of the leader	process model focused on leadership conduct that establishes consensual solutions in discursive decision situations
Level of interaction	main focus on followers (except servant leadership)	inclusion of all affected stakeholders
Leader success	effectiveness in the sense of being a positive role model; emphasis on performance	effectiveness in establishing consensual solutions and addressing globalization challenges
Similarities	concern for others; consideration of (ethical) consequences; leaders are perceived as role models	

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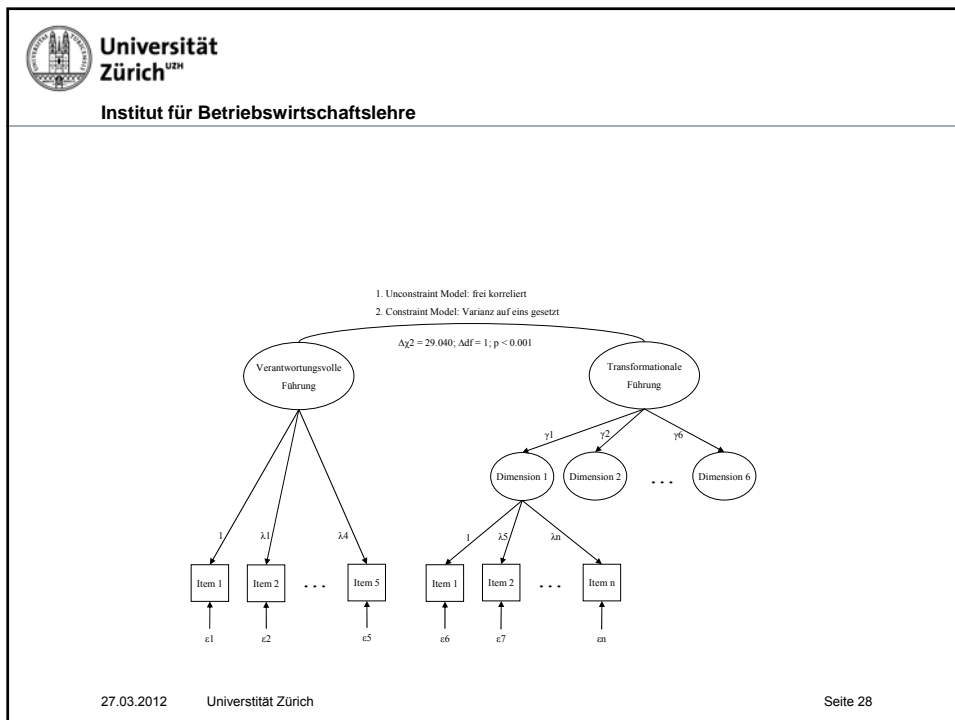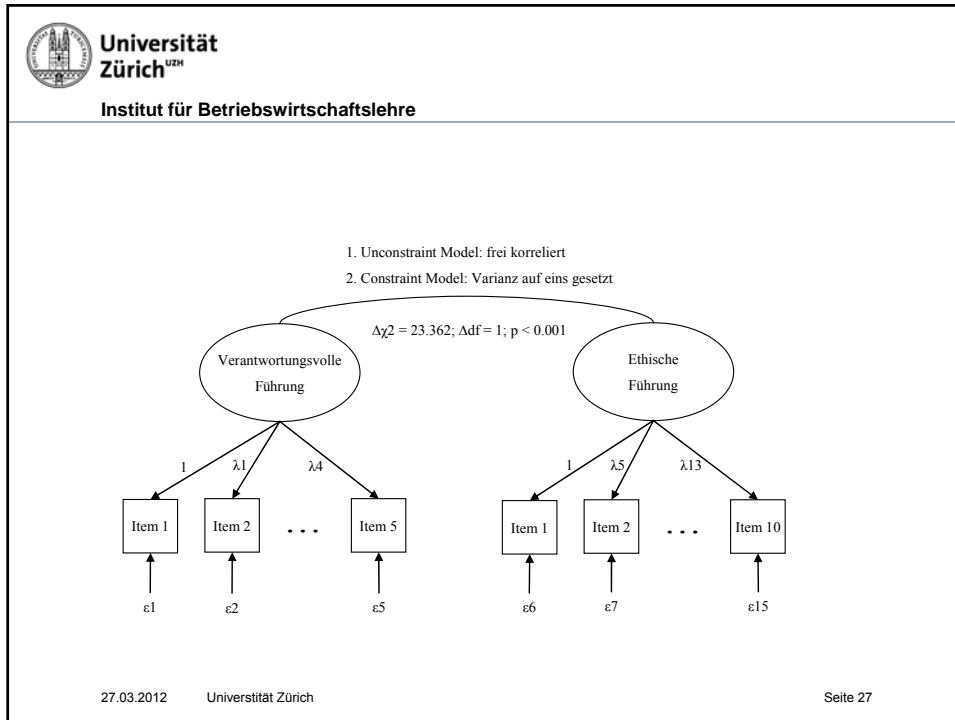**Institut für Betriebswirtschaftslehre**

Operationaliziation

| Study	Step of scale development addressed	Sample	Results
	Development of a preliminary pool of items, starting from the definition and supplemented by a literature review	Discussion of retrieved items with members of the institute and colleagues working on the same project	Preliminary item pool (46 items) reduced to 18 items
Study 1	Item generation and content validity	n = 14 students from one public university	Item pool consisting of 18 Items
Study 2	Item generation and content validity as an iterative process with experts	n = 13 experts and doctoral students in the field of stakeholder management/CSR or leadership	Rewriting, deleting and adding new items
Study 3	Exploratory factor analysis (EFA), dimensionality and reliability	n = 139 students from one public university average years working experience = 4.3 average age = 24.4 57% women	One-Factor Solution emerged. Redundant items were deleted
Study 4	Confirmatory factor analysis (CFA), dimensionality and reliability	n = 75 students from one public university average years working with supervisor = 1.4 average age = 21.7 57% men	Final Discursive Responsible Leadership Scale (DRL-Scale) could be validated
Study 5	Confirmatory factor analysis (CFA), discriminant and predictive validity; reliability	n = 150 participants of the working population in average years working with supervisor: 55% ≤ 5 years; 29% 5-10 years; 17% ≥ 11 years average age = 44.0 53% men	DRL-Scale further validated; DRL discriminant from other leadership concepts; DRL predicts outcomes.

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Operationaliziation

Responsible leadership items *My direct supervisor…*	Study 3: EFA	Study 4: CFA	Study 5: CFA
...demonstrates awareness of the relevant stakeholder claims	0.75	0.62	0.85
...considers the consequences of decisions for the affected stakeholders	0.74	0.80	0.87
…involves the affected stakeholders in the decision making process	0.65	0.72	0.82
…weighs different stakeholder claims before making a decision	0.76	0.83	0.84
…tries to achieve a consensus among the affected stakeholders	n/a	0.68	0.88
Cronbach's Alpha	0.81	0.84	0.94
χ^2/df		1.300	1.197
NNFI (TLI)		0.977	0.996
CFI		0.989	0.998
SRMR		0.036	0.015
RMSEA		0.066	0.039

Note: Standardized item loadings reported for CFA, p<.001 for all laodings; factor loadings for EFA extracted from loading on primary factor of the 19 item solution of study 3

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Hypotheses

Responsible leadership and other leadership approaches:

Hypothesis 1: Transformational leadership is related to responsible leadership, yet empirically distinct from it.

Hypothesis 2: Ethical leadership is related to responsible leadership, yet empirically distinct from it.

Responsible leadership and hierarchical position:

Hypothesis 3: The hierarchical position affects responsible leadership conduct

Responsible leadership and the effect on followers:

Hypothesis 4: Responsible leadership will have a negative effect on followers' unethical behavior.

Hypothesis 5: Responsible leadership will have a positive effect on followers' job satisfaction.

Hypothesis 6 Unethical behavior partially mediates the relationship between responsible leadership and job satisfaction.

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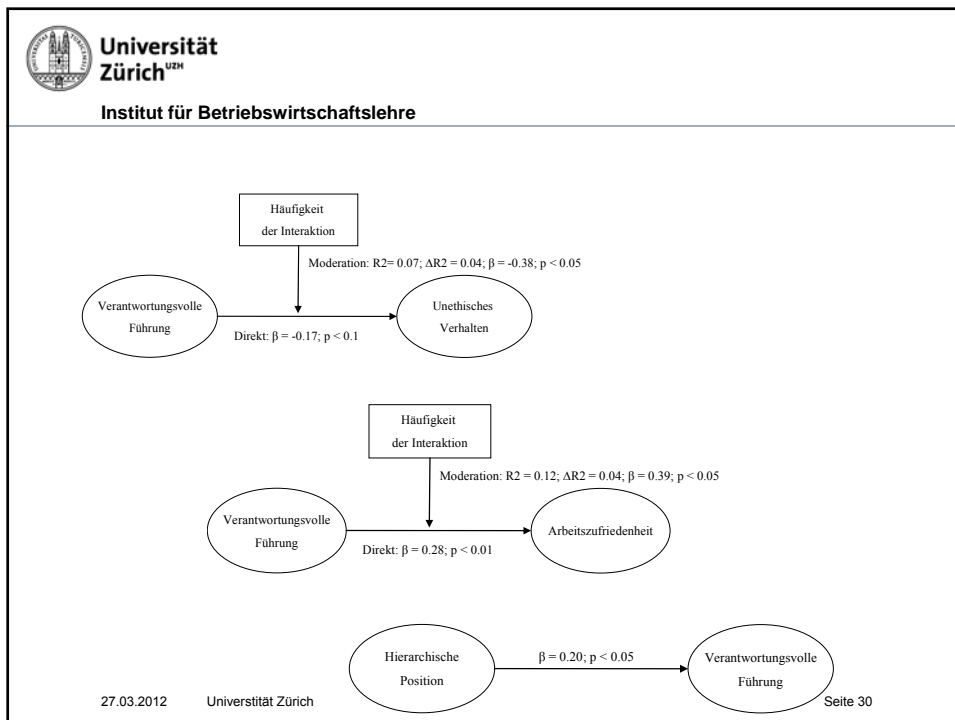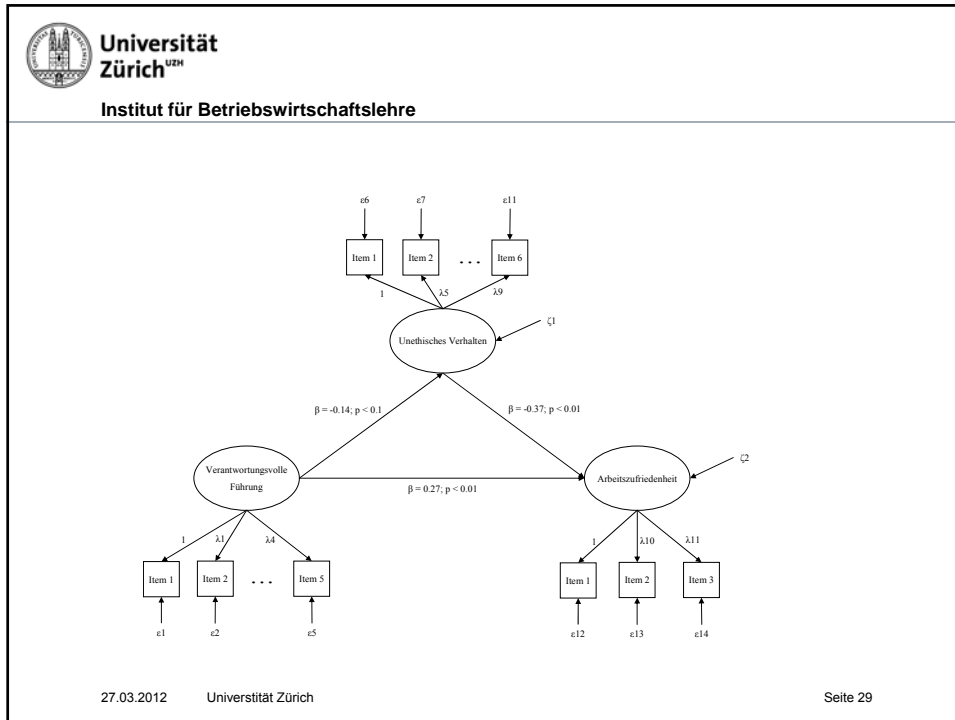
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Leadership and complexity
Leadership and legitimacy

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Leading towards legitimacy accross levels of analysis

Leaders as gate-keepers

Leadership as the management of meaning

Macro-level

Societal pressures — Sensegiving

Challenges to cognitive, pragmatic and moral legitimacy

Rhetorical influence tactics

Meso-level

Organizational legitimacy strategies

Sensemaking

Sources of influence leaders can draw upon:
Leadership resources and forms of communication

Micro-level

Leadership actions

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Legitimacy strategies

Type of legitimacy	Cognitive legitimacy	Pragmatic legitimacy	Moral legitimacy
Societal pressure	Consistent	Inconsistent	Inconsistent
Costs of organizational change	Low	High	Low-high
Legitimization strategies	Isomorphic adaption	Strategic manipulation	Moral reasoning
Rhetorical influence tactics	Authorization	Rationalization	Moral evaluation
Leadership: Resources			
Capital most prevalent	Bureaucratic and organizational	Financial and technological	Social and informational
Advantageous habitus	Grown up in society of interest	Social network with key stakeholders	Communication and rhetorical skills, open and ethical mindset
Leadership: Dominant forms of communication	Monologic, cooperative, symbolic	Monologic, assertive, written	Dialogic, cooperative, verbal

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BP and the oil spill in the Gulf of Mexico

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What happend?

On April 20, 2010 there was an explosion due to gas leaks at the deepwater drill of the platform. In the following, 11 people were killed and the oil platform sank (Economist, 2010, p. 57). For over three months, about 780 million Liters of oil had spilled out of the leak and into the sea (Spiegel Online, 2010). The leaking oil and the hereupon expanding oil film in front of the coastline of the USA in the Gulf of Mexico became one of the biggest environmental disasters of this kind.

The oil film had severe consequenc of and surrounding the sea, as well American coastline. Many of those industries have lost their means of e subsequently, many people became 2011).

Short summary of the incident including one of the eye wittnesses reporting about the moments on the platform (The New York Times):

http://www.nytimes.com/interactive/2010/12/26/us/20101226-deepwater-horizon-rig-video-diagram.html?ref=us

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Who was affected?

People working on the platform

Environment: pollution of water and nearby coastline; severe consequences for flora and fauna within the polluted areas

Local people living on the coastline; especially those working in the fishing and tourism industry

The company BP

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Who was involved?

BP America with headquater in Houston; BP well site leader

Transocean, owner of platform, contractor

Haliburton, drilling company

Minerals Management Service, government agency responsible for monitoring and controlling offshore drilling

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Reactions

BP's reactions:

At first, the CEO Tony Hayward did not admit any mistakes of BP, he rather tried to blame others

After the public pressure enhanced, BP took over responsibility (dialogues with and payments for the affected; cleaning the pollution; stopping payments of dividends)

The company has a special section of their homepage dedicated to the disaster: http://www.bp.com/extendedsectiongenericarticle.do?categoryId=40&contentId=7061813

BP sealing the well: http://bp.concerts.com/gom/johnwright092110.htm

– Interesting to see the engeneering challenge; technology involved; meetings

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Reactions

Reactions of the federal government: The National Oil Spill Commission:

http://www.oilspillcommission.gov/

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What lead to the catastrophe?

"The approach taken by the company was described as the 'best economic case' in the BP document. However, **it also carried risks beyond the potential gas leaks**, including the possibility that more work would be needed or that there would be delays, the document said" (The New York Times, 2010a).

„The company [BP] went ahead with the casing, but only after getting special **permission from BP colleagues because it violated the company's safety policies and design standards**. The internal reports do not explain why the company allowed for an exception. BP documents released last week to The Times revealed that company officials knew the casing was the riskier of two options" (The New York Times, 2010b).

A manager of BP responded in an email to the decision of using the cheaper solution: "**Who cares, it's done, end of story, will probably be fine**" (Economist, 2010b: 57).

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What lead to the catastrophe?

„But most of the mistakes and oversights at Macondo [the oil field] can be traced back to **a single overaching failure—a failure of management**" (Oil Spill Commission, 2011a: 90).

„'Our investigation shows that a **series of specific and preventable human and engineering failures were the immediate causes** of the disaster,' said Commission Co- Chair William K. Reilly. ,But, in fact, this disaster was almost the inevitable **result of years of industry and government complacency and lack of attention to safety**. This was indisputably the case with BP, Transocean, and Halliburton, as well as the government agency charged with regulating offshore drilling—the former Minerals Management Service.'" (Pressemitteilung Oil Spill Commission, 2011b: 1).

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HALLIBURTON
Transocean
bp

Deepwater Horizon

FIGURE 4.10: Examples of Decisions That Increased Risk At Macondo While Potentially Saving Time

Decision	Was There A Less Risky Alternative Available?	Less Time Than Alternative	Decision-maker
Not Waiting for More Centralizers of Preferred Design	Yes	Saved Time	BP on Shore
Not Waiting for Foam Stability Test Results and/or Redesigning Slurry	Yes	Saved Time	Halliburton (and Perhaps BP) on Shore
Not Running Cement Evaluation Log	Yes	Saved Time	BP on Shore
Using Spacer Made from Combined Lost Circulation Materials to Avoid Disposal Issues	Yes	Saved Time	BP on Shore
Displacing Mud from Riser Before Setting Surface Cement Plug	Yes	Unclear	BP on Shore
Setting Surface Cement Plug 3,000 Feet Below Mud Line in Seawater	Yes	Unclear	BP on Shore (Approved by MMS)
Not Installing Additional Physical Barriers During Temporary Abandonment Procedure	Yes	Saved Time	BP on Shore
Not Performing Further Well Integrity Diagnostics in Light of Troubling and Unexplained Negative Pressure Test Results	Yes	Saved Time	BP (and Perhaps Transocean) on Rig
Bypassing Pits and Conducting Other Simultaneous Operations During Displacement	Yes	Saved Time	Transocean (and Perhaps BP) on Rig

Quelle: Oil Spill Commission, 2011, S. 125
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Interpretations

Macro-Level (Organization and society): What parties were involved? What were their responsibilities?

Meso-Level (Organizational structures): Where there sufficient control mechanisms in place?

Micro-Level (Individual behavior): Who were the actors? What decisions led to the accident?

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Interpretations

Macro-level: Context and contigencies contributing to the incident

– Safety standards within the industry; common way of doing business

– Coordination and communication with the Minerals Management Service Agency Meso-Level (Organizational structures): Where there sufficient control mechanisms in place?

Meso-level:

– Cost pressure from BP management/ the company

– Saftey standards (www.bp.com)

– Code of Conduct

– Internal culutre

Micro-level:

– Individual decisions in the forefront

– Communication and discourse among the involved parties

– Estimation of consequences

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Interpretations

Estimating the consequences of the deepwater drilling for possibly affected stakeholders and the environment

Mediating financial/economic and social goals

Communication with involved and affected stakeholders

– „BP, Transocean, and Haliburton failed to communicate adequately" (Oil Spill Commission, 2011a, p. 123); e.g. did Transocean keep quiet about missed safety checks

Considering the context and contigencies contributing to the incident

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Interpretations

Responsible individual behavior and leadership needed

Organizational security standards were in place but were not adhered to; it needs also an organizational culture of „saftey first"

Communication between the involved parties important

Industry wide, global regulations need to be stricter; governance issues that need to be addressed; see recommendations of the Oil Spill Commission

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Discussion

What does „responsible leadership" mean from your point of view?

How realistic are the presented assumptions?

Is leading towards legitimacy possible?

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