

グローバル・ビジネス・リーダーシップの
理論及び教育技法に関する研究

平成 26 年度～平成 30 年度私立大学戦略的研究基盤形成支援事業
研究成果報告書

令和元年 5 月

学校法人名 学校法人 立教学院
大学名 立教大学
研究組織名 リーダーシップ研究所
研究代表者 石川 淳
(立教大学大学院・経営学研究科・教授)

はしがき

この報告書は、立教大学大学院経営学研究科付置の立教大学リーダーシップ研究所を研究主体として申請し、平成 26 年度に採択された「私立大学戦略的研究基盤形成支援事業」の 5 年間にわたる研究成果をまとめたものである。

本プロジェクトでは、グローバル・リーダーシップの理論構築研究、教育技法研究、および測定技法開発の3チームに分かれ、各チーム・リーダーのもと研究活動を行った。各チームの専門及び研究対象は異なるが、いずれもグローバル・リーダーシップの育成という目標を共有していた。このため、相互に協力・連携して研究活動を行うことができた。結果として、それぞれのチームから得られる知見を他のチームでも活用しながら活動を行うことができ、最終的な成果に対するシナジー効果が高まった。

本プロジェクトが始まる前から、立教大学経営学部は、グローバル・リーダーシップ育成のための教育プログラムを他大学に先駆けて実施し、高校や企業を中心に学外から高い評価を受けてきた。しかし、今回のプロジェクトにより、グローバル・リーダーシップの理論的背景をより一層明確にすることができた。また、理論的發展をベースに、これまで以上に効果的な育成プログラムを開発することができた。さらに、教育効果の測定技法を開発することで、これらのプログラムの効果を定量的・定性的に測定することができるようになった。

これらの結果は、日本国内に留まらず、海外の学会・学術誌でも報告されてきた。また、他大学や高校でも実施されつつあるリーダーシップ教育やアクティブ・ラーニングの発展に理論的にも実践的にも重要な貢献を行うことができた。このように、本プロジェクトは、立教大学リーダーシップ研究所を、リーダーシップ開発の重要な研究・実践拠点として位置付けることに大きな役割を担ったと言える。その証左の一つとして、立教大学大学院経営学研究科に、新たにリーダーシップ開発に特化したコースを設置することが決まり、令和2年からプログラムが開始する予定である。

文科省の事業は昨年度で終了するが、本プロジェクトの成果が企業からも認められ、非常に高い評価を得ている。その結果、本プロジェクトの成果をさらに発展させるため、持続的な研究を行う環境を整備することができるようになった。

このプロジェクトの活動が可能になったのは、学内外の多くの方々からいただいた協力と支援のお陰である。心より感謝の意を表したい。今後、リーダーシップ研究所を中心に、さらなるグローバル・リーダーシップの理論研究および開発研究を進め成果を上げていくこと恩返しができるようにしたい。

令和元年 5 月
研究代表者 石川 淳
立教大学リーダーシップ研究所所長
立教大学大学院・経営学研究科・教授

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第1部: 研究成果報告書の概要

法人番号	131095
プロジェクト番号	S1491010

			果をもとに、新しい GBL 理論を構築し、その有効性を検証する
高橋 潔	立命館大学・総合心理学部・教授	GBL 行動の概念化 GBL の定量的測定方法の開発 アクションラーニング以外の教育技法(ケース・メソッド、ゲーム活用、ロールプレイング、シミュレーション)の GBL 教育技法への応用研究	【理論構築チーム】既存の BL 研究の成果に加えて、新しい調査結果をもとに、新しい GBL 理論を構築し、その有効性を検証する
Bird, Allan W.	Northeastern University D' Amore-Mckim School of Business	コミュニケーションを中心に GBL 行動の概念化 アクションラーニングの GBL 教育技法への応用研究	【理論構築チーム】既存の BL 研究の成果に加えて、新しい調査結果をもとに、新しい GBL 理論を構築し、その有効性を検証する
山口 和範	経営学研究科・教授	GBL の定性的測定方法の開発	【測定方法チーム】測定方法チームの責任者
佐々木 宏	経営学研究科・教授	GBL の定性的測定方法の開発	【測定方法チーム】既存の BL 研究の定量的測定方法に加えて、新しい調査結果をもとに、GBL の定量的・定性的測定方法を開発する。
竹澤 伸哉	経営学研究科・教授	GBL の定性的測定方法の開発	【測定方法チーム】既存の BL 研究の定量的測定方法に加えて、新しい調査結果をもとに、GBL の定量的・定性的測定方法を開発する。
日向野幹也	早稲田大学大学総合研究センター・教授	アクションラーニングの GBL 教育技法への応用研究	【教育技法チーム】教育技法チームの責任者
森永 雄太	武蔵大学経済学部経営学科・教授	既存の GBL 研究および多様性の GBL 理論への応用 GBL 理論研究の成果の教育技法への応用	【教育技法チーム】アクションラーニングによる BL の教育技法に加えて、新しい調査結果をもとに、GBL の教育技法を開発する。

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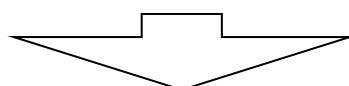
舘野 泰一	経営学研究科・助教	アクションラーニング以外の教育技法(ケース・メソッド、ゲーム活用、ロールプレイング、シミュレーション)のGBL教育技法への応用研究	【教育技法チーム】アクションラーニングによるBLの教育技法に加えて、新しい調査結果をもとに、GBLの教育技法を開発する。
中原 淳	経営学研究科・教授	アクションラーニング以外の教育技法(ケース・メソッド、ゲーム活用、ロールプレイング、シミュレーション)のGBL教育技法への応用研究	【教育技法チーム】アクションラーニングによるBLの教育技法に加えて、新しい調査結果をもとに、GBLの教育技法を開発する。
(共同研究機関等)			

<研究者の変更状況(研究代表者を含む)>

旧

プロジェクトでの研究課題	所属・職名	研究者氏名	プロジェクトでの役割
既存のBL研究および多様性研究のGBL理論への応用 GBL理論構築研究の成果の教育技法への応用	経営学研究科・助教	宮田 幸子	【理論構築チーム】既存のBL研究の成果に加えて、新しい調査結果をもとに、新しいGBL理論を構築し、その有効性を検証する。

(変更の時期:平成26年4月1日)



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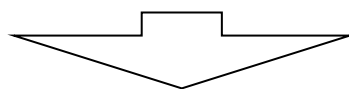
変更前の所属・職名	変更(就任)後の所属・職名	研究者氏名	プロジェクトでの役割
経営学研究科・助教	津田塾大学学芸学部・准教授	宮田 幸子	【理論構築チーム】既存のBL研究の成果に加えて、新しい調査結果をもとに、新しいGBL理論を構築し、その有効性を検証する。

旧

プロジェクトでの研究課題	所属・職名	研究者氏名	プロジェクトでの役割
既存のBL研究および多様性研究のGBL理論への応用 GBL理論研究の成果の教育技法への応用	経営学研究科・助教	森永 雄太	【理論構築チーム】既存のBL研究の成果に加えて、新しい調査結果をもとに、新しいGBL理論を構築し、その有効性を検証する。

(変更の時期:平成26年4月1日)

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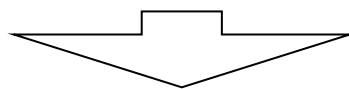
新

変更前の所属・職名	変更(就任)後の所属・職名	研究者氏名	プロジェクトでの役割
経営学研究科・助教	武蔵大学 経済学部経営学科・准教授	森永 雄太	【理論構築チーム】既存の BL 研究の成果に加えて、新しい調査結果をもとに、新しい GBL 理論を構築し、その有効性を検証する。

旧

プロジェクト外での研究課題	所属・職名	研究者氏名	プロジェクトでの役割
既存の BL 研究および多様性研究の GBL 理論への応用 GBL 理論研究の成果の教育技法への応用	武蔵大学 経済学部経営学科・准教授	森永 雄太	【理論構築チーム】既存の BL 研究の成果に加えて、新しい調査結果をもとに、新しい GBL 理論を構築し、その有効性を検証する。

(変更の時期:平成 27 年 4 月 1 日)



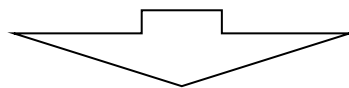
新

変更前の所属・職名	変更(就任)後の所属・職名	研究者氏名	プロジェクトでの役割
武蔵大学 経済学部 経済学科・准教授	武蔵大学 経済学部経営学科・准教授	森永 雄太	【教育技法チーム】アクションラーニングによる BL の教育技法に加えて、新しい調査結果をもとに、GBL の教育技法を開発する。

旧

プロジェクト外での研究課題	所属・職名	研究者氏名	プロジェクトでの役割
コミュニケーションを中心に GBL 行動の概念化の研究 GBL 理論研究の成果の測定方法研究への応用	経営学研究科・助教	松永 正樹	【理論構築チーム】既存の BL 研究の成果に加えて、新しい調査結果をもとに、新しい GBL 理論を構築し、その有効性を検証する。

(変更の時期:平成 27 年 4 月 1 日)



新

変更前の所属・職名	変更(就任)後の所属・職名	研究者氏名	プロジェクトでの役割
経営学研究科・助教	株式会社 IGS・シニアコンサルタント	松永 正樹	【理論構築チーム】既存の BL 研究の成果

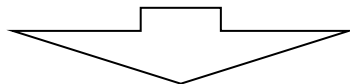
法人番号	131095
プロジェクト番号	S1491010

			に加えて、新しい調査結果をもとに、新しい GBL 理論を構築し、その有効性を検証する。
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旧

プロジェクトでの研究課題	所属・職名	研究者氏名	プロジェクトでの役割
コミュニケーションを中心に GBL 行動の概念化の研究 GBL 理論研究の成果の測定方法研究への応用	株式会社 IGS・シニアコンサルタント	松永 正樹	【理論構築チーム】既存の BL 研究の成果に加えて、新しい調査結果をもとに、新しい GBL 理論を構築し、その有効性を検証する。

(変更の時期:平成 28 年 4 月 1 日)



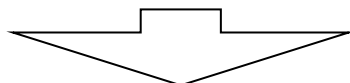
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変更前の所属・職名	変更(就任)後の所属・職名	研究者氏名	プロジェクトでの役割
株式会社 IGS・シニアコンサルタント	九州大学ロバート・ファン/アントレプレナーシップセンター・特任准教授	松永 正樹	【理論構築チーム】既存の BL 研究の成果に加えて、新しい調査結果をもとに、新しい GBL 理論を構築し、その有効性を検証する。

旧

プロジェクトでの研究課題	所属・職名	研究者氏名	プロジェクトでの役割

(変更の時期:平成 28 年 4 月 1 日)



新

変更前の所属・職名	変更(就任)後の所属・職名	研究者氏名	プロジェクトでの役割
	東京大学 大学総合教育研究センター・准教授	中原 淳	【教育技法チーム】アクションラーニングによる BL の教育技法に加えて、新しい調査結果をもとに、GBL の教育技法を開発する

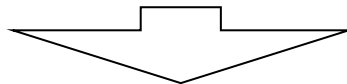
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プロジェクトでの研究課題	所属・職名	研究者氏名	プロジェクトでの役割

法人番号	131095
プロジェクト番号	S1491010

アクションラーニングの GBL 教育技法への応 用研究	経営学研究科・ 教授	日向野 幹也	【教育技法チーム】 教育技法チームの責任 者
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(変更の時期:平成 28 年 4 月 1 日)



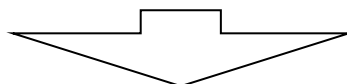
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変更前の所属・職名	変更(就任)後の所属・職名	研究者氏名	プロジェクトでの役割
経営学研究科・教授	早稲田大学大学総合研究 センター・教授	日向野 幹也	【教育技法チーム】 教育技法チームの責 任者

旧

プロジェクト外での研究課題	所属・職名	研究者氏名	プロジェクトでの役割
既存の BL 研究および多 様性研究の GBL 理論へ の応用 GBL 理論構築研究の成 果の教育技法への応用	津田塾大学学芸学 部・准教授	宮田 幸子	【理論構築チーム】既存の BL 研究の成果に加えて、 新しい調査結果をもとに、 新しい GBL 理論を構築 し、その有効性を検証す る。

(変更の時期:平成 28 年 4 月 1 日)



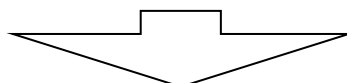
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変更前の所属・職名	変更(就任)後の所 属・職名	研究者氏名	プロジェクトでの役割
津田塾大学学芸学 部・准教授	立命館大学経営学 部国際経営学科・ 准教授	宮田 幸子	【理論構築チーム】既存の BL 研究の成果に加えて、 新しい調査結果をもとに、 新しい GBL 理論を構築し、 その有効性を検証する。

旧

プロジェクトでの研究課題	所属・職名	研究者氏名	プロジェクトでの役割
GBL 行動の概念化 GBL の定量的測定方 法の開発 アクションラーニング以 外の教育技法(ケース・ メソッド、ゲーム活用、 ロールプレイング、シミ ュレーション)の GBL 教 育技法への応用研究	神戸大学 大学 院 経営学 研究 科・教授	高橋 潔	【理論構築チーム】既存 の BL 研究の成果に加え て、新しい調査結果をも とに、新しい GBL 理論を 構築し、その有効性を検 証する

(変更の時期:平成 29 年 4 月 1 日)



法人番号	131095
プロジェクト番号	S1491010

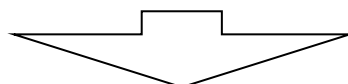
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変更前の所属・職名	変更(就任)後の所属・職名	研究者氏名	プロジェクトでの役割
神戸大学 大学院経営学研究科・教授	立命館大学・総合心理学部・教授	高橋 潔	【理論構築チーム】既存の BL 研究の成果に加えて、新しい調査結果をもとに、新しい GBL 理論を構築し、その有効性を検証する

旧

プロジェクト外での研究課題	所属・職名	研究者氏名	プロジェクトでの役割
アクションターニング以外の教育技法(ケース・メソッド、ゲーム活用、ロールプレイング、シミュレーション)の GBL 教育技法への応用研究	東京大学 大学総合教育研究センター・准教授	中原 淳	【教育技法チーム】GBL 教育技法の開発を行う。企業・組織における人々の学習・コミュニケーション・リーダーシップについて研究の実績をもとに GBL 教育技法の理論的な体系化を行う。

(変更の時期:平成 30 年 4 月 1 日)



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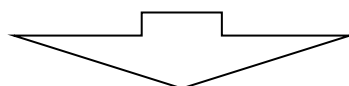
変更前の所属・職名	変更(就任)後の所属・職名	研究者氏名	プロジェクトでの役割
東京大学 大学総合教育研究センター・准教授	立教大学経営学研究科・教授	中原 淳	【教育技法チーム】GBL 教育技法の開発を行う。企業・組織における人々の学習・コミュニケーション・リーダーシップについて研究の実績をもとに GBL 教育技法の理論的な体系化を行う。

旧

プロジェクト外での研究課題	所属・職名	研究者氏名	プロジェクトでの役割
GBL 理論構築研究の成果の教育技法への応用	武蔵大学経済学部経営学科・准教授	森永 雄太	【教育技法チーム】GBL の教育技法を教育プログラムへ落とし込む。

(変更の時期:平成 30 年 4 月 1 日)

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新

変更前の所属・職名	変更(就任)後の所属・職名	研究者氏名	プロジェクトでの役割
武蔵大学経済学部 経営学科・准教授	武蔵大学経済学部経営学 科・教授	森永 雄太	【教育技法チーム】 GBL の教育技法を教 育プログラムへ落とし 込む。

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11 研究の概要(※ 項目全体を10枚以内で作成)

(1) 研究プロジェクトの目的・意義及び計画の概要

本研究の目的は、グローバル・ビジネス・リーダーシップ(以下 GBL)の理論構築、GBL の測定方法および教育技法の開発にある。GBL とは、文化や価値観、考え方など背景が異なる人が集まったチーム(以下多様性が高いチーム)を 1 つにまとめ上げて創造的成果を生み出すよう促す影響力である。本研究は、GBL の行動面(以下 GBL 行動)だけでなく、行動に影響を及ぼすリーダーの心理・態度面(以下 GBL 心理・態度)にも焦点を当て、なおかつコミュニケーションやフォロワーによるリーダーシップ(以下シェアド・リーダーシップ)など他の重要な概念までモデルに含んだ統合的な理論構築を行う。また、定性的測定方法を確立することで、従来の定量的方法で捉えきれない要因を概念化して理論に組み込むことで、より説明力が高い理論化を行う。本研究の意義は、未成熟の GBL 研究を世界に先駆けて行うことで、国際レベルのビジネス・リーダーシップ(以下 BL)研究に大きな貢献をすると同時に、本研究所を世界的な GBL 研究の拠点として確立させることにある。

1 年目は、定量的調査および定性的な調査を実施する。調査結果を分析し、これまでの BL の研究結果と比較することで、GBL の理論構築の基礎的なベースを作り上げる。2 年目は提携企業(日本ヒューレッド・パッカード、ノボ・ノルディスク・ファーマ、あすか製薬など計9社)での BL 教育研修で得られたデータをもとに定性的測定方法および新しい教育技法の効果を測定する。3 年目で GBL 理論のコア部分を完成し、成果として公表する。新しく体系化された教育技法についても公表する。

4 年目は、大規模な国内調査および海外調査によって理論を検証し、理論の精緻化を図る。また、5 年目の最終年度には、理論・教育技法・測定方法を完成すると同時に、シンポジウムの開催、書籍の発行、企業での実践などを通じて、積極的にその成果を社会に還元する。

(2) 研究組織

本研究では、目標を達成するために、理論構築チーム(GBL 理論の構築)6名、測定方法チーム(GBL の測定方法の開発)3名、教育技法チーム(GBL の教育技法の開発)4名の3チームを形成し、相互に密接に連携しながら研究を推進した。研究代表者の石川がそれぞれのチームの研究推進と研究計画の進捗を管理し、チーム間の相互調整を図るために、次の体制を整備した。

- (1) リーダーシップ研究所の会議を月に1回開催し、各チームの研究進捗報告およびチーム間の調整を行った。
- (2) 研究期間全体を通じて、様々なタスク・フォースが機能したが、最終的には、以下の3つのチーム横断的タスク・フォースが機能した。
 - ・理論構築と教育技法の両チームを横断するタスク・フォース(メンバー:松永・森永)
 - ・教育技法と測定方法の両チームを横断するタスク・フォース(メンバー:山口・館野)
 - ・理論構築と測定方法の両チームを横断するタスク・フォース(メンバー:中原・尾崎)
それぞれ、チーム間にまたがる課題の解決に取り組み、年2回開催されているワークショップにおいて本研究全体の進捗状況と課題を共有した。
- (3) 大学院学生を研究に積極的に携わらせた。4名の大学院学生が、定量的および定性的調査に主体的に関わった。
- (4) 毎年の事業報告を経営学研究科委員会に行い評価を受けた。
- (5) 経営学研究科の外部評価委員会に、毎年、研究の進捗状況を報告し評価を受けた。
- (6) 本研究のための外部評価委員会も設置し、毎年、研究の進捗状況を報告し評価を受けた。

(3) 研究施設・設備等

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研究施設・設備の詳細は「17.施設・装置設備の整備状況」を参照のこと。既存の研究施設である立教大学池袋キャンパスマキムホール 707,710,801,803 を活用し、研究を行った。

(4) 研究成果の概要 ※下記、13及び14に対応する成果には下線及び*を付すこと。

26 年度

理論構築チーム

理論的な基礎を構築するために、約 1,000 人を対象とした定量個人調査と 48 人を対象とした定性個人調査を実施した。なお、定量調査で使用した調査票は、測定方法チームによって開発された質問項目を用いて作成された。定量調査の結果分析から、変革型、GK 型、エンパワーリング、サーバント、オーセンティック・リーダーシップの各 BL と多様性が高いチームの創造的成果に影響を及ぼすメカニズムを明らかにした(*IP-8,10,17,18, IC-2)。加えて、変革型リーダーシップの下位概念である”理想化された影響”のネガティブな影響は、チーム内のコミュニケーションを活性化することで、抑制することができることも明らかにした(*IP-9, IC-2)。

また、定性調査の分析結果から、多様性が高いチームにおいて創造性を引き出すために必要となるリーダーの心理・態度および行動を記述し概念化することに成功した(*IP-7,8,13)。ただし、定性調査については、当初計画した予定数をこなすことができなかった。このため、2 年目にも追加的調査を実施し、26 年度に明らかとなった結果を検証することとした。

これとは別に、多様性の概念を整理し、リーダーシップとの関係を理論化することで、GBL と従来の BL との違いを明確化することができた(*IP-1,11,12)。

測定方法チーム

理論構築チームで見いだされた GBL 行動の 3 要素を測定するための質問紙調査方法確立のために研究と実践を行い、具体的な GBL 行動の 3 要素を測定するための質問紙を完成させた。特に、教育技法チームが教育技法の開発の際に重視している 3 要素の「目標共有」、「率先垂範」、「同僚支援」という構成概念を測定することを目指した調査項目を考案し、複数回の試行ののち、一定の成果が期待できる調査方法を確立した。

教育技法チーム

メンバーの多様性が高いチームでの BL 育成に対する質問会議(質問中心で行われる会議によって問題解決や創造的アイデアの創出を図り、当該会議のプロセスを通じてリーダーシップの育成を図る方法)の有効性を検証すると同時に課題を明らかにし、当該課題解決のための理論研究を行った。また、10 社を対象とした定性企業調査によって、既存の教育技法の有効性と課題を明らかにした。これに加えて、ケース・メソッド、ゲーム活用、ロールプレイング、シミュレーションの各教育技法についても分析を行い、BL 教育へ応用する際の有効性と課題を明らかにすることができた。

27 年度

理論構築チーム

26 年度未実施の分を補うため、54 人を対象とした定性個人調査を実施した。これらの結果から、26 年度に明らかになった結果の妥当性が検証された。

また、これらの定性調査の分析の結果と初年度定量調査の分析結果を組み合わせ、GBL 行動を明らかにすると同時に、GBL 行動が「率先垂範」「目標共有」「同僚支援」の 3 つの下位概念によって構成されていることを明らかにした(*IP-7,8,18, IC-4)。

さらに、GBL を促進する心理・態度面として、「自己効力感(仕事を完遂することができるという信念)」「組織コミットメント(組織や職場に対する愛着・忠誠心)」「グローバル・マインド(多様性を受け入れ違いから新しいものを作り出そうとする態度、以下 GM)」が重要であることを明らかにした(*IP-10, IC-5)。

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加えて、初年度定量調査の詳細な分析を行うことで、多様性が高いチームにおいて、シェアド・リーダーシップとコミュニケーションが創造的成果に重要な影響を及ぼすことも明らかにした(*IP-6, IC-3)。

なお、多様性のあるチームや組織における GBL 行動の有効性について、27 年度までに得られた知見を発信すると同時に、当該知見に対する意見を集約するために、学術誌「組織科学」において特集を組んで報告を行った(*IP-21)。

測定方法チーム

理論構築チームで見いだされた GBL 行動の 3 要素を測定するための質問紙調査方法の確立のための研究行い、具体的な GBL 行動の 3 要素を測定するための質問紙を完成させた。特に、教育技法チームが教育技法の開発の際に重視している 3 要素の「目標共有」、「率先垂範」、「同僚支援」という構成概念を測定することを目指した調査項目を考案し、複数回の試行ののち、一定の成果が期待できる調査方法を確立した(*II B-1, II C-1)。

また、当該質問紙調査の効果の検証と、教育技法チームが確立したリーダーシップ研修の成果検証を行うため、複数の立教大学体育会各部の協力の下、実際のリーダーシップ研修の実践と研修効果の測定を行った。質問紙調査は、研修の事前事後双方で行われ、その差異を詳細に分析すること、および、研修を受けない対照群についての調査結果との比較を行い、調査の妥当性および教育技法チームが開発した教育研修方法の有効性を検討した。調査方法の一定の妥当性を確認するとともに、解決すべき課題の整理を行った。

教育技法チーム

26 年度未実施の分を補うため、13 社を対象とした定性企業調査を実施した。26 年度および 27 年度の調査結果をもとに、フィードバックを中心とした教育技法を新しく開発した。また、当該技法の有効性と問題点を、提携企業 10 社と共同で実施した BL 研修において明らかにすることができた。

これに加え、理論構築チームの研究結果をもとに、質問会議を含むアクションラーニングによって GBL 行動を育成するための方法の検討を行った。この結果として、ピア・ラーニングやピア・インストラクションを行う教育アシスタントの成長について、また、振り返りにおける質問の効力についての研究成果を出している(*III B-1)。

28 年度

理論構築チーム

27 年度までの研究結果をもとに GBL 行動と GBL 行動に影響を及ぼす心理・態度についてモデル化を行った。また、GBL 行動とシェアド・リーダーシップおよびコミュニケーションの関係を明らかにした(*IP-9, IC-1,6)。これらの作業を通じて、GBL 理論のコア部分の原型を作り上げることができた。これに加えて、GBL 行動を遂行するために、パーソナリティ・ベース・リーダーシップ(自らの強みを通じたリーダーシップ)を発揮することが必要であることが新たに明らかとなった(*IB-2)。また、シェアド・リーダーシップの研究を進めることで、シェアド・リーダーシップに関する理論を体系化することができた(*IB-2,3)。

測定方法チーム

27 年度に引き続き、測定精度を高めるため、立教大学体育会各部のリーダーシップ研修の実践と研修効果の測定を行った。また、29 年度に計画している国際通用性の検証のための国際調査の準備を開始した。

教育技法チーム

27 年度から引き続き、GBL 行動をアクションラーニングによって育成する方法に取り組み、完成することができた。また、理論構築チームで明らかになった GBL 心理・態度の育成

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も当該方法に組み入れることができた。特に、GBL 行動の 3 要素に集中して教育することを徹底することで、教材担当者の教材作成が容易になると同時に、受講生は目標を掴みやすくなり、結果として受講生のプログラム満足度も上昇した。

この他に、27 年度の結果を踏まえ、フィードバック、ケース・メソッド、ゲーム活用、ロールプレイング、シミュレーションの各技法を用いた GBL 心理・態度および GBL 行動の育成について検討を行った。その結果、どの技法よりもフィードバックを用いた技法が最も有効であることが明らかになった。このため、28 年度は、アクションラーニングとフィードバックを組み合わせた新しい教育技法の理論的体系化に取り組みある程度の完成を見ることができた。ここまでの成果については、国内外での学会で報告された。特に、リーダーシップ研究で最も権威のある International Leadership Association の年次総会で報告を行い高い評価を得ることができた(*ⅢC-2)。また、国際学会を通じて、米国ワシントン州立大学との連携が始まった。さらに、企業におけるリーダーシップ教育・研修と大学の相互乗り入れを視野に入れた研究についても成果が出始めた。

29 年度

29 年度より、測定方法チームによる単独の活動は無くなり、理論構築チームおよび教育技法チームと共同による活動になった。

理論構築チーム・測定方法チーム

28 年度までにモデル化された GBL 行動とシェアド・リーダーシップを中心にこれらの概念とマネジメント上重視されている他の概念との関係を明らかにするために、理論構築チームと測定方法チームが共同で国内での定性調査を行った。その結果、GBL 行動の下位概念については、「目標共有」、「率先垂範」、「同僚支援」の 3 概念ではなく、「自己理解」、「環境理解」、「方向設定」、「率先垂範」、「倫理意識」の 5 概念の方が、適切なその有効性を網羅的に類型化できることが明らかになった(* I P-23)。一方、GBL 行動がシェアド・リーダーシップを通じて、フォロワーの OCB (Organizational Citizenship Behavior: 組織目的のための主体的な役割外行動) や Proactive Behavior (職務に関連した主体的な行動)、内発的モチベーション、チーム公正感に重要な影響を及ぼすことが確認された(* I C-7)。また、GBL 行動は、シェアド・リーダーシップを通じて、所属チーム全体のチーム効力感や凝集性、生産的規範といったグループレベルの概念にも重要な影響を及ぼすことが確認された(* I C-7)。

当該結果を受け、GBL 行動の下位概念のモデル化の試行が再度行われ、上述したとおり、5 概念が下位概念として適切であることが理論的にも検証された(* I C-7, IB-4)。また、理論構築チームと測定方法チームが共同で新しい下位概念を想定した質問紙調査票の作成を行った。これと並行して、これまで完成しつつあった GBL 行動の定性的調査方法についても、再検討が加えられた。

新しく完成した質問紙調査票の信頼性および妥当性を検証すると同時に、GBL を促進する心理・態度要因やシェアド・リーダーシップ、パーソナリティ・ベース・リーダーシップ、フォロワーやチーム要因との関係を明らかにするために、国内における大規模な調査を行った。当該調査結果の分析により、次のモデルの妥当性が明らかにされた。

1) 心理・態度要因の GBL 行動への影響

自己効力感、組織コミットメント、Psychological Empowerment (仕事環境、能力伸張、仕事の意義、自律性に自ら影響を及ぼすことができるという信念、以下 PE)、Perceived Organizational Support (組織が従業員の貢献を評価し、従業員の幸福を重視してくれていると感じている程度、以下 POS)、Perceived Insider Status (従業員が所属する組織において、“内部者”であると知覚している程度、以下 PIS) の 5 要因が GBL 行動を促進することが明らかになった(* I C-8)。

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2) GBL 行動のシェアド・リーダーシップへの影響

これまでは、GBL 行動が「目標共有」、「率先垂範」、「同僚支援」の 3 概念で構成されていると言う前提で分析が行われてきた。今回の調査では、新たに修正されたモデルに基づき 5 概念によって構成されているという前提で分析が行われた。その結果、これまでと同様に、GBL 行動がチームのシェアド・リーダーシップを促進することが明らかにされた(* I C-8)。

3) GBL 行動とシェアド・リーダーシップの関係をモデレートする要因

GBL 行動とシェアド・リーダーシップの関係をパーソナリティ・ベース・リーダーシップがモデレートすることが、改めて定量的分析により明らかにされた。フォロワーがパーソナリティ・ベース・リーダーシップを発揮している場合には、GBL 行動のシェアド・リーダーシップへの影響力は強まり、逆に、フォロワーがパーソナリティ・ベース・リーダーシップを発揮していない場合は、GBL 行動に影響力が弱まることが明らかにされた(* I C-8)。

4) GBL 行動のフォロワーへの影響力

GBL 行動が、シェアド・リーダーシップを通じてフォロワーに影響を及ぼすことが明らかになった(* I C-8)。具体的には、GBL 行動がフォロワーの内発的モチベーション、職務満足、OCB、Proactive Behavior、チーム公正感を促進し、ストレスや離職意思を低減することが明らかになった。また、GBL 行動が、シェアド・リーダーシップを通じてチーム全体に影響を及ぼすことも明らかになった。具体的には、チーム効力感、チームの生産的規範、チームの凝集性を促進し、チームのコンセンサス維持規範(コンセンサスを重視するあまり、リーダーやチーム全体の方向性に反する意見・行動を排除しようとする規範)を低減することが明らかになった。

当初、最終的なモデルによる国際比較調査を 29 年度に実施する予定であった。しかし、モデルの修正が行われたため、当年度は、国際比較調査の準備を行うだけにとどめ、実際の調査は 30 年度に実施することとした。

教育技法チーム・測定方法チーム

グローバル・リーダーシップを育成するための教育技法については、28 年度までにほぼ完成していた。ただし、29 年度において、理論チームにおいて若干の修正が加えられたため、教育技法についても修正が加えられ、新しいバージョンが完成した。完成したバージョンについては、予定通り協力企業の研修で実施された。その教育効果は、測定方法チームで開発された定量的および定性的方法によって測定され、高い効果が得られたことも確認された。これらの結果については、学術雑誌において論文として発表された(* III P-3)。

30 年度

当初の予定では、最終年度である 30 年度は、3 チームが共同して活動することになっていた。しかし、最終年度は、最終調査と成果の報告が主たる活動となる。調査は、理論構築チームと教育技法チームでは別々に行う必要がある。また、報告についても、聴衆のニーズが異なるため、別々に行った方が良いと判断した。例えば、学会の場合、理論を中心とした学会と教育技法を中心とした学会では異なる。このため、それぞれの学会のメインテーマに即した形で別々に報告する必要がある。また、シンポジウムを開催する場合も、聴衆の主たる関心が理論面であるのか育成面であるのかで大きく異なる。このため、それぞれ別のテーマで実施する必要がある。このため、30 年度も、前年度と同様に、理論構築チームと測定方法チーム、教育技法チームと測定方法チームの 2 つに分かれて活動を行うこととした。ただし、両者が密接に連携するために、これまで以上にチーム・リーダーおよびチーム・メンバー間の交流を積極的に行った。

理論構築チーム・測定方法チーム

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29 年度に完成された GBL に関するモデルの妥当性を国際調査によって明らかにした。具体的には、中国、韓国、タイ、マレーシア、アメリカ、オーストラリアにおいて調査を実施した。分析の結果、どの国においても、ほぼモデルの妥当性が検証された(* I P-23)。ただし、パーソナリティ・ベース・リーダーシップのモデレータ効果については、国によってやや異なっていた。アメリカおよびオーストラリアではモデレータ効果が強かったが、中国、韓国、タイ、マレーシアでは弱く、韓国では有意な効果が見られなかった。このような違いはあるもの、モデルはこれらの国々でも妥当性が検証され、モデルの国際通用性が確認された。

また、国際比較の一部は、国際学術誌 Asia Pacific Business Review(以下、APBR)において特集号として刊行された(* I P-22)。その他の結果についても、2019 年 5 月に実施予定の同紙のワークショップで報告され、2020 年に発行予定の APBR において特集されることが決まっている。

教育技法チーム・測定方法チーム

30 年度には、これまでの技法開発と検証の積み重ねをまとめて『リーダーシップ教育のフロンティア』(研究篇と実践篇の計 2 巻)を出版した(*ⅢB-2,3)。これによって、立教大学経営学部がリーダーシップの研究と開発(教育)の両面で我が国の最先端拠点であることを示すことができた。他にも書籍および学会発表において成果を発表し、カンファレンス開催によって高大社連携によるリーダーシップ教育の方向性について発信することができた(*ⅢB-4, 5、ⅢC-3)。さらに海外カンファレンス・海外学会・海外大学訪問によってリーダーシップ研究者・教育者との国際交流が生まれ、米国の大小さまざまなリーダーシップ研究・開発(教育)拠点の視察によって優れた拠点の満たすべき条件についても知見を得て将来を構想する参考とすることができた。

<優れた成果が上がった点>

本プロジェクトの優れたアウトプットが日本や海外の学術誌に認められ、特集が組まれることとなった。第 1 に、日本において経営学分野で最もレベルが高い学会の一つである組織学会の機関誌である“組織科学”において、本プロジェクト代表者である石川淳が責任編集者となって、「多様性とリーダーシップ」という特集が組まれた(* I P-21)。特集の中では、本プロジェクトのアウトプットに関連した報告が行われた。第 2 に、経営学分野において国際的に高い評価を受けている国際学術誌“Asia Pacific Business Review”において、「Leadership in East Asia: Globalization, Innovation and Creativity in Japan, South Korea and China」という特集が生まれ、やはり、本プロジェクトの成果が多数報告された(* I P-22)。このように、本プロジェクトの成果を、注目度が高い学術誌を通じて国内外に発信することができた。

また、本プロジェクトの成果が発展した形で、新しい大学院構想ができあがった。本プロジェクトの研究をさらに発展させると同時に、本プロジェクトの成果を具体的な教育プログラムに落とし込むために、経営学研究科経営学専攻博士課程前期課程に、リーダーシップ開発コースが創設されることになった。本コースでは、主として社会人を対象に本プロジェクトの成果を活かしたプログラムが展開され、グローバルな場面で通じるリーダーシップを育成する。日本の大学院において、リーダーシップ研究および教育に特化したコースを設けているところはなく、日本において先駆的な試みである。

<課題となった点>

当初の予定では、PD を雇用し、本プロジェクトの活動を通じて若手研究者の育成を図る予定であった。しかし、何度募集しても適切な応募者が集まらず、最後まで PD を雇用すること

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はできなかった。

その最大の原因は、この分野において博士学位を取得した人に対する需要が高いことであろう。多くの人が大学等の研究機関に有期もしくは無期の職を得るため、PD で雇用することが難しかった。若手の研究者を雇用するためには、PD ではなく、助教等のポストを用意する必要があった。なお、PD の雇用を行うことはできなかったが、多くの大学院生が本プロジェクトの活動に携わることになった。このため、若手研究者の育成という目標は達成できたと考えられる。

<自己評価の実施結果と対応状況>

月に1回開催されるリーダーシップ研究所の会議において、各チームの研究進捗状況について報告し相互評価を行ってきた。その結果、各チームとも概ね計画通りに進捗し、順調に成果が出されていることが確認されている。なお、チームごとに若干の計画変更はあるものの、その都度会議によってチーム間の調整が行われてきたため、チーム間の連携に問題が生じることはなかった。

また、本研究に関する予算の配分に関しても、当初の研究計画に基づいて各チームの研究を推進するために適切な予算配分を行っていることが確認されてきた。加えて、予算の執行状況についても、各チームが計画通りに実施しているかを当該会議において確認が行われてきた。また、各チームが自己申告するだけでなく、チーム間で相互に予算・決算をチェックしているため、信頼性が高い自己評価が行われたと考えられる。

なお、理論チームにおいて計画変更があり、調査計画等にやや変更が生じた。この点については、年度当初に、他のチームの計画執行に支障がない範囲で他チームとの予算調整を行った。

一方で、PD の雇用を行うことはできなかった。若手の研究者には、大学組織への就職の機会が多いため、募集をしても適切な応募者を確保することができないことが最大の原因である。このため、当初の予定よりも多くの博士課程後期課程の学生を研究に参加させることで、若手研究者の育成と研究遂行の面でカバーを行った。さらに、平成 29 年度からは RA2名を雇用し、若手研究者の育成と研究遂行に活用した。

この他に、本研究は、経営学研究科付置のリーダーシップ研究所内で立ち上げられていることから、その自己点検・評価については、経営学研究科の自己点検・評価項目の「教育研究」の一環としても点検を行い、本研究が計画通り実施されていることを確認している。

<外部(第三者)評価の実施結果と対応状況>

研究科に諮問委員会を設置し、当該諮問委員会に年に1回進捗状況を報告し評価を受けた。諮問委員会のメンバーは、一部上場企業の CEO を含む実務家 5 名、フランスの経営系大学院教授 1 名の計 6 名から構成されており、以下の日程で開催された。

平成 27 年 3 月 16 日 10:00-12:00

平成 28 年 3 月 9 日 10:00-12:00

平成 29 年 3 月 14 日 10:00-12:00

平成 30 年 5 月 15 日 10:00-12:00

平成 31 年 3 月 11 日 10:00-12:00

当該諮問委員会のメンバーからは、本研究が計画通りに遂行されているかという点と研究成果のアウトプットについて評価を受けた。遂行状況については、概ね計画通りであるとの評価を受けた。理論構築チームにおいて、計画に変更が生じた点についても、より高い成果を得るための変更であるとの理解が得られた。また、前回指摘された国籍が多様なチームでの

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定量的な調査が実施できていないことや、グローバル・チームでの実践事例が少ないことについても、29年度および30年度において、状況が大幅に改善されていることが確認された。

また、研究成果のアウトプットについても、有益な研究成果が生み出されたことについて好意的な評価を受けた。特に、GBL 行動の内容が明らかになったことや GBL 行動とシェアド・リーダーシップおよび、パーソナリティ・ベース・リーダーシップとの関係が明らかになった点について高い評価を受けた。また、企業において実践的な教育技法が開発され、なおかつその効果も適切に評価されている点についても高い評価を受けた。

<研究期間終了後の展望>

第 1 に、国際学術誌“Asia Pacific Business Review”とのコラボレーションをさらに進めていく予定である。“Asia Pacific Business Review”での特集が好評であったため、今後も、1年に1度のペースで、本プロジェクトの成果を元にした研究の特集を組むことになった。まずは、2019年の5月に韓国のソウルにてワークショップを開催し、その結果を次年度の特集号として報告する予定である。

第 2 に、オーストラリアの RMIT University との共同研究が行われることとなった。RMIT University の Muenjohn 博士の研究グループと共同研究を行うことが決定し、RMIT University の研究予算によって、本研究プロジェクトをさらに進めることになっている。なお、Muenjohn 博士の研究グループは、これまでもグローバル・リーダーシップの研究に取り組んでおり、多くの書籍・論文でその成果を公表しており、世界的にもその成果が認められている。

第 3 に、リーダーシップ研究所にデータ分析部門が設置されることになった。本プロジェクトの活動を通じて、様々な実践現場におけるデータを収集し分析することの重要性が改めて認識されることとなった。このため、リーダーシップ研究所内に、新たにデータ分析部門が設置され、本プロジェクトに参加した助教や大学院博士課程後期課程の若手研究者を中心に、さらなるデータ分析を行うことが決定している。

第 4 に、本プロジェクトの成果を書籍として発刊し、研究成果のさらなる社会還元を行う予定である。残念ながら、プロジェクトの期間中に発刊することができなかったが、現在、出版計画が進行中であり、プロジェクト修了後なるべく早い段階で、成果をまとめた書籍として発刊する予定である。

<研究成果の副次的効果>

第 1 に、先述したとおり、新しい大学院構想につながった。具体的には、2020年度より、大学院経営学研究科経営学専攻博士課程前期課程の既存のコースを廃止し、リーダーシップ開発コースの1コース専攻とすることが決定している。これにより、当該専攻は、リーダーシップ開発に特化した研究・教育を行うことになる。

第 2 に、学部のビジネス・リーダーシップ・プログラム(BLP)の改革につながった。BLP は学部におけるリーダーシップ教育の先進的な事例としてこれまで多くの注目を浴びてきた。しかし、プログラム開始から10年たち、様々な課題も見えるようになってきた。本プロジェクトにおける研究成果は、そのような課題解決のために重要な示唆を与える。今後、本プロジェクトの成果をベースに、BLP のさらなる効果向上のための改革を進めることになっている。

第 3 研究成果が多くの企業に着目され、非常に高い評価を得ている。その結果、本プロジェクトの成果をさらに発展させるため、持続的な研究を行う環境を整備することができるようになった。

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い。)

- (1) リーダーシップ (2) グローバル・リーダーシップ
 (3) シェアド・リーダーシップ (4) パーソナリティ・ベース・リーダーシップ
 (5) アクティブ・ラーニング (6) _____
 (7) _____ (8) _____

13 研究発表の状況(研究論文等公表状況。印刷中も含む。)

上記、11(4)に記載した研究成果に対応するものには*を付すこと。

I 理論構築チーム

<雑誌論文>

No.	査読	著者名	論文表題	雑誌名	ページ	発行年
*IP-1		<u>Ishikawa, J.</u>	<u>National diversity and team creativity: An integrative model and proposition for future research.</u>	Rikkyo Business Review (7)	7-23	2014
IP-2	○	<u>Ozaki, T.</u>	Firm-level Factor Versus National Institutional Difference: Ownership Structure in a Foreign Subsidiary of a Japanese Logistics Firm.	The Asian Journal of Shipping and Logistic. (30)	393-413	2014
IP-3	○	<u>Takahashi, K.</u>	The empathetic sorting technique: Measuring corporate culture by sorting illustrated value statements	Business Studies Journal. 6	81-101	2014
IP-4		高橋潔	モチベーションにデザインとマネジメントの視点を取り込む—経営資源「ヒト」との付き合い方	Think!49	76-83	2014
IP-5	○	高橋潔	OJT を救うウェブ・ラーニングとアンラーニング	日本労働学会誌 15(2)	77-79	2014
* IP-6		高橋潔	創造性を育むとっておきの方法	産政研フォーラム 104	38-43	2014
* IP-7	○	<u>Stevens, M., Bird, A., Mendenhall, M., Oddou, G</u>	<u>Measuring global leader intercultural competence</u>	Advances in Global Leadership	<u>115-154</u>	2014
* IP-8	○	<u>Ishikawa, J.</u>	<u>Leadership, design process, and team performance: A comparison between the Japanese and Australian R&D teams.</u>	Journal of Developing Areas 49(6)	489-496	2015

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* IP-9		<u>Ishikawa, J.</u>	<u>Transformational Leadership in Japanese R&D teams: Team Efficacy, Norm for Maintaining a Consensus, Communication, and Team Performance.</u>	Rikkyo Business Review(8)	61-73	2015
* IP-10	○	<u>石川淳</u>	<u>研究開発プロセスのリーダーシップ: 文献レビューと課題の提示</u>	日本労働研究雑誌 57(7)	66-86	2015
* IP-11		<u>Ozaki, T.</u>	<u>ダイバーシティ・マネジメントの理論的考察</u>	Rikkyo Business Review(8)	17-31	2015
* IP-12		<u>Ozaki, T.</u>	<u>ダイバーシティ・マネジメント特集</u>	Rikkyo Business Review(8)	2-5	2015
* IP-13	○	<u>Ozaki, T.</u>	<u>Global governance and international nonmarket strategies.</u>	Journal of World Business. (50-2)	256-261	2015
IP-14	○	<u>Matsunaga, M.</u>	Development and validation of an employee voice strategy scale through four studies in Japan.	Human Resource Management, 54	653-671. DOI: 10.1002/ hrm.2163 6	2015
IP-15	○	<u>高橋潔</u>	Criteria for screening job-applicants in Japanese companies: Policy capturing approach	Journal of Academy of Business and Economics. 15	101-109	2015
IP-16	○	<u>高橋潔</u>	似て非なるもの MBO と PM	日本労働研究雑誌 57(4)	40-41	2015
* IP-17		<u>高橋潔</u>	<u>戦略的かつ効果的に育成するリーダーシップ・パイプライン</u>	人材教育 27(4)	32-35	2015
* IP-18	○	<u>Bird,A.,Mend enhall,M.E.,O sland,J.S.,Od doue,G.,Reic he,S.</u>	<u>Contextualizing leadership: A typology of global leadership roles.</u>	Journal of International Business Studies	1-21	2015
IP-19	○	<u>Colakoglu,S., Allen,M., Miah,M.K., Bird,A</u>	High-Investment HR Values among Local Firms and MNC Subsidiaries in South Asia: A Comparative Study.	International Journal of HRM.	1426-14 47	2015
IP-20	○	<u>Miyata, S., And</u>	Do Female Gender Role Attitudes Affect Labour	Journal of Development	876-894	2016

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		H.Yamada	Market Participation in Egypt?	Studies.		
* IP-21	○	石川淳	特集「多様性とリーダーシップ」	組織科学		2016
* IP-22	○	Ishikawa, J.	Special Issue “Changing Facets of Leadership in East Asia: Globalization, Innovation and Creativity in Japan, South Korea and China”	Asia Pacific Business Review	161-172	2019
* IP-23	○	Ishikawa, J.	Formal voice mechanisms and portfolio career workers’ prosocial voice in Japan and Korea: the mediating role of managers’ issue-related leadership activities	Asia Pacific Business Review	194-226	2019

<図書>

No.	著者名	出版社	
I B-1	Bird,A.,Lane,H.,Athanasios,N.	Oxford University Press.	
書名		発行年	総ページ数
The Palgrave Handbook of Experiential Learning in International Business		2015 年	345
No.	著者名	出版社	
* I B-2	石川淳	中央経済社	
書名		発行年	総ページ数
シェアド・リーダーシップ-チーム全員の影響力が職場を強くする		2016 年	224
No.	著者名	出版社	
* I B-3	尾崎俊哉	ナカニシヤ出版	
書名		発行年	総ページ数
ダイバーシティ・マネジメント入門 経営戦略としての多様性		2017 年	176
No.	著者名	出版社	
* I B-4	石川淳	中央経済社	
書名		発行年	総ページ数

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グローバル研究開発人材の育成とマネジメント	2019 年	224
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<学会発表>

No.	発表者名	発表標題	
* I C-1	松永正樹	『部下が仕事に“ハマる”ために必要な上司のコミュニケーションと職場環境:エンゲージメントおよび建言行動に及ぼすリーダーシップ、信頼関係、チームの価値観の影響』	
学会名		開催地	発表年月
2014 年度日本コミュニケーション学会 年次大会		琉球大学(沖縄)	2014 年 6 月
* I C-2	発表者名	発表標題	
	Ishikawa, J.	Transformational leadership, stressors, and strain in R&D Employees: Evidence from Japan.	
学会名		開催地	発表年月
Pan-Pacific Conference XXXI		Osaka, Japan	2014 年 6 月
* I C-3	発表者名	発表標題	
	Matsunaga, M.	Leaders' communication and team values shape employee engagement: Test of a multilevel moderated mediation model.	
学会名		開催地	発表年月
Paper presented at the 100th annual convention of the National Communication Association,		イリノイ大学(シカゴ)	2014 年 11 月
* I C-4	発表者名	発表標題	
	Ishikawa, J.	Leadership in SMEs: The conceptual link between design leadership, workplace innovation and organisational performance.	
学会名		開催地	発表年月
Exploring Leadership and Learning Theories in Asia		Penang, Malaysia	2014 年 11 月
* I C-5	発表者名	発表標題	
	松永正樹	『見極めるを科学する:若きグローバルリーダーの特質とは』	
学会名		開催地	発表年月
第4回超異分野学会 2015		アステラス製薬本社(東京)	2015 年 3 月
* I C-6	発表者名	発表標題	
	松永正樹	『異なる意見を持つ受講生同士のピア・ラーニングによる理解度向上とその定量化』	
学会名		開催地	発表年月

法人番号	131095
プロジェクト番号	S1491010

ICT 利用による教育改善研究発表会		東京理科大学(東京)	2016年8月
* I C-7	発表者名	発表標題	
	<u>Ishikawa, J.</u>	<u>The relationship between leadership, design process and R&D team performance and satisfaction</u>	
学会名		開催地	発表年月
British Academy of Management		Bristol, UK	2018年9月
* I C-8	発表者名	発表標題	
	<u>Ishikawa, J.</u>	<u>How can We Develop Leadership? Leadership Development in Business and Academic Institutions</u>	
学会名		開催地	発表年月
World Education Day 2018		Jinan, China	2018年9月

II 測定方法チーム

<図書>

No.	著者名	出版社	
* II B-1	<u>山口和範</u>	日科技連出版社	
書名		発行年	総ページ数
<u>ビッグデータ時代に求められる統計的思考力</u>		2016年	46

<学会発表>

No.	発表者名	発表標題	
* II C-1	<u>Yamaguchi, K.</u> <u>and Watanabe, M.</u>	<u>Leadership skill developments in statistics learning,</u>	
学会名		開催地	発表年月
International Association Statistical Education 2015 Satellite Meeting.		リオデジャネイロ	2015年8月

III 教育技法チーム

<雑誌論文>

No.	査読	著者名	論文表題	雑誌名	ページ	発行年
III P-1	有	<u>Morinaga, Y.</u> <u>and Tateno, Y</u>	Actual condition survey of leadership development in Japanese companies	Journal of International Business Research, 14(3)	5-66	2015
III P-2		<u>館野 泰一,</u>	産学連携型 PBL 授業に	日本教育工学	97-100	2015

法人番号	131095
プロジェクト番号	S1491010

		<u>森永雄太</u>	おける質問を活用した 振り返り手法の検討	会論文誌, 39		
*ⅢP-3		<u>Morinaga, Y</u>	Research Trends of Health and Productivity Management : Disentangling Conflict between Worksite Health Promotion and Business Administration [in Japanese]	日本労働研究 雑誌 59(5),	4-12	2017

〈学会発表〉

No.	発表者名	発表標題		
ⅢC-1	<u>日向野幹也</u>	「伸びる大学の教育力は何が違うかーデータに基づいて検討するー」		
学会名		開催地	発表年月	
大学教育学会 第 38 回全国大会		立命館大学(大阪)	2016 年 6 月	
No.	発表者名	発表標題		
*ⅢC-2	<u>Higano, M.</u>	'Leadership Education as Paratrooping'		
学会名		開催地	発表年月	
Global Conference, International Leadership Association (ILA)		(アトランタ)	2016 年 11 月	
*ⅢC-3	<u>舘野泰一</u>	リーダーシップ教育における自己評価・他己評価のズレが 学習に及ぼす影響		
学会名		開催地	発表年月	
日本教育工学会第 34 回全国大会		東北大学(宮城)	2018 年 9 月	
ⅢC-4	<u>日向野幹也</u>	立教経営と早稲田でのリーダーシップ教育 ー 各学部での初年次教育 vs 全学での選択科目 ー		
学会名		開催地	発表年月	
初年次教育学会		酪農学園大学(北海道)	2018 年 9 月	

〈図書〉

No.	著者名	出版社	
*ⅢB-1	<u>日向野幹也</u>	ブックウェイ	
書名		発行年	総ページ数

法人番号	131095
プロジェクト番号	S1491010

[増補版]大学教育アントレプレナーシップ いかにリーダーシップ教育を導入したか		2017 年	97
No.	著者名	出版社	
*ⅢB-2	中原淳、舘野泰一、石川淳、日向野幹也	北大路書房	
書名		発行年	総ページ数
リーダーシップ教育のフロンティア【実践編】: 高校生・大学生・社会人を成長させる「全員発揮のリーダーシップ」		2018 年	208
No.	著者名	出版社	
*ⅢB-3	中原淳、舘野泰一、石川淳、日向野幹也	北大路書房	
書名		発行年	総ページ数
リーダーシップ教育のフロンティア【研究編】: 高校生・大学生・社会人を成長させる「全員発揮のリーダーシップ」		2018 年	208
No.	著者名	出版社	
*ⅢB-4	日向野幹也	筑摩書房	
書名		発行年	総ページ数
高校生からのリーダーシップ入門		2018 年	197
No.	著者名	出版社	
*ⅢB-5	森永雄太	労働経済新聞社	
書名		発行年	総ページ数
ウェルビーイング経営の考え方と進め方 健康経営の新展開		2019 年	193

<研究成果の公開状況>(上記以外)

法人番号	131095
プロジェクト番号	S1491010

■2014(平成 26)年度

1)2014 年 7 月 4 日

NPO 法人 日本アクションラーニング協会年次カンファレンス 2014
リーダーシップ開発と組織開発

2)2014 年 7 月 5 日

立教リーダーシップカンファレンス 2014

リーダーシップと教育

<http://cob.rikkyo.ac.jp/leadership/2832.html>

■2015(平成 27)年度

1)2015 年 5 月 14 日

第 14 回立教経営塾講演会「KUMON(公文)のグローバル展開 ～北米での実践を例として～」
(HP 公開なし)

2)2015 年 8 月 21 日

NPO 法人 日本アクションラーニング協会年次カンファレンス 2015

アクションラーニングによる“学習する組織”の実現

3)2015 年 8 月 22 日

立教リーダーシップカンファレンス 2015

「アクティブラーニングを行うためにリーダーシップ教育が必要な理由」【別紙 1 参照】

<http://cob.rikkyo.ac.jp/blp/2983.html>

4)2015 年 11 月 5 日

経営学部講演会「マクマホン・ボール、日本と、アジア太平洋時代

<http://cob.rikkyo.ac.jp/extracur/3031.html>

■2016(平成 28)年度

1)2016 年 7 月 1 日

リーダーシップ講演会「リーダーの心得～学生と考えるこれからのリーダーシップ～」

<http://cob.rikkyo.ac.jp/extracur/3136.html>

2)2016 年 8 月 20 日

立教リーダーシップカンファレンス 2016「10 代からのリーダーシップ教育～高校、大学、企業でリーダーシップを育てる リーダーシップで育てる～」【別紙 2 参照】

<http://cob.rikkyo.ac.jp/leadership/3166.html>

3)2016 年 9 月 12 日

・NPO 法人 日本アクションラーニング協会年次カンファレンス 2016

アクションラーニングの可能性:成長ストーリーと学習する組織～2016 年認定学生 AL コーチの誕生～

4)2016 年 10 月 25 日

第 15 回 立教経営塾 講演会『Re-connecting the Dots ～ボーダーレスな価値の創り方～』

法人番号	131095
プロジェクト番号	S1491010

<http://cob.rikkyo.ac.jp/news/3152.html>

5)2016年12月9日

『これからの日中ビジネスへの展望：日中企業の新展開

(New Developments for Japanese and Chinese Firms:

Implications for Investment, Trade, and other Economic Interactions) 』

<http://cob.rikkyo.ac.jp/news/3173.html>

■2017(平成 29 年度)

1)2017年9月30日

International Workshop 2017

Changing Facets of Leadership in East Asia: Globalization, Innovation, and Creativity in Japan and South Korea

2)2018年3月2日-3日

『戦略的ダイバーシティ・マネジメント、変革のリーダーシップと、日本企業の競争力の再生

Strategic Diversity Management, Transformational Leadership and Renaissance of Japanese Corporations』

<http://www.rikkyo.ac.jp/events/03/mknpps000000dxf.html>

■2018(平成 30)年度

1)2018年7月23日

立教 BLP カンファレンス 2018「高大社連携を目指したこれからのリーダーシップ教育」

14 その他の研究成果等

--

法人番号	131095
プロジェクト番号	S1491010

15 「選定時」及び「中間評価時」に付された留意事項及び対応

<「選定時」に付された留意事項>

特になし

<「選定時」に付された留意事項への対応>

特になし

<「中間評価時」に付された留意事項>

特になし

<「中間評価時」に付された留意事項への対応>

特になし

法人番号	131095
プロジェクト番号	S1491010

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(千円)

年度・区分	支出額	内 訳						備 考
		法 人 負 担	私 学 助 成	共同研 究機関 負担	受託 研究等	寄付金	その他()	
平成 26 年度	施設	0						
	装置	0						
	設備	0						
	研究費	8,962	5,077	3,885				
平成 27 年度	施設	0						
	装置	0						
	設備	0						
	研究費	7,464	4,027	3,437				
平成 28 年度	施設	0						
	装置	0						
	設備	0						
	研究費	7,295	4,919	2,376				
平成 29 年度	施設	0						
	装置	0						
	設備	0						
	研究費	9,133	5,494	3,639				
平成 30 年度	施設	0						
	装置	0						
	設備	0						
	研究費	10,075	6,376	3,699				
総 額	施設	0	0	0	0	0	0	0
	装置	0	0	0	0	0	0	0
	設備	0	0	0	0	0	0	0
	研究費	42,929	25,893	17,036	0	0	0	0
総 計		42,929	25,893	17,036	0	0	0	0

法人番号	131095
法人番号	131095

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《施設》(私学助成を受けていないものも含め、使用している施設をすべて記載してください。)(千円)

施設の名 称	整備年度	研究施設面積	研究室等数	使用者数	事業経費	補助金額	補助主体
立教大学池袋キャンパス マキムホール 710(リーダーシップ研究所)		18㎡					
立教大学池袋キャンパス マキムホール 707,801,803		56㎡					

《装置・設備》(私学助成を受けていないものは、主なもののみを記載してください。)(千円)

装置・設備の名称	整備年度	型 番	台 数	稼働時間数	事業経費	補助金額	補助主体
(研究装置)							
(研究設備)				h			
				h			
				h			
				h			
(情報処理関係設備)				h			
				h			
				h			
				h			
				h			

18 研究費の支出状況

(千円)

年 度	平成 26 年度		積 算 内 訳	
小 科 目	支 出 額	主 な 使 途	金 額	主 な 内 容
教 育 研 究 経 費 支 出				
消 耗 品 費	1,884	消耗品費、用品費	1,884	文房具、事務用品代
光 熱 水 費	0		0	
通 信 運 搬 費	0		0	
印 刷 製 本 費	0		0	
旅 費 交 通 費	3,818	旅費交通費、海外出張費	3,818	学会参加出張費
報 酬 ・ 委 託 料	1,329	その他の委託費、報酬手数料	1,329	調査委託、文字起こし
(出 版 物 費)	85	その他の図書資料費	85	書籍
(諸 会 費)	742	諸会費	742	学会参加費
(雑 費)	62	雑費	62	送金手数料、情報交換費
計	7,920		7,920	
ア ル バ イ ト 関 係 支 出				
人 件 費 支 出 (兼 務 職 員)	277	研究補助	277	時給1000円、年間時間数 168時間 実人数 13人
教 育 研 究 経 費 支 出				
計	277		277	
設 備 関 係 支 出 (1個又は1組の価格が500万円未満のもの)				
教 育 研 究 用 機 器 備 品	765		765	imac(ディスプレイモデル)、デジタル一眼レフカメラ
図 書	0			
計	765		765	
研 究 ス タ ッ プ 関 係 支 出				
リサーチ・アシスタント	0			
ポスト・ドクター	0			
研究支援推進経費	0			
計	0			

法人番号

131095

年 度	平成 27 年度			
小 科 目	支 出 額	積 算 内 訳		
		主 な 使 途	金 額	主 な 内 容
教 育 研 究 経 費 支 出				
消 耗 品 費	462	消耗品費、用品費	462	PCソフト、アダプタ、SDカード
光 熱 水 費	0		0	
通 信 運 搬 費	0		0	
印 刷 製 本 費	23	印刷費	23	論文印刷代
旅 費 交 通 費	3,442	旅費交通費、海外出張費	3,442	海外調査費、学会出張費
報 酬・委 託 料	2,508	その他の委託費、報酬手数料	2,508	英文校正、調査委託、テーブライター、講師謝礼
(出 版 物 費)	101	その他の図書資料費	101	書籍、電子書籍
(諸 会 費)	202	諸会費	202	国際学会参加費
(雑 費)	19	雑費	19	論文投稿料
計	6,757		6,757	
ア ル バ イ ト 関 係 支 出				
人 件 費 支 出 (兼 務 職 員)	0		0	
教 育 研 究 経 費 支 出 計	0			
設 備 関 係 支 出(1個又は1組の価格が500万円未満のもの)				
教 育 研 究 用 機 器 備 品	707	教育研究用機器備品	707	PC
図 書	0		0	
計	707		707	
研 究 ス タ ッ フ 関 係 支 出				
リサーチ・アシスタント	0			
ポスト・ドクター	0			
研究支援推進経費	0			
計	0			

年 度	平成 28 年度			
小 科 目	支 出 額	積 算 内 訳		
		主 な 使 途	金 額	主 な 内 容
教 育 研 究 経 費 支 出				
消 耗 品 費	333	消耗品費、用品費	333	文房具、ソフトウェア、備品
光 熱 水 費	0		0	
通 信 運 搬 費	0		0	
印 刷 製 本 費	63	印刷費	63	論文印刷代
旅 費 交 通 費	2,903	旅費交通費、海外出張費	2,903	学会参加出張費
報 酬・委 託 料	3,802	その他の委託費、報酬手数料	3,802	調査委託、テーブライター、英文校閲、講師謝礼
(諸 会 費)	168	諸会費	168	学会参加費
(雑 費)	2	雑費	2	海外送金手数料
計	7,271		7,271	
ア ル バ イ ト 関 係 支 出				
人 件 費 支 出 (兼 務 職 員)	0		0	
教 育 研 究 経 費 支 出 計	0			
設 備 関 係 支 出(1個又は1組の価格が500万円未満のもの)				
教 育 研 究 用 機 器 備 品	0			
図 書	0			
計	0			
研 究 ス タ ッ フ 関 係 支 出				
リサーチ・アシスタント	24		24	学外1人
ポスト・ドクター	0			
研究支援推進経費	0			
計	24		24	学外1人

法人番号

131095

年 度	平成 29 年度		
小 科 目	支 出 額	積 算 内 訳	
		主 な 使 途	金 額
教 育 研 究 経 費 支 出			
消 耗 品 費	1,540	消耗品費、用品費	1,540
光 熱 水 費	0		0
通 信 運 搬 費	0		0
印 刷 製 本 費	0		0
旅 費 交 通 費	3,368	旅費交通費、海外出張費	3,368
報 酬・委 託 料	2,678	その他の委託費、報酬手数料	2,678
(出 版 物 費)	157	その他の図書資料費	157
(諸 会 費)	203	諸会費	203
(雑 費)	13	雑費	13
計	7,959		7,959
ア ル バ イ ト 関 係 支 出			
人 件 費 支 出 (兼 務 職 員)	20	アルバイト	20
教育研究経費支出			
計	20		
設 備 関 係 支 出 (1個又は1組の価格が500万円未満のもの)			
教育研究用機器備品	346	教育研究用機器備品	346
図 書	0		0
計	346		346
研 究 ス タ ッ プ 関 係 支 出			
リサーチ・アシスタント	808		808
ポスト・ドクター	0		0
研究支援推進経費	0		0
計	808		808

年 度	平成 30 年度		
小 科 目	支 出 額	積 算 内 訳	
		主 な 使 途	金 額
教 育 研 究 経 費 支 出			
消 耗 品 費	1,955	消耗品費、用品費	1,955
光 熱 水 費	0		0
通 信 運 搬 費	0		0
印 刷 製 本 費	0		0
旅 費 交 通 費	2,405	旅費交通費、海外出張費	2,405
報 酬・委 託 料	4,160	その他の委託費、報酬手数料	4,160
(諸 会 費)	390	諸会費	390
(雑 費)	12	雑費	12
計	8,922		8,922
ア ル バ イ ト 関 係 支 出			
人 件 費 支 出 (兼 務 職 員)	362	アルバイト	362
教育研究経費支出			
計	362		362
設 備 関 係 支 出 (1個又は1組の価格が500万円未満のもの)			
教育研究用機器備品	0		0
図 書	0		0
計	0		0
研 究 ス タ ッ プ 関 係 支 出			
リサーチ・アシスタント	791		791
ポスト・ドクター	0		0
研究支援推進経費	0		0
計	791		791

主催:立教大学 共催:河合塾

立教リーダーシップカンファレンス2015

立教大学経営学部は
開設10周年を迎えました!

アクティブラーニングのためにリーダーシップ教育が必要な理由

近年、教育改革のキーファクターの1つとして広く取り上げられているアクティブラーニング。実は、アクティブラーニングを取り入れた授業の成功の如何は、そこに参加する学生・生徒のリーダーシップ行動に依存している。さらに言うならば、アクティブラーニング環境を作ることはリーダーシップ教育を施すこととほぼ同じことでもある。

本カンファレンスでは、米国・日本でのリーダーシップ教育の先進事例を紹介しつつ、アクティブラーニング型授業におけるその重要性についての理解を会場全体で共有する。

日時

8月22日(土) 9:55~18:00

場所

立教大学 池袋キャンパス 太刀川記念館

対象

大学・高校の教職員の方々

定員

100名

参加料

無料

当日のプログラム

時間	内容
9:30~	開場
9:55~10:10	【オープニング】 日向野幹也(立教大学 経営学部 教授)
10:10~12:20	【高校教育での先進事例】 SGHアソシエイト校としてのリーダーシップ育成の取り組み 新宮崇敬(立教新座高校 教諭) ジェネリックスキルの育成とリーダーシップ教育 成田秀夫(河合塾教育研究開発本部開発研究職) アクティブラーニングとリーダーシップ教育 小林昭文(産業能率大学 経営学部教授)・日向野幹也(立教大学 経営学部教授)
12:20~13:20	(休憩)
13:20~14:20	【特別講演】 ジョンスホプキンス大学工学部と学生部におけるリーダーシップ教育 ※同時通訳あり William Smedick(ジョンス・ホプキンス大学 工学部 リーダーシップ教育センター 上級専任講師) Eric Rice(ジョンス・ホプキンス大学 工学部 リーダーシップ教育センター 上級専任講師・修士課程主幹)
14:20~16:15	【大学教育での先進事例】 何を続け、何を变えるのか? 「ウェルカムキャン」 「リーダーシップ入門」の授業改善プロセス 日向野幹也・館野泰一・学生(立教大学BLP) 初年次リーダーシップ教育導入への合意形成 根岸毅宏(國學院大学経済学部長・教授)・学生 「リーダーシップ」をはぐむリフレクション・地方公立大学の正課体験学習から 和栗百恵(福岡女子大学 国際文学部 准教授) 体育会部員のリーダーシップ研修の効果測定 松岡洋佑(株式会社イノベスト代表)
16:15~16:30	(休憩)
16:30~18:00	【座談会】
18:00~18:30	【ラップアップ】 中原淳(東京大学 大学総合教育研究センター 准教授)
19:00~20:30	懇親会 ※別途会費を申し受けます

オープニング



日向野 幹也

立教大学経営学部教授、BLP/GLP主査、リーダーシップ研究所長、東京大学経済学部卒業、東京大学大学院社会科学部研究科、東京都立大学経済学部を経て2006年より現職。経済学博士(東京大学)。専門はリーダーシップ開発、リーダーシップ開発の少人数クラス多数並行・必修プログラムである経営学部BLPを2006年立ち上げから担当し、2013年度からは全学対象にも拡大(GLP)した。著書に『大学教育アントレプレナーシップ』(ナカニシヤ、2013年)など。

特別講演



William Smedick

ジョンスホプキンス大学 工学部 リーダーシップ教育センター 上級専任講師
教育学博士。ジョンスホプキンス大学でリーダーシッププログラム及び学生部長室の評価イニシアティブで主査を務める他、プログラム評価、教育課程デザイン及びプロフェッショナルコーチングのコンサルタントとしても活躍している。リーダーシップ教育に25年以上携わっており、同大学工学部のリーダーシップ教育センターでは、リーダーシップ理論や社会変革の先導について教えている。



Eric Rice

ジョンスホプキンス大学工学部 リーダーシップ教育センター 上級専任講師、修士課程主幹
教育社会学博士。25年以上に亘ってコンサルティング業務及びコミュニケーションスキルの教育に携わっており、多くのプログラム開発や教材開発を行っている。ジョンスホプキンス大学では紛争解決や人的資源など経営に関わる科目を開発・担当しており、現在は、同大学工学部Whiting Schoolのリーダーシップ教育センターで修士課程の主幹を務める。

ラップアップ



中原 淳

東京大学大学院 学際情報学府(兼任)。東京大学教養学部 学際情報科学科(兼任)。大阪大学博士(人間科学)。専門は経営学習論(Management Learning)。東京大学教育学部卒業、大阪大学大学院 人間科学研究科、メディア教育開発センター(現・放送大学)、米国・マサチューセッツ工科大学 客員研究員等をへて、2006年より現職。「大人の学びを科学する」をテーマに、企業・組織における人々の学習・コミュニケーション・リーダーシップについて研究している。

各大学・高校からの実践報告



新宮 崇敬

立教新座高校
教諭



成田 秀夫

河合塾
教育研究開発本部
開発研究職



小林 昭文

産業能率大学
経営学部 教授
河合塾教育研究開発機構
研究員
元・埼玉県立越谷高校教諭



館野 泰一

立教大学
経営学部
助教



根岸 毅宏

國學院大学
経済学部長
教授



和栗 百恵

福岡女子大学
国際文理学部
准教授

会場のご案内

立教大学 池袋キャンパス 太刀川記念館
東京都豊島区西池袋3-34-1

JR各線・東武東上線・西武池袋線・東京メトロ丸ノ内線、有
楽町線、副都心線「池袋」駅より下車。
西口より徒歩7分



太刀川記念館の位置

太刀川記念館へのアクセスは、立教大学HP内のキャンパスマップをご確認ください。

WEB: <http://www.rikkyo.ac.jp/access/ikebukuro/campusmap/>

お申込み方法 / お問い合わせ

【お申込み期間】 2015年7月15日(水) ~ 2015年8月20日(木)17:00

※定員100名になり次第、締め切りとさせていただきます。

【参加料】 **無料**

【懇親会費】 4,000円程度を予定

【お申込み方法】 下記WEBサイトよりお申し込みください。

WEB: <http://www.kawai-juku.ac.jp/info/active/>

【お問い合わせ】 河合塾教育研究部

電話:03(6811)5531 ※受付時間 : 土・日・祝日を除く平日10:00 ~ 17:00

e-mail : zemiryoku@kawai-juku.ac.jp

担当:野吾(やご)、石鍋

主催:立教大学 経営学部リーダーシップ研究所 立教大学 グローバル教育センター
共催:学校法人河合塾 教育研究開発本部

文部科学省私立大学戦略的基盤形成支援事業

立教リーダーシップカンファレンス2016

10代からのリーダーシップ教育

立教大学リーダーシップカンファレンス
10周年 及び
日本リーダーシップ学会設立記念

～高校、大学、企業でリーダーシップを育てる リーダーシップで育てる～

リーダーシップ研究開発に関して高大産の相互連携を目指してきた立教リーダーシップカンファレンスは今年、記念すべき10周年を迎えた。また、同じくしてリーダーシップに関する科学的解明とリーダーシップ育成プログラムについて研究者と実務家の意見交換と議論の深化のために一般社団法人日本リーダーシップ学会が設立された。本カンファレンスでは今後の社会に必要なリーダーシップについての見方を高校・大学・企業・行政の視点から紹介し、具体的なリーダーシップの開発手法についてワークショップを通じて会場全体で共有する。

日時

8月20日(土) 10:00～18:00

場所

立教大学 池袋キャンパス 太刀川記念館

対象

高校・大学・企業での教育関係者

定員

100名

参加料

無料

当日のプログラム

オープニング		第2部 -ワークショップ-	
10:00 ～10:05	【開会挨拶】 石川 淳(立教大学 経営学部長)	13:45 ～14:00	【第1部から第2部へのブリッジ】 館野 泰一(立教大学経営学部 助教)
10:05 ～10:20	【日本リーダーシップ学会設立報告】 水野 明哲(日本リーダーシップ学会 代表理事・会長、工学院大学 名誉教授・顧問)	14:00 ～14:30	【高校模擬授業と授業設計】 木村 裕美(東京都立駒場高等学校 主任教諭)
第1部 -講演-		14:30 ～15:00	【立教BLP/GLPの授業改善プロセスとデザイン】 館野 泰一(立教大学経営学部 助教)
10:20 ～11:00	【企業の求める人材像】 甲斐 博一(株式会社日本HP パーソナルシステムズ事業本部 パーソナルシステムズ・マーケティング部長)	15:15 ～17:00	【ワークショップ:10代から一貫したリーダーシップ教育を創る-高校・大学・企業で-】 中原 淳(東京大学准教授) 高橋 俊之(立教大学経営学部 特任准教授) 館野 泰一(立教大学経営学部 助教)
11:00 ～11:40	【大学のリーダーシップ教育 早稲田×立教】 田中 愛治(早稲田大学教授・GEC所長) 日向野 幹也(立教大学経営学部BLP/GLP主査、早稲田大学 大学総合研究センター(CHES)教授)	17:00 ～17:30	【質疑応答・ワークショップの振り返り】 館野 泰一(立教大学経営学部 助教)
11:45 ～12:25	【高校のリーダーシップ教育 都立高校新教科「人間と社会」】 小林 正人 (東京都教育庁指導部 高等学校教育指導課 統括指導主事)	クロージング	
12:30 ～12:45	【質疑応答】 館野 泰一(立教大学経営学部 助教)	17:30 ～18:00	【次の10年に向けてのロードマップ】 日向野 幹也 (立教大学経営学部BLP/GLP主査、早稲田大学 大学総合研究センター(CHES)教授)
19:00～20:30 懇親会 ※事前申込制 別途会費を申し受けます			

お申込み方法 / お問い合わせ

【お申込み期間】 2016年6月20日(月) 10:00～ 2016年7月31日(日)17:00

※定員100名になり次第、締め切りとさせていただきます。

【参加料】 無料

【懇親会費】 4,500円程度を予定(当日キャンセルは不可)

【お申込み方法】 下記WEBサイトよりお申し込みください。

WEB: <http://www.kawai-juku.ac.jp/info/leadership/>

【お問い合わせ】 河合塾 教育研究部

電話: 03(6811)5531 e-mail: zemiryoku@kawai-juku.ac.jp

※受付時間: 土・日・祝日・8/8～18を除く、平日10:00～17:00

主催:立教大学 経営学部リーダーシップ研究所/立教大学 グローバル教育センター
共催:一般社団法人・日本リーダーシップ学会/学校法人河合塾 教育イノベーション本部

文部科学省私立大学戦略的研究基盤形成支援事業

登壇者



甲斐 博一

株式会社日本HP パーソナルシステムズ事業本部 パーソナルシステムズ・マーケティング部長。

2001年、同社入社。グローバル環境の中でのマーケティング活動の傍ら、次世代育成におけるリーダーシップ教育にも関心を持ち、またICTを教育現場に日常化させたいという思いから、クライアント企業の担当者として立教大学経営学部BLPのプロジェクトに関わる。以降、実践的なPBLの機会として学生に提供するBLP Advancedなどの企画を主導されている。



田中 愛治

早稲田大学 政治経済学術院及び大学院政治学研究所・教授、早稲田大学 グローバルエデュケーションセンター・所長。

早稲田大学政治経済学部卒業、オハイオ州立大学で博士課程修了、政治学博士(Ph.D.)、世界政治学会(IPSA)会長。専攻は政治学・政治過程論・投票行動論・政治意識論。18年以上にわたり、早稲田大学政治経済学部教授を務める。同大学にて教務部長、理事を歴任され、2014年度より同大学グローバルエデュケーションセンター所長に就任。



日向野 幹也

早稲田大学 大学総合研究センター・教授、立教大学経営学部ビジネス・リーダーシップ・プログラム(BLP)・主査、立教大学グローバル・リーダーシップ・プログラム(立教GLP)・主査。

東京大学経済学部卒業、東京大学大学院博士課程修了、経済学博士。東京都立大学経済学部勤務ののち、2005年より立教大学教授。専攻はリーダーシップ開発。2006年に経営学部BLP。2013年には全学対象の立教GLPを創設。2016年度より早稲田大学でリーダーシッププログラムの立ち上げを行う他、立教大学でも引き続きBLP及び立教GLPの主査を務める。



小林 正人

東京都教育庁指導部高等学校教育指導課・統括指導主事。

専門は地理歴史科地理。都立高校で23年間地理等を担当。その後高等学校教育指導課で教育行政に携わり7年目に。主に進学対策やキャリア教育を担当。都の独自教科「人間と社会」の開発では、これからの社会を担う上で必要な力の設定やコンセプトの具体化に尽力された。



館野 泰一

立教大学 経営学部・助教。

青山学院大学文学部教育学科卒業、東京大学大学院学際情報学府博士課程単位取得退学後、東京大学大学総合教育研究センター特任研究員を経て、現職。博士(学際情報学)。大学と企業を架橋した人材の育成に関する研究をしている。著書に「アクティブランジョン 働くためのウォーミングアップ」(館野泰一・中原淳編)、「三省堂」等がある。



木村 裕美

東京都立駒場高等学校・主任教諭。

家庭科担当。都立高校教師歴は22年。定時制、職業高校、進学校と様々な高校を経験する中で、進路指導・キャリア教育に課題意識を深める。家庭科と総合的な学習を連携させたキャリア教育プログラムを実施している。リーダーシップ教育を高校でも導入し、主体的な学習ができる生徒の育成に尽力している。



中原 淳

東京大学 大学総合教育研究センター・准教授、東京大学大学院 学際情報学府(兼任)、東京大学教養学部 学際情報科学科(兼任)。

東京大学教育学部卒業、大阪大学大学院人間科学研究科、メディア教育開発センター(現・放送大学)、米国・マサチューセッツ工科大学客員研究員等をへて、2006年より現職。博士(人間科学)。専門は経営学習論・人的資源開発論。「大人の学びを科学する」をテーマに、若手育成・リーダー育成などの人材開発研究をおこなっている。



高橋 俊之

立教大学 経営学部・特任准教授。

一橋大学法学部卒業、ミシガン大学でMBA取得。情報機器系ベンチャー企業を経て、グローバルに入社。グローバル執行役員、グローバル・マネジメント・スクール統括責任者などを務め、2014年より現職。論理思考を用いたリーダーシップを研究テーマとしている。日経BPサイトにコラム「ロジカルシンキングの達人になる」を連載。

会場のご案内

立教大学 池袋キャンパス 太刀川記念館
東京都豊島区西池袋3-34-1

JR各線・東武東上線・西武池袋線・東京メトロ丸ノ内線、有楽町線、副都心線「池袋」駅より下車。
西口より徒歩7分



太刀川記念館の位置

太刀川記念館へのアクセスは、立教大学HP内のキャンパスマップをご確認ください。

WEB: <http://www.rikkyo.ac.jp/access/ikebukuro/campusmap/>

第 2 部: 研究成果報告

National Diversity and Team Creativity:

An Integrative Model and Proposition for Future Research*

Jun Ishikawa**

I Introduction

In an increasingly competitive global marketplace, companies must innovate to survive and prosper (e.g., Danneels, 2002; Pil and Cohen, 2006; Subramaniam and Youndt, 2005). Previous studies have shown that the innovative output of a company is linked to increased profitability, product quality, and market value (e.g., Cho and Pucik, 2005). Because innovation depends on the generation of creative ideas by employees, nurturing creativity is one of the most important ways for a company to ensure success (Amabile, 1983; Thompson, 2003; Van de Ven, 1986).

Since the early work of Osborn (1953), studies have shown that a team-based structure has been important in unlocking employee creativity. By facilitating interactions among a heterogeneous social group, a team-based structure can exploit the diverse knowledge, skills, and expertise of its members (e.g., Mohrman, Cohen, and Morhman Jr, 1995; Taggar, 2002; Tesluk, Farr, and Klein, 1997). This approach also stimulates crucial processes such as divergent and flexible thinking through exposure to different backgrounds, cognitive frameworks, and perspectives (Coser, 1975; Granovetter, 1982). In addition, many previous studies have suggested that communication and interaction within a diverse group of team members may intensify creativity, both by enabling new pathways of thinking and by preventing “groupthink” (e.g., Amabile, 1994; De

Dreu and West, 2001; Watson, Kumar, and Michaelsen, 1993).

Therefore, the diversity of teams warrants careful consideration by companies. Diversity refers to differences between individuals on any attribute that may lead to the perception that another person is different from one’s self (e.g., Jackson, 1992; Triandis, Kurowski, and Gelfand, 1994; Williams and O’Reilly, 1998). Nevertheless, the relationship between diversity and team creativity is unclear for two reasons: First, there have been few empirical studies conducted to examine it and, second, there is no model that logically explains the relationship because most previous research has regarded that relationship as “black box.” There is a need, therefore, to develop a rational model that can be used as a basis for empirical studies.

In order to develop such a model, it is necessary to refer to prior studies that examined the relationship between diversity and team performance; these studies, however, have failed to show a consistent relationship between the two. Some studies determined that diversity promotes task-related debate (e.g., Jehn, Chadwick, and Thatcher, 1997; Jehn, Northcraft, and Neale, 1999; Pelled, Eisenhardt, and Xin, 1999; Simons, Pelled, and Smith, 1999), high quality outcomes (e.g., McLeod and Lobel, 1992; Watson et al., 1993), and increased innovation (e.g., Ancona and Caldwell, 1992; Bantel and Jackson, 1989). Conversely, other studies showed that diversity resulted in an increase in destructive emotional conflict (e.g., Greer, Jehn, and Mannix, 2008; Hobman, Bordia, and Gallois, 2003; Jehn et al., 1997; Jehn et al., 1999; Pelled

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et al., 1999), decreased social integration (e.g., Harrison et al., 2002; Smith et al., 1994), and increased turnover (e.g., Jackson et al., 1991; O'Reilly, Caldwell, and Barnett, 1989; Wagner, Pfeffer, and O'Reilly, 1984). Meta-analytical integration has not been very successful in linking diversity with team performance (Bowers, Pharmed, and Salas, 2000; Webber and Donahue, 2001; Wood, 1987).

One of the reasons that prior studies have yielded inconsistent results is that most of them failed to include both the positive and the negative effects of diversity on team performance in their frameworks. Since it would appear that diversity is a double-edged sword, it is necessary to pay attention to both the positive and the negative effects in order to clarify the relationship between diversity and team performance. The other reason for inconsistent findings in previous research is that the dimensions of diversity have been misunderstood. Prior studies have focused on the dimensions of age, sex, education, function, and so on, but the relationship among these factors remains unclear because the effect of the each has been examined separately. Hence, the relationship between the dimensions of diversity and team performance has not been rationally developed.

One objective of this study is to develop a model of diversity linked to team creativity by integrating the results of prior studies. This includes organizing various kinds of diversity and classifying them, clarifying the positive and negative effects of diversity, and identifying the relationship between these effects and the antecedents of team creativity. This study also focuses on the national diversity. As part of their new product development efforts, many companies must incorporate customer needs, as well as the most advanced technologies, from around the world. To do so, these companies promote diversity by assembling teams in which members from diverse nationalities work collaboratively. Management of national diversity is an important challenge for most companies and something that many companies struggle with. By reviewing previous diversity research, this study offers propositions on the relationship between national diversity and team creativity.

II Diversity

Diversity research has focused primarily on gender, age, race/ethnicity, tenure, educational background, and functional background (Milliken and Martins, 1996; Williams and O'Reilly, 1998). The relationship among these elements, however, has not been clarified because each has been examined independently. After Williams and O'Reilly (1998) concluded in their review of the diversity literature that different types of diversity have different effects, some studies have categorized these forms of diversity. In this research, diversity has been categorized in two ways, looking first at relation-oriented diversity and task-oriented diversity (Jackson, May, and Whitney, 1995; Joshi and Roh, 2009), and then at surface-level diversity and deep-level diversity (Harrison, Price, and Bell, 1998; Harrison et al., 2002; Mohammed and Angell, 2004).

1 Relations-oriented Diversity and Task-oriented Diversity

Relations-oriented diversity attributes such as age, sex, ethnicity, and nationality are cognitively accessible, pervasive, and immutable. By contrast, task-oriented diversity attributes such as education, function, and tenure are linked to task-related skill, ability, and information. Previous studies have distinguished the two because the effect that each has is different within an organization.

Relations-oriented diversity is associated with social categorization processes (Fiske, 1998; van Knippenberg, De Dreu, and Homan, 2004). The process of social categorization may lead to the development of sub-groups within teams, manifesting in inter-subgroup bias and giving rise to inter-subgroup conflict. People tend to like and trust in-subgroup members more than out-subgroup members and thus tend to prefer to associate with in-subgroup members over out-subgroups (Brewer, 1979; Tajfel and Turner, 1986; Turner et al., 1987).

These negative attitudes toward others in the team may have negative performance consequences. The more heterogeneous the team, the lower

the commitment of team members (Riordan and McFarlane Shore, 1997; Tsui, Egan, and O'Reilly, 1992) and level of team cohesion (O'Reilly et al., 1989). In addition, more relational conflicts can be expected to occur (Jehn et al., 1999; Pelled et al., 1999), and there is likely to be higher member turnover (Wagner et al., 1984). Ultimately, based on social categorization, overall team performance is enhanced when teams are homogeneous rather than heterogeneous (Jehn et al., 1999; Murnighan and Conlon, 1991; Simons et al., 1999).

Meanwhile, task-oriented diversity is associated with skill-based and informational differences among team members (Jackson et al., 1995). These aspects of diversity are assumed to constitute a team's cognitive resource base and are associated with elaboration-based processes, defined as the exchange of information and perspectives among team members, individual-level information processing, gaining feedback, and integrating information and perspectives. This not only gives diverse groups a larger pool of resources, but may also have other beneficial effects. The need to reconcile conflicting viewpoints may force teams to more thoroughly process task-relevant information and may prevent them from opting too easily for a course of action on which there seems to be consensus. In addition, the exposure to diverging and potentially surprising perspectives may lead to more creative and innovative ideas and solutions (Ancona and Caldwell, 1992; Bantel and Jackson, 1989; De Dreu and West, 2001).

These elaboration-based processes explain the positive performance outcomes of work group diversity. Indeed, some previous studies found an association of diversity with increased task conflict (Jehn et al., 1999; Pelled et al., 1999) and higher performance and innovation (Bantel and Jackson, 1989; Cox, Lobel, and McLeod, 1991; Jehn et al., 1999).

In line with the above findings, some studies have suggested that relations-oriented diversity is related to negative team outputs while task-oriented diversity is related to positive team outputs (Brewer, 1979; Jehn, 1995; Jehn et al., 1999; Murnighan and Conlon, 1991; Pelled et al., 1999; Tajfel and Turner, 1986). Other research, however, has yielded contradictory

results, showing relations-oriented diversity to have a positive effect on performance (Cox et al., 1991) and diversity in task-oriented attributes resulting in negative performance consequences (Simons et al., 1999). Furthermore, meta-analyses by Bowers et al. (2000) and Webber and Donahue (2001) failed to support the proposition that diversity type moderated the effects of diversity on performance. These studies showed that neither relations-oriented diversity nor task-oriented diversity could be reliably linked to team performance.

One of the reasons that the results of some prior studies have not corresponded to expectations was oversimplification of the effects of each diversity type. Certainly, relations-oriented diversity significantly influences the social categorization process and task-oriented diversity significantly influences the elaboration process. It is possible, though, that each type of diversity has a different effect on these processes. Indeed, it has been suggested that relations-oriented diversity might be associated with informational differences (Cox et al., 1991; Tsui and O'Reilly, 1989), and that task-oriented dimensions, such as functional and educational diversity, might be associated with social categorization within the teams. Consequently, it is important to identify both the positive and the negative effects of each dimension of diversity in order to reconcile this contradiction.

2 Surface-level Diversity and Deep-level Diversity

Surface-level diversity is defined as differences in overt demographic characteristics among team members (Harrison et al., 1998; Milliken and Martins, 1996; Riordan and McFarlane Shore, 1997). These characteristics, including age, sex, and race/ethnicity, are often reflected in physical features. Almost immediately, individuals can make reasonable assumptions about the age, sex, or racial/ethnic background of someone and, therefore, of that person's similarity to themselves (Jackson et al., 1995). Most importantly, it is well established that individuals quickly use these characteristics to assign themselves and others to social classifications involving ascribed patterns of thought, attitudes, and behavior.

iors (e.g., Fiske, 2000).

The most commonly studied forms of diversity have been heterogeneity in age, sex, and race. The emphasis on those variables is perhaps owing to the ease with which researchers can measure them and group members can observe them, and the widespread belief that they are reasonable proxies for underlying psychological characteristics (Bantel and Jackson, 1989; Jackson, Stone, and Alvarez, 1993; Pfeffer, 1983; Tsui et al., 1992). Attention to those variables may also be driven by legislation prohibiting employment discrimination and mandating equal treatment without regard to race, sex, and age.

However, the effects of heterogeneity in these commonly studied characteristics have been inconsistent across studies. Some of this inconsistency may have arisen because the connection between overt demographic differences among employees and the less obvious, but important, attitudinal differences among them was weaker than has been assumed. Therefore, Jackson et al. (1995) and Milliken and Martins (1996) described diversity in both readily detectable attributes (e.g., race/ethnicity, sex, age) and underlying, deeper-level attributes (e.g., attitudes, values). Along the same lines, Harrison et al. (1998) differentiated between surface-level diversity and deep-level diversity in their research.

Deep-level diversity refers to differences among team members' psychological characteristics, including personalities, values, and attitudes (Harrison et al., 1998; Jackson et al., 1995). Clues to these latent individual differences are taken from members' interactions with one another as they unfold over time. Those clues are expressed in behavior patterns, verbal and nonverbal communication, and exchanges of personal information.

Notably, the theories marshaled by authors to support surface-level diversity effects say as much, if not more, about deep-level effects (Tsui et al., 1992). That is, presumed underlying differences between people in their attitudes, values, and personalities are the basis of similarity-attraction or fit paradigms, including social psychological theories about similarity in attitudes (e.g., Byrne, 1971; Newcomb, 1961) and organizational behavior theories

about similarity in values and personality (e.g., Schneider, 1987). People prefer to interact with others who have similar psychological characteristics, because that interaction verifies and reinforces their own beliefs, affect, and expressed behaviors (e.g., Swann, Stein-Seroussi, and Giesler, 1992). This form of attraction occurs even when attitudes are negative or when personality dimensions are dysphoric (Locke and Horowitz, 1990).

Although surface-level differentiation significantly influences social classification in the early stages of team development, the impact of perceived deep-level diversity on social integration will intensify as team members collaborate more (spend more time performing together.) Social categorization perspective supports the notion that in initial interactions, team members' categorization of one another is based on surface-level features (Berger, Rosenholtz, and Zelditch, 1980; Schneider, Goldstein, and Smith, 1995). Over time, however, as team members collaborate, they have more opportunities for the exchange of personal, idiosyncratic information, and larger samples of each other's behavior to observe (Gruenfeld et al., 1996). Consequently, surface-level diversity becomes less important and deep-level diversity becomes more important in determining team social integration over time. Indeed, Harrison and Mohammed showed that time neutralized, or made less important, the effects of surface-level diversity on team outcomes, and that it enhanced, or made more important, the effects of deep-level diversity.

This categorization-surface-level and deep-level diversity-contributes to diversity research by forcing researchers to focus on differences in psychological aspects, including attitudes, values, and personality. Before this, most research had paid attention only to the surface-level heterogeneity of teams. Nevertheless, this categorization has a serious drawback in that the majority of research in this categorization perspective equates surface-level diversity with demographical diversity (Harrison et al., 1998; Harrison et al., 2002; Mohammed and Angell, 2004).

For this reason, most research has focused on only the social categorization process between sur-

face-level diversity and team performance. Certainly, demographic differentiation is one of the most important aspects of surface-level differentiation. However, some studies pointed out that demographic diversity influences information elaboration (Homan et al., 2008; Kearney and Gebert, 2009; Kearney, Gebert, and Voelpel, 2009). This relationship dictates the need to also focus on the information elaboration process as a process that links surface-level diversity to team performance. In addition, there are other important forms of surface-level differentiation, such as functional, educational, and tenure differentiation, which team members can recognize in the early stages of team development. Harrison et al. (2002) included marital status as a form of surface-level diversity because it is both an overt and immediately recognizable demographic characteristic. In the same way, functional, educational, and tenure differentiation are overt characteristics that team members can assess in short-term collaboration.

3 Integrated Typology of Diversity

Categorization of relations-oriented and task-oriented diversity is conceptually independent from categorization of surface-level and deep-level diversity. The former focuses on whether diversity is associated with demography or task while the latter focuses on whether or not diversity is associated with psychological aspects. Although Harrison et al. (1998) focused on only the demographic aspects of surface-level diversity, surface-level diversity logically includes not only demographic diversity but also other overt forms of diversity. Indeed, Jackson et al. (1995) included education as a surface-level attribute.

When we assign relations-oriented and task-oriented diversity to the x-axis and surface-level and deep-level diversity to the y-axis, we can construct a four-quadrant diversity matrix, as shown in Figure 1. In the upper left quadrant are surface-level, relations-oriented diversity categories, including age, sex, race, and nationality diversity. Shown in the upper right quadrant are the surface-level, task-oriented diversity characteristics of functional, educational and tenure diversity. Values, personality, and

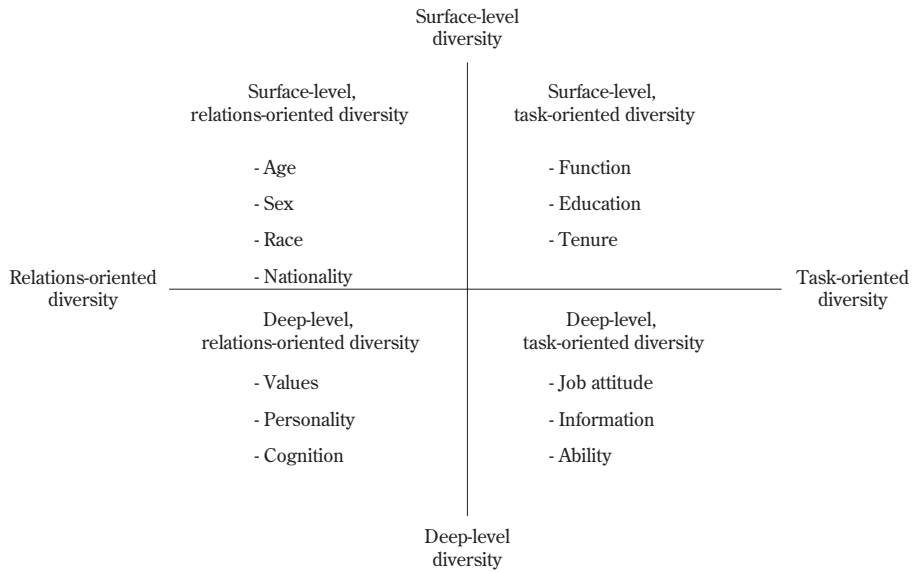
cognition are deep-level, relation-oriented diversity attributes, shown in the lower left quadrant, and job attitude, information, and ability are examples of deep-level, task-oriented diversity listed in the lower right quadrant.

To date, few studies have explored the areas of information or ability diversity. The exclusion of these forms of differentiation may be due to the difficulty with which they can be measured and/or to the belief that they are closely related to characteristics of surface-level, task-oriented diversity, such as function, education, and tenure. In fact, however, information and ability diversity are conceptually different from surface-level, task-oriented diversity. For example, it is possible that, in teams with low functional diversity and high national diversity, the diversity of regional marketing information would be high because team members are familiar with their respective nations' markets. This suggests that informational diversity is not only linked to surface-level, task-oriented diversity but can also be reasonably regarded as a type of deep-level, task-oriented diversity.

Previous research has considered national diversity, on which this study focuses, as a type of surface-level, relations-oriented diversity. Nationality is not linked directly to tasks, and is overt and easily recognizable. In business practice, national diversity is an important issue because it poses unique challenges for management in areas such as visas, pensions, housing environment, and so on. In addition, national diversity may be associated with the social categorization process, which influences team creativity. As such, it is important to pay attention to national diversity as a type of surface-level, relations-oriented diversity.

It is also possible that national diversity has a positive influence on team creativity as a deep-level, rather than a surface-level type of diversity. In addition to the overt, recognizable aspects of nationality, diversity in values, cognition, and information, which arises from national diversity, may also affect the creative performance of a team. It is important, therefore, to look at both surface-level, relations-oriented diversity and deep-level diversity when clarifying the relationship between nationality and

Figure 1 Diversity Matrix



creative performance.

III The Effects of Diversity on Team Performance

This section discusses the mediators and moderators between diversity and team performance on which previous studies have focused. A review of these studies aids in elucidating the mechanisms by which nationality influences team creative performance.

1 Surface-level, Relations-oriented Diversity

Many studies have focused on surface-level, relations-oriented diversity, looking primarily at team identity and task-related information elaboration as mediators. Kearney et al. (2009) showed that team identity and information elaboration mediates the relationship between age diversity and team performance. Age diversity positively influences team performance through team identity and information elaboration in such a way that age diversity promotes both team identity and information elaboration, and these foster team performance when team members' need for cognition is high. Likewise, Kearney and Gebert (2009) showed that age and national diversity positively influence information elaboration, which, in turn, positively influences

team performance. They found that collective team identification moderates the relationship between age and national diversity and information elaboration in such a way that age and national diversity positively influence collective team identification, which, in turn, positively influences information elaboration. Moreover, Kearney and Gebert (2009) showed that transformational leadership moderates the positive effect of age and national diversity on information elaboration and collective team identification. Nederveen Pieterse, Van Knippenberg, and Van Dierendonck (2013) found that information elaboration mediates the relationship between national diversity and team performance. Further, they found that learning approach and performance avoidance orientation moderate the relationship between national diversity and information elaboration. In their study, when learning approach orientation in the teams was high and performance avoidance orientation was low, the relationship between national diversity and information elaboration tended to be strong. Harrison et al. (2002) identified age, race, and marital status as negatively influencing team performance through perceived surface-level diversity, which was the overall perception of the team's diversity of age, sex, race, and social integration. Actual diversity of age, race, and marital status positively influenced perceived diver-

sity, which, in turn, negatively influenced team performance in such a way that perceived surface-level diversity promoted team social integration that reduced team performance. Moreover, Harrison et al. (2002) identified interaction time as having a moderating effect on the relationship between perceived surface-level diversity and social integration in such a way that the longer the interaction time, the weaker the association between them was. As Harrison et al. (2002) showed, interaction time is one of most important moderators between diversity and outcome. Watson et al. (1993) further demonstrated that interaction time has a moderating effect on the relationship between national and ethnic diversity and team performance. Initially, teams similar in nationality and ethnicity scored higher on team performance than teams that were more nationally diverse. However, by week 17, the differences in performance had disappeared. Moreover, the diverse team showed superiority in some kinds of performance. The diverse teams became more effective at identifying problem perspectives and generating solution alternatives. Harrison et al. (1998) also showed the moderating effect of interaction time, finding that the negative impact of sexual diversity on team cohesion weakens as interaction time increases. Acar (2010) determined that interaction time moderates the association between perceived surface-level diversity and emotional conflict, and found a negative association between perceived surface-level diversity and emotional conflict in the beginning and at the end of team interactions. Acar (2010) also found that shared leadership moderates the association between perceived surface-level diversity and emotional conflict.

In addition to the variables mentioned above, other moderators were explored in earlier studies. Gonzalez and DeNisi (2009) found that the association between sexual and racial diversity and organizational performance is moderated by the organizational diversity climate. The association between gender diversity and productivity is an inverse U-shape when the organizational diversity climate is supportive, but U-shaped when it is unsupportive. Meanwhile, racial diversity was found to be negatively associated with productivity under unsup-

portive organizational diversity conditions, but positively associated in a more favorable environment. Richard et al. (2004) found that the effects of sexual and racial diversity were moderated by a firm's risk tolerance, so that the higher the risk tolerance, the stronger the relationship between sexual diversity and firm performance. A U-shaped relationship was also seen between racial diversity and firm performance, so that the relationship was stronger when a firm's innovation orientation was higher. Chatman and O'Reilly (2004) determined that the reaction to sexual diversity is different between men and women. In their research, women expressed greater likelihood to leave homogeneous teams than did men, even though women working in all-female teams expressed greater commitment, positive affect, and perceptions of cooperation.

Additional research can be found that has shown interaction effects between diversity and other factors. Homan et al. (2008) identified the interaction effect between sexual diversity and team members' openness to experience, which was one of five classifications of personality known as the Big Five of personality. Sexually diverse teams with higher levels of openness to experience performed better than sexually diverse teams with lower levels of openness to experience. Van der Vegt and Janssen (2003) found a three-way interaction between task interdependence, goal interdependence, and demographic diversity. In teams with high levels of demographic diversity, as measured by sex, age, and ethnicity, task interdependence was strongly and positively related to innovative behavior for individuals who perceived high levels of goal interdependence, and unrelated to innovative behavior for those who perceived low levels of goal interdependence.

2 Surface-level, Task-oriented Diversity

In studies of surface-level, task-oriented diversity, team identity, information elaboration, and information sharing have been widely viewed as mediators between diversity and team outcomes. Bunderson and Sutcliffe (2002) examined the effects of functional diversity on unit performance in business unit management teams, differentiating between

dominant function diversity and intrapersonal functional diversity. Dominant function diversity was defined as the diversity of functional experts on a team whereas intrapersonal diversity was the aggregate functional breadth of team members. Their analysis showed that dominant function diversity negatively influences information sharing, which, in turn, positively influences unit performance. By contrast, intrapersonal function diversity positively influences information sharing which promotes unit performance. Kearney et al. (2009) showed that educational diversity and age diversity promote collective team identification and information elaboration, which foster team performance. In addition, Kearney et al. (2009) showed that a team's need for cognition moderates the association between educational diversity and both collective identification and information elaboration. In Kearney and Gebert (2009) study, national diversity was shown to have a positive influence on team performance through collective team identification and information elaboration. Collective team identification mediated the relationship between educational diversity and information elaboration, and transformational leadership moderated the relationship between educational diversity and collective team identification.

Jehn and Bezrukova (2004) found that the effects of functional and educational diversity are moderated by business strategy and human resource management (HRM). Teams with high levels of educational diversity are likely to perform better in departments that pursue growth-oriented business strategies and worse in environments with an emphasis on training- and diversity-oriented human resource practices. Van Der Vegt, Van De Vliert, and Xu (2005) found that power distance moderates the effects of tenure and background diversity on the climate of innovation at organizational locations of multinational firms. In their study, tenure and functional background diversity were negatively related to innovation climate in high-power-distance countries, but positively related to innovation climate in low-power-distance countries.

3 Deep-level, Relation-oriented Diversity

Shin, Kim, Lee, and Bian (2012) found that team members' creative self-efficacy moderates the relationship between cognitive team diversity and individual creativity. Cognitive team diversity refers to perceived differences in thinking styles, knowledge, skills, values, and beliefs among individual team members¹. The effect of cognitive diversity on individual creativity is positive when the creative self-efficacy of team members is high. Moreover, they found that transformational leadership moderates the relationship between cognitive team diversity and individual creativity in such a way that cognitive team diversity is positively related to individual creativity only when transformational leadership is high.

Mohammed and Nadkarni (2011) revealed that team temporal leadership moderates the relationships between time urgency diversity and team performance and the relationship between pacing style diversity and team performance, where the impact of time urgency and pacing style diversity on team performance is more positive under conditions of stronger team temporal leadership. Team temporal leadership also has a direct, positive influence on team performance.

Van der Vegt and Janssen (2003) identified three-way interaction effects of cognitive diversity, task interdependence, and goal interdependence on individual innovative behavior in the teams². In highly cognitively diverse teams, task interdependence was strongly and positively related to innovative behavior for individuals who perceived high levels of goal interdependence, and unrelated to innovative behavior for those who perceived low levels of goal interdependence.

4 Deep-level, Task-oriented Diversity

Harrison et al. (1998) showed that interaction time moderates the link between diversity in overall satisfaction and group cohesion, finding that the initial negative impact of overall satisfaction diversity on cohesiveness is enhanced as team members spend more time interacting. Harrison et al. (2002) also showed the impact of deep-level diversity on

team performance. The actual diversity of task meaningfulness and outcome importance influences perceived deep-level task-oriented diversity, which is the members' overall perception of the diversity of the team's task-related values, personality, and attitudes³. Perceived deep-level task-oriented diversity negatively influences social integration, which positively influences team performance, and interaction time moderates the relationship between perceived deep-level task-oriented diversity and social integration in such a way that the longer the interaction time is, the stronger the negative effect of perceived deep-level task oriented diversity is.

Acar (2010) indicated that perceived deep-level diversity is positively associated with emotional conflict in the middle of team interaction. In this study, perceived deep-level diversity was the same as the one in Harrison et al. (2002). This association between perceived deep-level diversity and emotional conflict in the middle of team interaction is moderated by shared leadership in the teams.

Martins et al. (2013) identified the moderating effect of psychological safety and relationship conflict on the association between expertise and expertness diversity and team performance. Expertise diversity is the variation within the team in the types of knowledge, skills, and capabilities team members possess owing to education, experience, and natural ability. Expertness diversity, on the other hand, is the extent to which team members differ in their level of expertise at performing the team's tasks. When team psychological safety is lower, expertise diversity is negatively associated with team performance, while expertness diversity is positively related. When team relationship conflict is lower, expertness diversity is more positively related to team performance. Martins et al. (2013) consider expertise and expertness diversity to be examples of surface-level, task-oriented diversity, but also regard them as constructs of deep-level task-oriented diversity.

The literature review indicates that previous studies have identified only a few mediators of the relationship between diversity and team outcomes, as compared with moderators. The most important

mediators that have been identified are emotional conflict and information elaboration, the former coming from a social categorization perspective and the latter from an information processing perspective. Whereas team performance is negatively influenced by emotional conflict, it is positively affected by information elaboration. The next step, then, is to examine the influence of emotional conflict and information elaboration on team creativity. To do so, it is necessary to look at the antecedent factors of creativity, and to clarify the association of emotional conflict and information elaboration with these antecedents.

IV Antecedent Factors of Team Creativity

In creativity literature (Amabile et al., 1996; Shalley, Zhou, and Oldham, 2004), team creativity is most often defined as the production of novel and useful ideas concerning products, services, processes, and procedures by a team of employees working together. According to this definition, creativity is different from innovation in that creativity emphasizes the production of ideas, whereas innovation primarily involves implementing new ideas throughout an organization (Amabile, 1983; Oldham and Cummings, 1996).

Amabile's (1983, 1996) componential model of individual creativity predicts that domain-relevant skills, creativity-relevant processes, and task motivation, are important elements of individual creativity, and that there are individual differences in the levels of the three components. Mounting empirical evidence suggests that individuals are more creative when they possess higher levels of these components (Conti, Coon, and Amabile, 1996; Ruscio, Whitney, and Amabile, 1998).

"Domain-relevant skills" refers to the ability to learn certain types of domain-specific knowledge (Amabile, 1996). Domain-relevant skills require familiarity with the domain in question, including memory of factual knowledge, technical proficiency, opinions about various questions in the domain, knowledge of paradigms, performance scripts for solving problems in the domain, and aesthetic crite-

ria (Ruscio et al., 1998). Therefore, domain-relevant skills represent an individual's depth and breadth of information related to the problems to be solved.

Creativity-relevant processes refer to the flexibility with which cognitive pathways are explored, the attention given to particular aspects of the task, and the extent to which a particular pathway is followed in pursuit of a solution (Amabile, 1996). Creativity-relevant processes are associated with a cognitive style favorable to taking new perspectives on problems, an application of heuristics for the exploration of new cognitive pathways, and a working style conducive to persistence (Amabile, 1983, 1996).

Task motivation is linked to the amount and persistence of effort. Amabile (1994) found that intrinsically motivated people show greater commitment and devote more time to task completion. Ruscio et al. (1998) found that behavior related to involvement in the task is associated with intrinsic motivation. Motivated individuals show deep levels of involvement in problems by focusing on solving them, minimizing distractions, and being absorbed in work (Ruscio et al., 1998).

Although it has been posited that individual creativity contributes to team creativity (Woodman, Sawyer, and Griffin, 1993), team creativity is not simply the average of individual creativity, it is the product of social influences arising from the creative acts of individuals (Drazin, Glynn, and Kazanjian, 1999; Morgeson and Hofmann, 1999). Unlike individual creativity, however, the mechanism of creativity that is peculiar to teams has not been clearly theorized and demonstrated. Therefore, most studies of team creativity have applied a three components model to team level factors.

The domain-relevant skills of teams represent the teams' depth and breadth of information related to the problem to be solved. In order to create new ideas, new combinations or new interpretation of existing information is required. The more the information is relevant to the problem, the greater the chance is that such combinations and interpretation will occur. The creativity-relevant processes of teams represent teams' cognitive flexibility, meaning the ability of team members to view problems differently, redefine problems, and combine

previously unrelated information into something new and better (Mumford and Gustafson, 1988). In order to increase the chances for new combinations and interpretation of information, cognitive flexibility is necessary. Task motivation refers to a team's goal orientation, meaning the collective motivation of team members to achieve team goals. Each member of the team has to commit to the team's goal because each member has to search for and gather new information, exchange information, and interpret and combine diverse information (Gong et al., 2013). Collective task motivation is necessary for directing individual efforts toward the goal of team creativity.

Based on this discussion of team creativity, it is now important to clarify the relationship between national diversity and the components of the team—the team's depth and breadth of information related to goal achievement, its cognitive flexibility, and its goal orientation. To do so, it is necessary to identify the factors that mediate the relationship between the three components. Given that diversity is a double-edged sword, it is possible that there are two types of mediators: those having a positive impact and those having a negative impact.

V Proposition for National Diversity

As discussed earlier, nationality is categorized as a surface-level, relation-oriented diversity. Nationality is also strongly connected to social category, and differentiation by nationality can generate multiple social sub-groups within a team. These social sub-groups have strong social identification and differentiate between in-group members and out-group team members, reducing inter-group communication and cooperation. This differentiation may also lead to bias among sub-groups. These effects can cause emotional conflict, which will have a negative impact on team creativity.

Proposition 1: National diversity increases emotional conflict, which negatively affects team creativity.

Although nationality is classified as a type of surface-level, relations-oriented diversity, it is also re-

lated to elements of deep-level, relations-oriented diversity, such as values and cognitive diversity. Members of national identity groups share certain worldviews, sociocultural heritages, norms, and values (Cox, 1993; Ely and Thomas, 2001; Worchel, 2005). Therefore, people from different national backgrounds might have different values and cognition, such as belief structures, priorities, perceptions, and assumptions about future events (Cox and Blake, 1991; Ely and Thomas, 2001; Hall, 1976; Hambrick, 2007; Maznevski, 1994; Pelled et al., 1999; Tsui and O'Reilly, 1989). Accordingly, teams consisting of members of different nationalities will have diverse values and cognition represented in the team. For example, Hofstede (1991) indicated that time orientation, one dimension of culture, is different across nations. Members of nations with a long-term orientation tend to emphasize persistence whereas members of nations with short-term orientations tend to emphasize quick results. This suggests that the value of time, which influences time urgency and pacing style, differs by nation.

It is likely that value and cognitive diversity cause emotional conflict among team members. Differences in time urgency and pacing style among team members will lead to frustration, while differences in values may lead to bias or prejudice. These differences may strengthen social identity inside a subgroup, but will impede communication and cooperation among team members, eventually leading to emotional conflict between sub-groups.

Proposition 2: National diversity has a positive influence on value and cognitive diversity, which positively influence emotional conflict, and emotional conflict negatively influences team creativity.

In contrast to the above proposition, value and cognitive diversity might positively affect cognitive flexibility in teams. Different value and cognitive frameworks bring alternative perspectives for problem solving, allowing team members to understand issues from multiple points of view. Being confronted with different values and cognition may allow team members to see how these additional perspectives can lead to more effective problem solving. In addition, value and cognitive diversity can lead to

constructive criticism that can facilitate vigilant problem solving, an approach that Janis (1982) recommends for making important decisions. If group members fail to criticize each other's ideas because they are too concerned about maintaining unanimity, they may overlook important details, succumbing to groupthink (Janis, 1982). Indeed, Pelled et al. (1999) showed task conflict to have positive effects on team performance.

High cognitive flexibility has a positive impact on information elaboration. Members of such teams know the importance of multiple perspectives and constructive criticism and are open to sharing, exchanging, combining, and integrating information, which is the definition of information elaboration. By allowing diverse perspectives to promote the possibility of new combinations or new understanding of existing information, elaboration of information positively influences team creativity.

Proposition 3: National diversity positively influences value and cognitive diversity, which have a positive impact on information elaboration; information elaboration then positively influences team creativity.

National diversity also influences information diversity which is categorized as a type of deep-level, task-oriented diversity. Usually, members have information peculiar to their own nations related to customer needs, competitors, suppliers, regulations, HRM practices, and so on. By comparison, technical information is less nation-specific, although each nation has a competitive advantage or expertise in some technical area. Acquiring technical information is also different from nation to nation because the network of technology experts is specific to each country. If team members have different information from one another, the team's depth and breadth of information increases.

Because creativity requires the availability of a wide array of information, the depth and breadth of information has a positive impact on team creativity. New knowledge is created by new combinations of or new perspectives on existing information. Therefore, the possibility of knowledge creation increases when teams have deep and broad information, which serves as a base for knowledge creation.

Proposition 4: National diversity positively influences information diversity, which in turn positively influences team creativity through the depth and breadth of information; the depth and breadth of information positively influences team creativity.

Diverse information gives teams more alternatives for problem solving, but differences in information may give rise to conflict and dissent. Faced with the need to solve these conflicts and reconcile opposing information, team members may engage in more elaborate processing of information and search for more creative solutions than would be the case in the absence of conflict and dissent.

Proposition 5: National diversity positively influences information diversity, which positively affects the elaboration of information, and the elaboration of information positively influences team creativity.

VI Discussion

This study was intended to theorize the relationship between national diversity and team creativity by organizing and integrating the results of prior research. Because there is limited research on national diversity, besides studies on national diversity, this study even reviews other types of diversity studies, which can provide insight into the issue of national diversity.

A review of previous studies revealed four dimensions of diversity: surface-level relation-oriented diversity; surface-level task-oriented diversity, deep-level relation-oriented diversity, and deep-level task-oriented diversity. According to this categorization, national diversity falls under surface-level relation-oriented type of diversity. National diversity directly influences team creativity when it serves as surface-level diversity, and it influences creativity through deep-level diversity. National diversity positively influences value and cognitive diversity, which are elements of deep-level relation-oriented diversity, which, in turn, negatively influences team creativity. Moreover, national diversity positively influences information diversity, which is a form of

deep-level task-oriented diversity, which, in turn, positively influences team creativity.

This study identified the mediators between deep-level diversity and team creativity: emotional conflict, depth and breadth of information, and information elaboration. Value and cognitive diversity may have positive impacts on both emotional conflict and information elaboration, whereas information diversity may positively influence both depth and breadth of information, and information elaboration. Team creativity is negatively influenced by emotional conflict, but positively impacted by depth and breadth of information, and information elaboration. These findings suggest that national diversity can have contradictory effects on team creativity through these mediators.

This study contributes to the existing diversity research in two ways. First, it organized and integrated previous diversity studies into categories that were proposed by some prior studies. By using this categorization, the contribution of this study to the field will be apparent, as will the areas in which research is still needed. Second, this study clarifies the mechanism of the relationship between national diversity and team creativity by identifying the mediators between them. Most of the studies so far have suggested a significant relationship between national diversity and team creativity, but few of those studies verified that relationship and none of them theorized the mechanism of it. This study provides insight into this “black box” by identifying the contradictory effects of national diversity, which will benefit future research on the topic.

This study also contributes to management practices in global organizations. Many companies are recognizing the need to leverage the diversity of their employees to sustain their competitive advantages in a global marketplace (Offermann and Gowing, 1990; Thomas and Ely, 1996; Yaprak, 2002). Specifically, the increased occurrence of organizations operating across national boundaries and the embracing of national diversity as a business strategy represent a variety of recent trends. The convergence of these trends virtually ensures that the membership of teams, functioning within the context of domestic and non-domestic organizations,

will become more nationally diverse (e.g., Nahavandi, 2003; Schaubroeck and Lam, 2002). The challenges created by these trends are difficult to translate into solutions for managers and team leaders who are faced with the day-to-day supervision of diverse groups. Company leaders often presume that greater diversity will automatically lead to (often unspecified) benefits while ignoring the complicated issues of managing diverse teams (Kersten, 2000; Shaw and Barrett-Power, 1998). In fact, most companies are struggling with the issue of diversity management because they are trying to implement it without the support of theoretical models outlining the relationship between national diversity and team creativity. This study provides a theoretical model for identifying that relationship. If managers encourage depth and breadth of information and information elaboration, which positively influence creativity, and minimize emotional conflict, which has a negative impact on creativity, they can fully realize the benefits of national diversity.

In spite of these contributions, this study has limitations, the most serious one being the failure to identify the moderators between national diversity and team creativity.

Van Knippenberg et al. (2004) indicated that a "main effects" approach has limitations for diversity research and argued that it is impossible to understand the effects of diversity without taking moderators into account (Pelled et al., 1999). Some moderators, such as team climate, leadership, task characteristics, and faultline activation, significantly influence the effects of diversity. Therefore, it will be important in future research to construct a theoretical model that integrates the mediators and moderators of national diversity and team creativity.

Notes

1 Obviously, cognitive diversity in Shin et al. (2012) included differentiation of task-oriented factors. However, cognitive diversity was measured using four items, which included the extent to which the members of the work group differed in their way of thinking, in their knowledge and skills, in how they viewed the world, and in their beliefs about what is right and wrong. Most of them were not task-oriented. Hence, I regard cognitive diversity in

Shin et al. (2012) as deep-level, relation-oriented diversity.

- 2 I regard cognitive diversity in Van der Vegt and Janssen (2003) as deep-level, relation-oriented diversity for the reason given above.
- 3 Harrison et al. (2002) included attitudes about school and education in perception of deep-level diversity. Therefore, perception of deep-level diversity in this study is not completely equal to deep-level, task-oriented diversity. However, most factors related to overall perception of diversity are task-oriented ones. Further, the actual diversity of task meaningfulness and outcome importance, which are task-oriented diversities, influences perceived deep-level diversity. Accordingly, I regard deep-level diversity in this study as deep-level, task-oriented diversity.

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Firm-level Factor versus National Institutional Difference: Ownership Structure in a Foreign Subsidiary of a Japanese Logistics Firm*

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Contents

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Abstract

When a firm undertakes foreign direct investment, it must determine the level of ownership in its foreign subsidiary. This study examines the determinants of the ownership strategy of a Japanese logistics firm from the perspective of international business studies (IB). The study focuses on firm-level factors, including “contributed assets” for shaping firm-specific advantage which a parent firm possesses, “complementary assets” which such firm may need to acquire in a foreign country, and international experience. It also analyzes country-level factors including the institutional difference between a home country and a host country. The study conducts a Tobit regression analysis on the relationship between such factors and the equity ownership level in a foreign subsidiary based on the data-sets of Japanese logistics firms.

Key Words : Ownership Strategy, Foreign Subsidiary, Firm-Specific Advantage, International Experience, Institutional Difference

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I. Introduction

When a firm undertakes foreign direct investment by creating a foreign subsidiary, it must make decisions about its level of ownership in the subsidiary. The ownership strategy is the most important among various strategic decisions regarding foreign subsidiaries because it relates to effective control and governance of the foreign subsidiary and to its subsequent performance.¹⁾ If the firm desires a higher level of ownership, it may create a wholly-owned subsidiary; if it desires a lower level of ownership, it may opt to create a joint venture.

Firms in both the manufacturing and service industries have shown a dramatic increase in their levels of foreign direct investment. Logistics firms are no exception. As Figure 1 shows, Japanese logistics firms that are members of the Japan International Freight Forwarders Association increased their foreign subsidiaries between 1981 and 2011.²⁾ Furthermore, their ownership strategies are more diversified. Some of these firms pursue a higher level of equity ownership in their foreign subsidiaries, while others opt for joint ventures with a lower level of equity participation. The firms also pursue different strategies according to different countries.

Few studies have explored the international ownership strategies of logistics firms with respect to foreign subsidiaries. Yet, logistics firms have been fast internationalizing themselves along the dramatic development of globalization of business. Their internationalization strategies, and especially their foreign ownership strategies, thus offer an important research opportunity to investigate whether logistics firms exhibit similar or different patterns of international business strategy compared with those of manufacturing firms and other services firms.

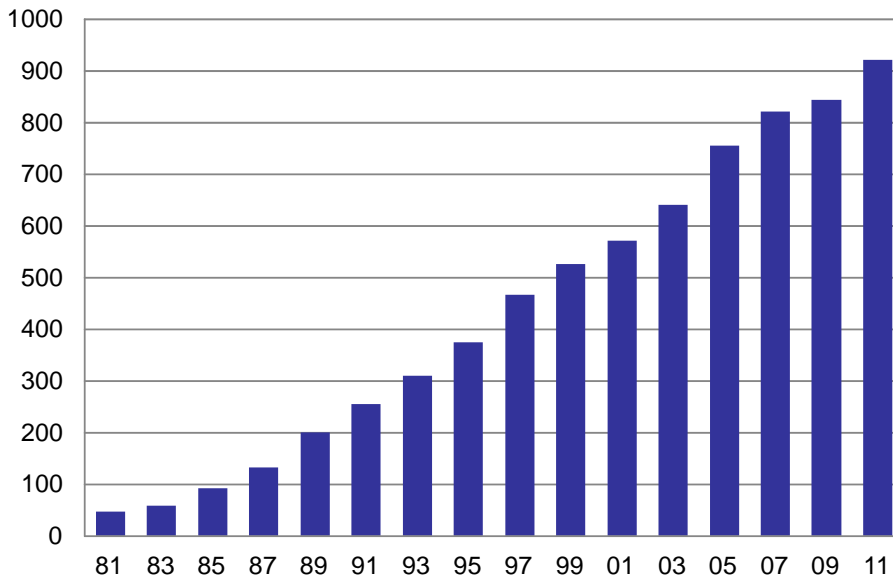
This study examines the ownership strategy of foreign subsidiaries of Japanese logistics firms from the perspective of international business studies (IB). The study focuses on both firm-level and host-country-level factors as determinants of the ownership strategy. The study conducts a Tobit regression analysis regarding the relationship between firm-level and host-country-level factors, on the one hand, and equity ownership levels of

1) Delios and Beamish(1999)

2) Japan International Freight Forwarders Association(2012)

foreign subsidiaries, on the other, based on data from more than 20 Japanese logistics firms and approximately 300 foreign subsidiaries.

<Figure 1> The number of foreign subsidiaries established by Japanese logistics firms that are members of Japan international freight forwarders association between 1981 and 2011



Source: Japan International Freight Forwarders Association (2012)

II. Contributed Assets

According to Buckley³⁾ and Peng⁴⁾, the main research themes in IB are “explaining the flows of foreign direct investment (FDI), explaining the existence, strategy and organization of multinational enterprises (MNEs), and understanding and predicting the development of the internationalization of firms and the new development of globalization.”⁵⁾ The decisions regarding firms’ foreign market entry mode strategies and their ownership strategies in foreign subsidiaries constitute one of the popular subjects in IB. Many theoretical and empirical studies have

3) Buckley(2002)

4) Peng(2004)

5) Buckley(2002), p.365.

illustrated significant implications for corporate managers who develop and implement international strategy. Certain studies have identified the following three firm-level factors with respect to the ownership level in a foreign subsidiary as important: contributed assets, complementary assets, and international experience.⁶⁾

Contributed assets are firm-specific assets and resources that a parent firm considers critical to the success of its foreign subsidiary because they are the source of competitive advantages according to the resource-based view, and these assets are transferred to the subsidiary.⁷⁾ Contributed assets may range from a strong global brand and technology to general management capabilities, enterprise IT infrastructure, and human resources.⁸⁾

There are three core contributed assets that are considered to be specific to a logistics firm. First is information-related resource enabling a logistics firm to track and trace shipment information that may be integrated into a customer's information system.⁹⁾ Many prior studies have noted that information-related resources exert the most significant impact on the strategic decisions of firms.¹⁰⁾ Shang and Marlow¹¹⁾ note that "IT capability is viewed as a catalyst to avoid supply chain management failure. It can improve services and reduce costs simultaneously, and significantly influences overall logistics competency." Second is human resource that consists of highly skilled and motivated people.¹²⁾ "Human resources (HR) are critical logistics resources since the logistics service is a "people" oriented business."¹³⁾ Such resource gives significant impact on the quality and responsiveness of service and client satisfaction.¹⁴⁾ Moreover, highly skilled and motivated people contribute to the development of trust and confidence in an organization.¹⁵⁾ Third is knowledge that consists of technical expertise, market knowledge, and

6) Lu(2002); Delios and Beamish(1999); Anderson and Gatignon(1986); Bouquet et al.(2004); Chen and Hennart(2002); Gomes-Casseres(1990); Makino and Neupert(2000); Hennart(1991); Dikova and Witteloostuijn(2007); Chan and Makino(2007); Hennart and Larimo(1998)

7) Lu(2002); Delios and Beamish(1999); Peteraf(1993); Barney(1991)

8) Lu(2002); Delios and Beamish(1999)

9) Wong and Karia(2010)

10) Wong and Karia(2010); Myers et al.(2004); Bienstock et al.(2008); Shang and Marlow(2005); Karia and Wong(2013); Persson and Virum(2001)

11) Shang and Marlow(2005), p.219.

12) Wong and Karia(2010); Myers et al.(2004)

13) Wong and Karia(2010), p.54.

14) Wong and Karia(2010); Myers et al.(2004); Barney(1991)

15) Wong and Karia(2010)

managerial experience.¹⁶⁾ Knowledge is highly firm-specific because it encompasses human capital and organizational routine.¹⁷⁾ Knowledge can integrate corporate technologies and skills and develop inimitable capabilities.¹⁸⁾

These contributed assets in the context of the logistics firm are unique and proprietary in nature.¹⁹⁾ A parent firm may face difficulty in transferring these assets beyond the organization itself.²⁰⁾ Attempting to transfer contributed assets to foreign operations may accompany hazard.²¹⁾ Such assets may not be easily exploited in other contexts.²²⁾ A logistics firm may also encounter difficulty in pricing these types of assets in a joint venture not only because of their proprietary and asset-specific characteristics but also because of difficulty in disclosing information for fear of losing trade secrets when a joint venture fails.²³⁾ Consequently, a logistics firm possessing more contributed assets has a substantial incentive to choose a higher level of ownership and control in a foreign subsidiary. Accordingly, we set up the following hypothesis:

Hypothesis 1: A logistics firm with a higher level of contributed assets tends to choose a higher level of ownership in its foreign subsidiary.

III. Complementary Assets

The second firm-level factor is the complementary assets. When a firm enters a foreign market and transfers firm-specific assets and resources to an overseas subsidiary, the subsidiary may need host-country-related new assets that a locally operating firm could provide, such as local knowledge and a particular set of capabilities that are specific to the targeted host-country market.²⁴⁾ These new assets that “complement” contributed assets are indispensable to gain the benefits which have relation with

16) Wong and Karia(2010)

17) Wong and Karia(2010); Bouquet et al.(2004)

18) Wong and Karia(2010); Yang et al.(2009); Olavarrieta and Ellinger (1997); Lai(2004)

19) Peteraf(1993); Anderson and Gatignon(1986); Wong and Karia(2010)

20) Anderson and Gatignon(1986); Barney(1991)

21) Bouquet et al.(2004); Brouthers and Brouthers(2003)

22) Erramilli and Rao(1993)

23) Grant(1987); Lu and Beamish(2004); Endo and Ozaki(2011)

24) Delios and Beamish(1999)

strategy, technology, and innovation.²⁵⁾ Complementary assets include local market intelligence, distribution channels, and insight into local cultural aspects of business practices.²⁶⁾ These new complementary assets are usually location- and function-specific.²⁷⁾ As such, they may not be efficiently traded in the market.²⁸⁾ Therefore, it may be difficult for a firm to acquire complementary assets. A higher level of transaction cost in procuring complementary assets in the market encourages firms to acquire such assets by choosing a lower level of ownership and forming joint ventures.²⁹⁾ Alternatively, a firm may wish to acquire complementary assets by establishing a wholly-owned subsidiary through the full-acquisition or replication of an existing firm.³⁰⁾

The previous studies suggest that a joint venture may be more appropriate than full-acquisition or replication for the following three reasons. First, complementary assets tend to be location-specific and culturally sensitive.³¹⁾ Consequently, if a firm pursues a high level of ownership, it may be faced with difficulties in managing the acquired firm.³²⁾ Accordingly, a firm may prefer to choose a joint venture rather than a wholly-owned subsidiary, particularly a replicated one, even if it may gradually increase the ownership level as the subsidiary has matured.³³⁾ Second, a firm may be able to reduce its risk and launch a large investment by forming a joint venture.³⁴⁾ Third, management and employee morale may not be weakened in the case of joint venture compared with full-acquisition.³⁵⁾ Accordingly, we set up the following hypothesis:

Hypothesis 2: A logistics firm that must acquire more complementary assets tends to choose a lower level of ownership in its foreign subsidiary.

25) Teece(1986); Lu(2002); Makino and Neupert(2000)

26) Lu(2002); Chen and Hennart(2002); Delios and Beamish(1999); Endo and Ozaki(2009)

27) Lu(2002)

28) Lu(2002)

29) Lu and Beamish(2004); Delios and Beamish(1999); Endo and Ozaki(2009)

30) Hennart(1991); Makino and Neupert(2000); Endo and Ozaki(2009)

31) Hennart and Larimo (1998); Endo and Ozaki(2009); Lu and Beamish(2004)

32) Hennart and Larimo (1998); Endo and Ozaki(2009)

33) Hennart and Larimo(1998); Hennart(1991); Endo and Ozaki(2009)

34) Meyer(2001); Endo and Ozaki(2009)

35) Hennart(1991); Endo and Ozaki(2009)

IV. International Experience

The third firm-level factor is international experience. Certain firms are able to accumulate significant internationalization experience, whereas others do not have such opportunities. Scholars have empirically examined the relationship between international experience and international strategy. Anderson and Gatignon point out that firms with limited international experience tend to be cautious with respect to foreign investment.³⁶⁾ Past studies also reveal that such firms are unable to accurately anticipate and evaluate the difficulty, uncertainty, and risk associated with internationalization.³⁷⁾ Moreover, a firm that has gained experience and accumulated capabilities and confidence in international business operations may have an incentive to more actively engage in international business and may desire tighter control of its foreign subsidiary.³⁸⁾ These empirical findings contribute to efforts to theorize international experiences that parallel the development of the concept of the liability of foreignness.³⁹⁾ An internationally experienced firm overcomes the additional costs typically encountered by foreign firms, known as the liability of foreignness, and manages its business as effectively as local competitors.⁴⁰⁾ Accordingly, a firm with extensive international experience may not need to form a joint venture with a local firm to overcome its liability of foreignness. Although international experience is an intangible asset of a firm, establishing the concept of the liability of foreignness helped separate international experience theoretically from other contributed assets. It is tempting to include international experience as an important contributed asset. However, the liability of foreignness shows that contributed assets are core competencies of a firm that are involved in both domestic and international operations, whereas international experience involves competencies that are specific only to a firm's internationalization.⁴¹⁾ Therefore, distinguishing international experience

36) Anderson and Gatignon(1986)

37) Anderson and Gatignon(1986); Delios and Beamish(1999 and 2001); Agarwal and Ramaswami(1992); Ando(2012); Endo and Ozaki(2009); Contractor and Kundu(1998)

38) Anderson and Gatignon(1986); Delios and Beamish(1999); Agarwal and Ramaswami(1992)

39) Eden and Miller(2004); Nachum(2003)

40) Dikova and Witteloostuijn(2007); Ando(2012)

41) Nachum(2003)

from contributed assets is important. In summary, international experience provides a firm with a competitive advantage similar to that of a first mover. The sooner that internationalization occurs, the more competitive the firm may be because of its ability to cope with the liability of foreignness in successfully integrating and mobilizing contributed and complementary assets. Thus, a logistics firm with extensive international experience would be less likely to form a joint venture with a local firm to overcome the liability of foreignness. Accordingly, we set up the following hypothesis:

Hypothesis 3: A logistics firm with more international experience tends to choose a higher level of ownership in its foreign subsidiary.

V. Institutional Difference

Firm-level factors, however, may not be the only factors that impact the decision of a firm to enter into a foreign market. The extent of a firm's exposure to the differences between the home- and the host-country business environments (i.e., national differences) will reveal the firm's challenges, difficulties and opportunities with respect to engagement in international business.⁴²⁾ Thus, management must understand the differences between the home and host countries and prepare appropriate strategies to cope with these differences.

Institutional difference has become an increasingly important measure in capturing the differences in dimensions between two countries.⁴³⁾ Institutions are composed of formal rules, laws and regulations that define a firm's market and also the broad spectrum of a firm's business activities, which includes relationships such as involvement in capital markets, labor relations, and other stakeholder relations. Institutions are also composed of informal rules, including social norms and cultures that affect the behaviors and expectations of customers, competitors, suppliers, employees and other stakeholders.⁴⁴⁾

Institutional difference between a home and a host country may affect

42) Dunning(1988 and 2000); North(1990)

43) Ando(2012); Eden and Miller(2004); Jackson and Deeg(2008)

44) Endo et al.(2011); Ando(2012); Delios and Beamish(1999); Gaur and Lu(2007); Kostova and Zaheer(1999)

the costs of conducting business in a host country.⁴⁵⁾ The result of institutional difference might be additional costs, i.e., the liability of foreignness, which foreign firms encounter but local ones do not, discussed in the above. “Foreign firms may encounter unfamiliar institutional settings in a host country, which may raise transaction costs and impede their business activities.”⁴⁶⁾

Institutional difference may affect ownership strategy with respect to a subsidiary.⁴⁷⁾ “Institutions, such as legal restrictions on foreign equity ownership, may affect timing, location, or entry mode decisions in different ways.”⁴⁸⁾ Institutional difference affects the “comparative efficiency of governance structure.”⁴⁹⁾ Because institutional difference may pose risk and uncertainty, such difference may impact on the level of a firm’s commitment to a foreign subsidiary.⁵⁰⁾ By opting for a low ownership level in a foreign subsidiary, a firm may be able to pursue a flexible strategy in an uncertain environment.⁵¹⁾ Moreover, in a host country in which the institutional framework is substantially different from that of the home country, a firm may find it difficult to achieve external legitimacy and successfully transfer the assets and resources that form the basis of its competitive advantage.⁵²⁾ Accordingly, we set up the following hypothesis:

Hypothesis 4: When institutional difference between a home country and a host country is greater, a logistics firm tends to choose a lower level of ownership in its foreign subsidiary.

VI. Method and Variables

The data are derived from the observations of a foreign subsidiary owned by a Japanese logistics firm during the 2007 fiscal year. The data

45) Henisz(2004); Ando(2012)

46) Ando(2012), p.260.

47) Eden and Miller(2004); Nachum(2003); Gaur and Lu(2007); Jackson and Deeg(2008); Brouthers(2002); Meyer(2001); Xu and Shenkar(2002)

48) Jackson and Deeg(2008), p.542.

49) Delios and Beamish(1999), p.917.

50) Jackson and Deeg(2008); Brouthers(2002); Meyer(2001); Ando(2012)

51) Anderson Gatingno(1986); Delios and Beamish(1999)

52) Eden and Miller(2004); Gaur and Lu(2007); Xu and Shenkar(2002)

are collected from the CD-ROM and print versions of the 2008 Handbook of Japanese Overseas Investments (Kaigai Shinshutsu Kigyo Soran), published by Toyo Keizai Shimposha. The sampling process consists of the following: First, we collected data from firms that were categorized into the following industry sectors: cargo transport, shipping, and warehousing/logistics. Second, we picked up the firms disclosing information with respect to the variables described below. The total number of observations is 296, collected from 36 Japanese logistics firms.

The dependent variable is the share of equity ownership of a Japanese logistics firm in the foreign subsidiary, which is determined from the CD-ROM version of the 2008 Handbook. Since the dependent variable is truncated at the values of 0.05 and 1, we conduct a Tobit regression analysis. The mean value of equity ownership share is 0.77. With respect to the independent variables, we operationalize contributed assets by using the percentage ratio of intangible fixed assets to total assets in a parent logistics firm, following Nachum.⁵³⁾ The expected sign of the coefficient for the ratio is positive. The data source for these two sets of assets is the annual financial reports of each firm. Scholars who focus on the strategies of foreign subsidiary ownership use different measures to evaluate assets and resources. Several studies have collected data for these measures through surveys that are distributed to a relatively limited number of logistics firms. Our study uses a ratio for which data are widely available that allows us to include a greater number of Japanese logistics firms and their foreign subsidiaries.

With respect to complementary assets, following Delios and Beamish and Hennart,⁵⁴⁾ we use the percentage ratio of subsidiary size to its parent logistics firm size in terms of employment as a proxy. If the parent firm engages in substantial foreign investment relative to its size, it may be forced to acquire more complementary assets from the local market. The expected sign of the coefficient for the relative size variable is negative. Data with respect to complementary assets are gathered from the CD-ROM version of the 2008 Handbook and Nikkei NEEDS database.

We operationalize international experience using two measures. First, we use the natural logarithm of the sum of years of operation for each foreign subsidiary of a parent logistics firm in the world (international measure).

53) Nachum(2003)

54) Delios and Beamish(1999); Hennart(1991)

Second, we use the natural logarithm of the sum of years since the date each foreign subsidiary was established in the host country (host country measure). The data source is the CD-ROM version of the 2008 Handbook. The expected sign of the coefficient for international experience is positive.

We evaluate institutional difference based on the World Bank's Governance Indicators, which form comprehensive institutional measurement framework.⁵⁵⁾ The indicators are calculated within a range of 2.5 to -2.5 for six elements that include the following: voice and accountability, political instability and violence, government effectiveness, regulatory burden, rule of law, and corruption control. The higher the country score, the more transparent and accountable its institution. Several studies employ these indicators.⁵⁶⁾ To evaluate the institutional difference between two countries, we use the Kogut and Singh's formula⁵⁷⁾ which is designed to measure cultural distance scores:

$$\text{Institutional difference } j = \frac{1}{6} \sum_{i=1}^6 \left\{ \frac{(I_{ij} - I_{ih})^2}{\sigma_i^2} \right\}$$

where Institutional difference_j is such difference between host country *j* and Japan, *I_{ij}* is country *j*'s score of the *i*th institutional element, *I_{ih}* is Japan's score of the *i*th institutional element, and σ_i^2 is the variance of the *i*th institutional element.⁵⁸⁾ The expected sign of the institutional difference variable is negative, as Hypothesis 4 predicts.

We control for several variables that might affect ownership level with respect to a foreign subsidiary. Subsidiary age is measured by the natural logarithm of total years since the subsidiary was established, of which information is collected from the CD-ROM version of 2008 Handbook. The size of a parent firm is operationalized by the natural logarithm of total number of employees based on information from the Nikkei NEEDS database. We include a dummy variable with a value of 1 for foreign subsidiaries that are owned by shipping firms to control for the impact of disproportionately larger asset ownership. We incorporate economic factors in the host country, measured by inflation ratio, the natural logarithm of GDP, and the natural logarithm of the total number of foreign subsidiaries, engaging in

55) Kaufmann et al.(2005)

56) Dikova and Witteloostuijn(2007); Dikova(2009); Ando(2012).

57) Kogut and Singh(1988)

58) Ando(2012); Ando and Endo(2013)

manufacturing sector in such country, established by Japanese firms. The data source for the total number of foreign subsidiaries is the print version of the 2008 Handbook. The information for inflation ratio and GDP is collected from United Nations database, IMF Economic Outlook, and government documents of each country.

VII. Estimation Results

Table 1 represents the means and standard deviations of the variables employed in this study. Table 2 represents the results of the estimates. The coefficient of the intangible fixed assets ratio served as the proxy for contributed assets is positive. This variable takes the expected sign and the result is statistically significant ($p < 0.01$), which supports Hypothesis 1. The results also imply that Hypothesis 2 is supported. The relative size of a subsidiary to a parent firm with respect to employees, which measures complementary assets, carries the expected negative sign in its coefficient ($p < 0.01$). The coefficients of international and host country measures that evaluate international experience demonstrate mixed results. The host country measurement has the expected positive sign in its coefficient. However, the international measurement unexpectedly has a negative sign. The institutional difference variable has the expected negative sign in its coefficient that is statistically significant ($p < 0.01$). The result demonstrates a negative relationship between institutional difference and ownership level in a foreign subsidiary and provides support for Hypothesis 4.

Firm-level Factor versus National Institutional Difference: Ownership Structure in a Foreign Subsidiary of a Japanese Logistics Firm

<Table 1> Correlation coefficients and descriptive statistics

	Mean	S.D.	2	3	4	5	6	7	8	9	10	11	12
1.Equity ownership	0.77	0.28	0.05	-0.26	0.01	0.07	-0.25	0.08	0.06	-0.09	0.15	-0.12	0.08
2.Contributed assets	2.43	1.51		0.03	0.05	0.04	0.05	0.04	-0.15	-0.03	-0.08	0.08	-0.24
3.Complementary assets	2.91	5.09			-0.22	0.09	0.15	0.07	-0.30	0.18	0.04	0.08	-0.17
4.International experience: international measure	5.51	1.14				0.37	-0.17	0.18	0.64	-0.31	-0.11	-0.13	0.49
5.International experience: host country measure	3.06	0.91					-0.10	0.35	0.25	0.34	0.23	-0.12	0.10
6.Institutional difference	1.36	1.22						-0.41	-0.06	0.40	0.02	0.77	-0.16
7.Subsidiary age	2.66	0.89							0.10	-0.01	-0.08	-0.39	0.05
8.Parent firm size	8.69	1.40								-0.17	-0.08	-0.05	0.21
9.Japanese subsidiaries in host country	6.37	1.52									0.50	0.14	-0.20
10. GDP in host country	27.50	1.53										-0.04	-0.04
11.Inflation rate in host country	5.04	2.80											-0.13
12.Shipping firm dummy	0.23	0.42											

<Table 2> Estimation results

Variable	
Contributed assets	0.058** (0.023)
Complementary assets	-0.021** (0.006)
International experience: international measure	-0.142** (0.045)
International experience: host country measure	0.082 (0.042)
Institutional difference	-0.133** (0.044)
Subsidiary age	0.038 (0.039)
Parent firm size	0.049 (0.030)
Japanese subsidiaries in host country	-0.063* (0.031)
GDP in host country	0.087** (0.023)
Inflation rate in host country	0.026 (0.016)
Shipping firm dummy	0.193* (0.088)
Constant	-1.090 (0.645)
log likelihood	-175.42
Chi-square	75.02
n	296

Standard errors in parentheses

**p<0.01, *p<0.05

VIII. Discussion and Conclusion

This study examined the determinants of the ownership strategy with respect to foreign subsidiaries that belong to Japanese logistics firms from the perspective of IB. The study focuses on firm-level factors that include contributed assets, complementary assets, and international experience. The study does not argue that these are the sole factors affecting ownership strategy. Instead, the study examines whether these three core factors,

which are well documented in IB research, are important determinants of the ownership strategy for a foreign subsidiary of a Japanese logistics firm. The results that are based on the Tobit analysis demonstrate, as predicted, that contributed assets represent a positive impact at the ownership level, whereas complementary assets are associated with a negative impact.

Our analysis addresses the general relevance of the resource-based view of foreign subsidiary ownership strategy to a Japanese logistics firm. The study highlights the importance of assets and resources in the context of firm internationalization. Assets and resources provide the basis for competitiveness that allows firms to operate in foreign markets. These intangible assets lead to considerable variations in international strategy and subsequent performance even when a firm faces external challenges.

International experience, however, showed mixed results. Our initial hypothesis stipulated that international experience might indicate that a firm had accumulated capabilities and confidence in international business operations and, therefore, that a Japanese logistics firm with more international experience would prefer to enter into a foreign market independently and not to rely on the support of others. However, the results do not support this hypothesis.

The study also examined the impact of institutional difference between a host country and a home country at the ownership level. Institutional difference may affect the ownership decisions of a Japanese logistics firm and discourage a more significant commitment to a foreign subsidiary. Such a firm may choose optimal ownership levels in a foreign subsidiary by recognizing institutional difference and the value of its assets and resources.

The overall results suggest that Japanese logistics firms demonstrate patterns of entry mode decisions and foreign subsidiary ownership strategies that are similar to manufacturing firms and other service firms that have been examined in past studies. Japanese logistics firm behavior seems to offer evidence to support the observations with respect to the ownership strategy of foreign subsidiaries.

The limitations of this study and areas for future research may be as follows: First, we chose data that were derived from the observations of Japanese logistics firms and their foreign subsidiaries. This sample thus forms a single-country study, which limits the validity of the findings

about the determinants. An expansion of the sample to include logistics firms from other countries would be beneficial in future studies. Second, it is necessary to improve the operationalization of contributed assets inherent in logistics firms. We employed the ratio of intangible fixed assets to total assets as a proxy for contributed assets. Future research may need to develop another metric that directly reflects the nature of contributed assets in a logistics firm and that includes human resources, knowledge, and competence. This might be undertaken by integrating qualitative methods that analyze contributed assets, such as conducting interviews and distributing questionnaires, with quantitative methods.*

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THE EMPATHETIC SORTING TECHNIQUE: MEASURING CORPORATE CULTURE BY SORTING ILLUSTRATED VALUE STATEMENTS

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ABSTRACT

The purpose of this study was to examine the factor structure of a set of scales that were designed to measure seven dimensions of corporate culture: 1) collectivistic vs. individualistic, 2) human-oriented vs. task-oriented, 3) autonomy vs. heteronomy, 4) logical vs. intuitive, 5) innovative vs. conservative, 6) process-oriented vs. result-oriented, and 7) long-range oriented vs. short-range oriented. The scales adopted the empathetic sorting technique that asked respondents to rank the degree to which they felt empathy to the seven value statements with illustrations. The confirmatory factor analyses showed that the hypothesized seven-factor model of corporate culture fitted well the data obtained from Japanese university students (n=10,787). Implications for putting the present scales into staffing practices are discussed.

INTRODUCTION

The purpose of this study was to develop a tool to assess corporate culture, and to verify the factor structure and the reliability of the measure. It was part of a research project to develop a personnel selection tool to assess the degree of fitness between corporations and their new applicants.

It has been reported that ‘the collective hiring of new graduates’ is a practice of Japanese companies (e.g., Cabinet Office, Government of Japan, 2006). This is the prevailing practice of big and small companies in Japan; they adopt third-year undergraduates as prospective regular employees for the next company year. This practice, also called the ‘principle of new graduate hiring,’ is closely related to the custom of long-term employment (known as lifelong employment) in Japan, wherein Japanese companies tend to adopt under-developed young talent and train them in the long term rather than hiring personnel with specific job abilities or full-time job experience.

Despite widespread rumours regarding the collapse of the lifetime employment system among Japanese companies, our research on 413 listed companies in 2011 has shown that 56% of the companies continue to follow the lifelong system, and 64% retain long-term employment (Ogawa & Osato, 2013a, forthcoming). According to the report, 76% of the companies have

adopted a tenure-based payment system, and 85% of the companies use a tenure-based promotion system. These data suggest that the Japanese companies retain the traditional human resource management practice of nurturing young newcomers in their early twenties for a long term.

The requirements or standards set for new employees, when companies adopt new graduates who do not have specific job ability, are classified into (1) general cognitive or intellectual abilities, enabling quick and effective learning of new tasks, and compatibility with a company, enabling them to work for the company long-term. As Ogawa & Osato (2013b, forthcoming) suggested, most Japanese companies demand a certain level of the former intellectual abilities, and the higher the level of abilities, the better the applicant evaluated if other conditions were constant. Commercial assessment tools, which include basic mathematics, measured this general intellectual ability, and the results of the assessment often function as 'cut-off points' at a relatively early stage of the selection process (Ogawa & Osato, 2013b, forthcoming). The latter compatibility with a company is the requirement for long-term continual service. It consists of compatibility with the nature of work the company is engaged in, and compatibility with group members, to communicate smoothly and build and maintain cooperative relationships (Ogawa & Osato, 2013b, forthcoming).

In the process of the evaluation of compatibility, the most popular criterion companies use was 'whether the interviewer wants to work with the applicant or not' (if the interviewer is a manager, that was translated as 'whether the applicant is adequate to be his/her subordinate or not'). The companies repeatedly judged their applicants by members of different departments and managers with different positions. During the interview process, the applicant's characteristics, values, and behaviours were evaluated through his or her responses to random questions rather than structured and explicit questioning (Ogawa & Osato, 2013b, forthcoming). As a whole, the process was very subjective and comprehensive.

The viewpoint of compatibility might be thought much of when the applicants who may be 3rd year college students select their employer. Ogawa & Osato (2011) explored the criteria that Japanese college students used to choose their employment companies, using a policy-capturing method, and showed that the compatibility of company characteristics was as important to students as the salary.

As shown above, though compatibility between the organization and persons was regarded as an important standard when they select each other, the evaluation of compatibility was a blinded and subjective tacit process. The present study was an empirical trial to investigate the aspects or contents of group compatibility. In other words, our aim was to develop a new recruitment tool which enabled the explicit evaluation of person-organization compatibility, focusing on the organizational culture of a company (we use 'organizational culture' and 'corporate culture' interchangeably), which was rooted in an almost unconscious level (Schein, 1985) and functions as a criterion for decision making regarding hiring or joining (Itami & Kagono, 1989).

REVIEW

2.1 Assessment of Person-Organization fit

Before exploring the dimensions of corporate culture, it was useful to discuss the construct of person-organization fit (P-O fit). Most studies on this subject showed that P-O fit had positive effects on an employee's organizational commitment and performance, and had negative effects on turnover (Hoffman & Woehr, 2005; Verquer, Beehr, & Wagner, 2003).

However, there were at least two hard questions we should consider: what did the word 'fit' or 'match' mean, and how the construct should be operationalized?

P-O fit is a subcategory of person-environment (P-E) fit, which was defined as 'the degree of congruence or match between a person and environment' (Kristof, 1996, p.3). P-E fit also encompasses person-vocation fit, person-job fit, person-group fit, and person-person fit. To assess P-O fit, it was important to determine which organizational objects should be used, because the organization had multiple matching objects such as vocation, job, sub-groups, and persons (managers and peers).

In addition, the construct of fit includes supplementary and complimentary fit as shown in Kristof's (1996) comprehensive definition: 'the compatibility between people and organizations that occurs when: (a) at least one entity provides what the other needs, or (b) they share similar fundamental characteristics, or (c) both' (pp. 4-5). Therefore, operationalization of the construct involved making various choices of terms and imposing limits.

Based on our purpose to develop a hiring tool for new graduates, supplementary fit was used in this paper. Most Japanese new graduates did not have specific job-skills or competencies, and so it was thought that the complementary perspective, which assumed that persons had certain abilities that the companies need, was not suitable for them. The second reason for which we chose supplementary fit was related to the hiring standard of Japanese corporations. The most common standard used in hiring new graduates was 'whether the employment interview officials want to work together with him/her or not' (Ogawa & Osato, 2013b forthcoming). An applicant chosen by this standard would typically be a person with something in common with other members of the organization, that is, a person with similarity to existing members. Interviewers tend to appreciate applicants with characteristics similar to themselves (Silvester, et al., 2002; Simons, 1995; Graves & Powell, 1988).

In addition to the meaning of the fit construct, another problem existed that should be examined: what characteristics of the organization should be focused on when we assessed the P-O fit? At least four categories of P-O fit had been suggested (Kristof, 1996): value congruence, goal congruence with organizational members, match between individual preferences or needs and organizational systems and structures, and match between the individual personality and organizational personality (climate).

We should use the characteristics of the organization to assess the degree of matching because our purpose was to develop a corporate hiring tool. Corporate culture was adopted especially because it was thought to be a relatively stable characteristic of organization compared to others such as organizational objectives, structures, or strategies (Chatman, 1991). The term ‘corporate culture’ refers to the values shared by the members of a certain corporation. With the custom of long-term employment in Japanese companies, it seems essential that applicants are congruent with the critical organizational values.

Because corporate culture functions as a criterion in organizational decision-making (Itami & Kagono, 1989), it was also expected to play the role of a criterion for selecting new applicants.

From our arguments, it seems appropriate, at least in the context of Japanese employment practices, to adopt supplementary perspectives and to use organizational culture (value) to assess the compatibility between an organization and a person. We examine the dimensions of organizational culture in the following section.

2.2 Dimensions of corporate culture

There were many definitions of organizational or corporate culture, such as ‘a pattern of basic assumptions—invented, discovered, or developed by a given group as it learns to cope with its problems of external adaptation and internal integration’ (Schein, 1985, p. 9), ‘the pattern of shared beliefs and values that give members of an institution meaning, and provide them with the rules for behaviour in their organization’ (Davis, 1984, p.1), and ‘the way of thinking and/or the way of viewing and feeling shared by organizational members’ (Itami & Kagono, 2003, p.349: the writers translated this definition from the original Japanese work). However, ‘there seems to be agreement that organizational culture refers to a system of shared meaning held by members that distinguishes the organization from other organizations’ (Robbins & Judge, 2007, p.248).

Previous studies of corporate culture seemed to have been performed in an idiographic manner (e.g., Deal & Kennedy, 1982; Ouchi, 1981; Peters & Warterman, 1982). Idiographic approaches might be based on the viewpoint that it is impossible to understand the essence of corporate culture quantitatively (e.g., Schein, 1985). It will surely be difficult to understand corporate culture by using a questionnaire, which demands awareness of organizational culture from respondents, if the substance of corporate culture is ‘basic assumptions and values’ (Schein, 1985).

Although we recognized the importance of the idiographic approach, in this study, we focused on the level of ‘espoused value’ (Schein, 1985) of organizational culture in light of our purpose to develop a tool for hiring.

The corporate culture assessed by cognitive methods is not always shared by organizational members, because cognition is a personal experience. However, ‘espoused’ or explicit value stated in words affords the possibility of a shared culture because every organizational member can recognize the words.

With regard to cognitive approaches to corporate culture, a concept similar to organizational culture is organizational climate. It was defined as a 'set of characteristics that (a) describe the organization and distinguish it from other organizations (b) are relatively enduring over time and (c) influence the behaviour of people in the organization' (Forehand & Gilmer, 1964, p.362). As shown in this definition, organizational climate is a comprehensive construct and can include organizational or corporate culture. Although some researchers have strictly distinguished between the two concepts, it is appropriate to include both in this study because (1) we cannot but depend on the perceptions of the respondent organizational members at the time of assessment, (2) each construct refers to enduring organizational characteristics, and (3) both affect the attitude of organizational members.

Even at such a cognitive level, there seems to be little agreement about the common dimensions that can be used to describe organizational culture or climate. The P-O fit measure of O'Reilly, Chatman, & Caldwell (1991), which used the Q-sort technique, has often been employed in European and American studies (Van Vianen, 2000), but we believe there are not many studies on P-O fit itself in Japan. In addition, many research studies have proposed their original dimensions of organizational culture and climate. Sakikawa (1998 in Japanese) extracted seven organizational cultural dimensions from the data of 361 Japanese companies: strategic, human relations, bureaucratic, merit system-like, intuitive, consensual, and boosting sales. Similarly, Sato (2009 in Japanese) suggested eight pairs of dimensions, such as organizational vs. individual, based on a literature review. Ogawa & Osato (2010), the authors of this study, also employed the measure of O'Reilly, Chatman, & Caldwell (1991) in 277 listed Japanese companies and found six dimensions: enterprising, result-oriented, cooperative, freedom-oriented, stable and secure, and precise. In sum, although various cultural dimensions have been presented, the attempts to integrate those findings have been limited, and the results are divergent.

Therefore, prior to this study, Ogawa, Osato, & Morinaga (2012) reviewed existing Japanese studies on organizational culture (Adachi, 1982; Ogawa & Osato, 2008, 2010a; Kagono et al., 1993; Kono, 1989, 1993; Sakai, 1990; Sakikawa, 1998; Sato, 2009; Sekimoto & Misawa, 1997; Nishikawa, 1984; Takahashi, 1989; Umezawa, 1983) as well as the Western studies (Bower, 1983; Cambell et al., 1970; Collins & Porras, 1994; Deal & Kennedy, 1982; Hall, 1976; Hofstede, 1980, 1991; Hofstede et al., 1990; Likert, 1967; Litwin & Stringer, 1968; Kluckhohn & Strodtbeck, 1961/Mead, 1998; O'Reilly, et al., 1991; Ouchi, 1981; Payne & Pheysey, 1970; Peters & Warterman, 1982; Tayeb, 1988; Trompenaars, 1993; Walton, 1985). Next, Ogawa and Osato both independently classified the dimensions of organizational culture, and each result was integrated into 20 dimensions. The proposed 20 dimensions of organizational culture were examined using questionnaires administered to 392 Japanese listed companies. Data were subjected to exploratory factor analyses, and ultimately 14 dimensions were identified (Ogawa et al., 2012; Osato, Ogawa, & Morinaga, 2012): innovative, collectivistic, long-term oriented, prompt oriented, analytic, sensuous, result-oriented, process-oriented, autonomous-minded, familistic, top-down, quality-oriented, cautious, and matter-of-fact.

Moreover, through the exchange of opinions with six businesspersons familiar with adoption practices and with two other researchers who are conversant with adoption studies, including our co-author Takahashi, we finally narrowed the values down to seven dimensions: (1) collectivistic vs. individualistic, (2) human-oriented vs. task-oriented, (3) autonomy vs. heteronomy, (4) logical vs. intuitive, (5) innovative vs. conservative, (6) process-oriented vs. result-oriented, and (7) long-range-oriented vs. short-range-oriented.

Collectivistic vs. individualistic referred to whether the organization emphasized organizational (or group) objectives, or personal thought and interest. *Human-oriented vs. task-oriented* referred to whether the organization emphasized economic rationality, or instead attached great importance to consideration of its members' individual opinions in decision-making. *Autonomy vs. heteronomy* referred to whether the organization encouraged the members to act based on their own ideas or faithfully abide by rules and orders. *Logical vs. intuitive* referred to whether the organization considers logic and scientific attitudes or feeling and intuition to be critical in problem solving. *Innovative vs. conservative* referred to whether conventional customs and traditions were regarded as important, or whether high value was placed on changing. *Process-oriented vs. result-oriented* referred to whether the organizational members tended to value aspects of the process leading to a result, such as input effort and adequacy of procedures and methods, or only the result. (7) *Long-range-oriented vs. short-range-oriented* was concerned with whether the value of something was accepted even when a result was not immediate (a long-term view) and tackling that thing was encouraged, or if only immediate results were appreciated.

The present study examined whether values related to these seven cultural dimensions could be identified in Japanese undergraduates by using the empathetic sorting technique explained in the following section. The validity of the measuring method was also confirmed through data analysis.

METHODS

3.1 Overview

A web-investigation was conducted on 10,787 students who agreed to participate in this research. They were chosen from 100,000 registrants who included graduate students, college students, junior college students, and vocational training school students who had registered with an employment support website. All responses were voluntary and confidential.

Data were collected from the beginning of February until the end of March 2012. Items about attributes such as age, sex, school years, and other associated items were included in the questionnaire in addition to the items on the aforementioned seven dimensions.

3.2 Samples

The average age of the 10,787 respondents was 21.5 years (s. d. 1.13). Further, 58.5 % of the sample was female, and 41.5% was male.

As for school years, 218 (2.0%) were in the 1st year, 29 (0.3 %) were in the 2nd year, 8,336 (77.3 %) were in the 3rd year, 471 (4.4 %) were in the 4th year, and 1,733 (16.15%) were graduate students and others. The sample consisted largely of first-year (junior college) and third-year students (university) because Japanese university students and junior college students generally look for jobs one year before they graduate.

3.3 Sympathetic sorting technique

The measure of O'Reilly, Chatman, & Caldwell (1991) using the Q-sort technique has been utilized relatively often when assessing organizational culture. The Q-sort technique is a method that lets a respondent classify cards of measurement items according to the number approximated to a normal distribution (e.g., 2-4-6-9-12-9-6-4-2), and thereby allows the identification of various unique dimensions of corporate culture. Using the Q-sort technique, compatibility between an organization and a person can be judged by comparing the personal value preferences profile to the value profile of an organization (corporate culture) and checking for similarity.

However, the technique has some limitations, for example, the difficulty of comparison between the same value dimensions, and the lack of information about the fitting direction whether there is a deficiency or an excess of a particular value (Edwards, 1993).

As a preparatory step for this research (cf., Ogawa, et al., 2012), the common dimensions of Japanese corporate culture were explored with two premises: (1) in spite of various value dimensions, Japanese companies have some values or culture in common, just like the well-known Big Five model of personality, and (2) among those common dimensions, certain values substantially influence the quality of P-O fit.

In order to reflect these two premises in our assessment, respondents were allowed to classify each item describing the seven values in a way that integrates the 'alternate ranking method' (Cascio, 1991) and 'the forced distribution method.' First, a set of seven items, each of which represented seven values, were presented to respondents. The respondents chose the item they sympathized the most with and the item they sympathized the least with. Then, they chose the second item they sympathized the most with and the one they sympathized the least with. The remaining three items (representing three value dimensions) were automatically classified as 'moderate sympathetic.'

The item with which a respondent could sympathize most was given five points, the item sympathized with next was given four points, items moderately sympathized with were allotted three points each, the second-least sympathized item was allotted two points, and the least sympathized item was marked one point.

The assessment to classify a set of seven value items was repeated eight times and, according to the conversion rule, the sum total of points was considered to be the score of each value dimension.

We named this measuring method the ‘empathetic sorting technique’ (EST). In contrast to the Q-sort technique, the EST can compare the same value dimension between a person and an organization, as well as compute the relative importance of each value dimension for an organization or person.

For the EST, we also developed the items with illustrations (Figure 1). In this study, we developed the eight items for each of the seven dimensions of corporate culture.

Traditional psychological assessments depending on written information are based on premises that respondents have enough cognitive ability to understand the text of items, and should have the ability to continue to respond adequately to a large number of items. Although every questionnaire item needs respondents to have a certain level of patience to read and respond to many items, it might be difficult to maintain adequate level concentrations. Such a problem can occur in the judgment of the answer too. Researchers know that rating errors, such as leniency, strictness, or central tendency errors, are likely to occur as a result of having reserved uneasy judgments or decreasing cognitive ability. Traditional test theory has compensated for those problems by collecting many samples.

However, in the assessment of P-O fit, it is more important to measure each personal response precisely than to make the distribution of the whole response data normal. In this study, to record the respondent’s unconscious feelings as well as their cognitive value, we developed the items with wise sayings that reflect corporate values and attached illustrations that evoke spontaneous preferences because of the tacit characteristics of one’s values. We also administered these stimuli to respondents so that the respondents did not get bored with the text-based questions.

We also designed the answering method such that respondents could sort the items with illustrations themselves by dragging and dropping them, in order to utilize the advantage of web-based research. This device also prevented neglectful response attitudes that arise owing to the monotony of simply clicking a radio button.

The present study was a trial to verify the factor structures of the newly developed EST and to confirm that it has sufficient internal consistency.

RESULTS

4.1 Results of confirmative factor analyses of the EST

To test how adequately the hypothesized seven dimensional models of corporate culture fit the sample data, a confirmatory factor analysis was performed for each dimension on the 8 observed items (figure 4.1-7). Table 4.1 shows the goodness-of-fit indices (GFI, AGFI, RMR, RMSEA) for each dimension as well as Cronbach’s alpha reliability coefficients.

Table 4.1 The indices of fitness and reliabilities

dimensions	GFI	AGFI	RMR	RMSEA	α
Collective vs. Individualistic	.99	.99	.02	.04	.78
Human-oriented vs. task-oriented	.97	.95	.05	.07	.76
Autonomy vs. Heteronomy	.99	.98	.04	.05	.64
Logical vs. Intuitive	.98	.96	.05	.07	.72
Innovative vs. Conservative	.99	.98	.03	.04	.77
Process-oriented vs. Result-oriented	.99	.98	.03	.04	.75
Longterm-oriented vs. Shortterm-oriented	.96	.93	.07	.09	.64

As for the goodness-of-fit index (GFI) (the variance ratio accounted for by the estimated population covariance) and the AGFI (which adjusted the GFI by degrees of freedom), all seven models exceeded the criteria of .90. These data show that the models had adequate fit.

The root mean square residual (RMR), which represents the average residual value of variance-covariance, was less than .05. This indicates adequate fit, except for the model of long-range oriented vs. short-range oriented. Even the RMR of long-range-oriented vs. short-range-oriented was .07, a value below .08, which has previously been deemed acceptable (Hu & Bentler, 1999).

The root mean square error of approximation (RMSEA), the index representing the distance per 1 degree of freedom between the distribution of the model and the true distribution, was under .05 for four models apart from the human-oriented vs. task-oriented, logical vs. intuitive, and long-range-oriented vs. short-range-oriented ones. Values below .05 indicate good fit. The RMSEA values of the three models in question were under .10, which were considered acceptable. However, the model of long-range-oriented vs. short-range-oriented had an RMSEA of .09, which indicates rooms for item improvement.

While the chi-square value is a widely used measure of overall model fit, we did not use it in this study in consideration of our sample size ($n = 10,787$). For large samples, chi-square results are almost always significant, thereby indicating that the model should be rejected (Bentler&Bonnet,1980; Jöreskog&Sörbom,1993; Hooper, et al., 2008).

Figure 4.1 The result of the CFA on collectivistic vs. individualistic dimension

Note: All the path coefficients were significant at the level of .01.

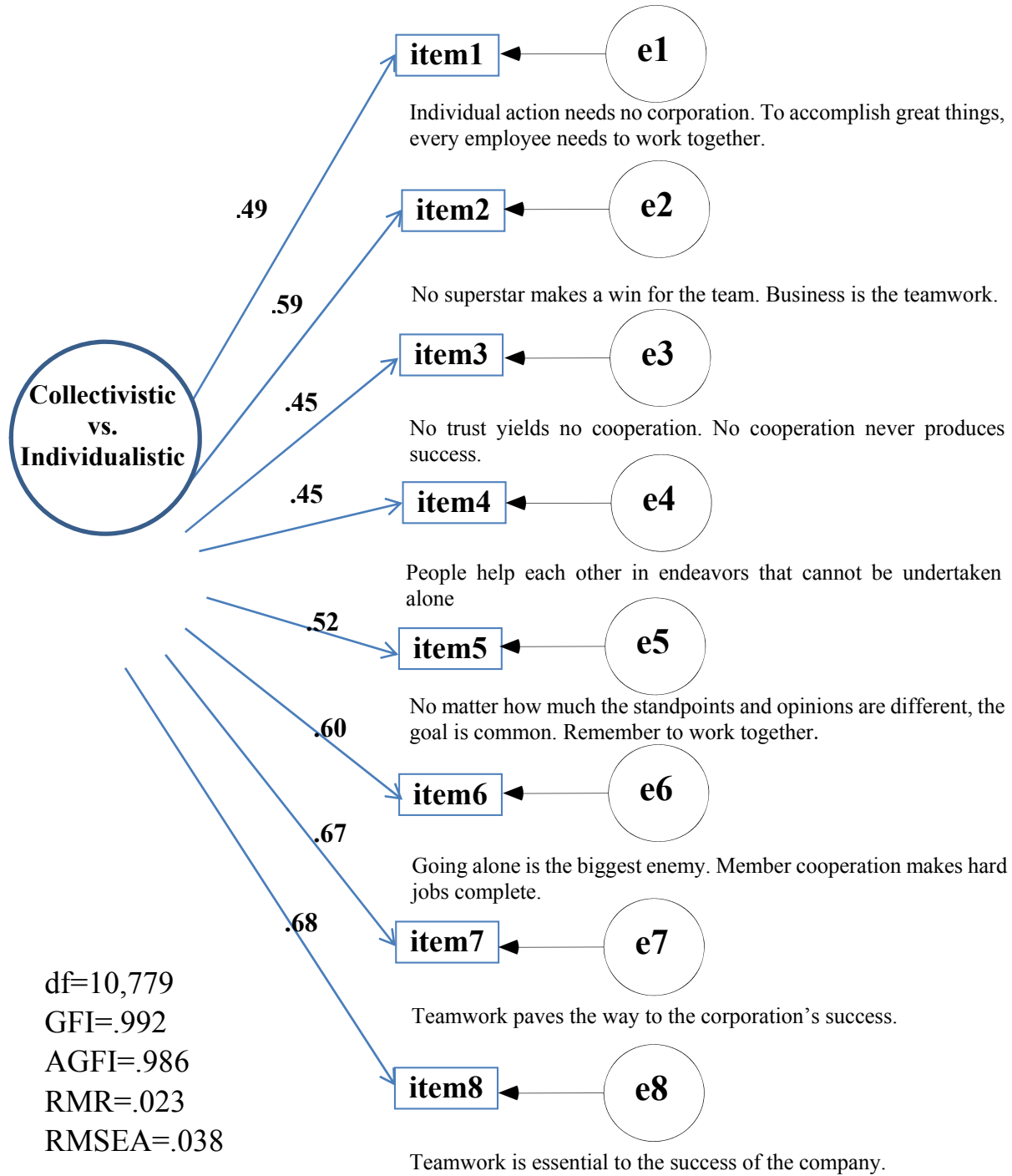


Figure 4.2 The result of the CFA on human-oriented vs. task-oriented dimension

Note: All the path coefficients were significant at the level of .01.

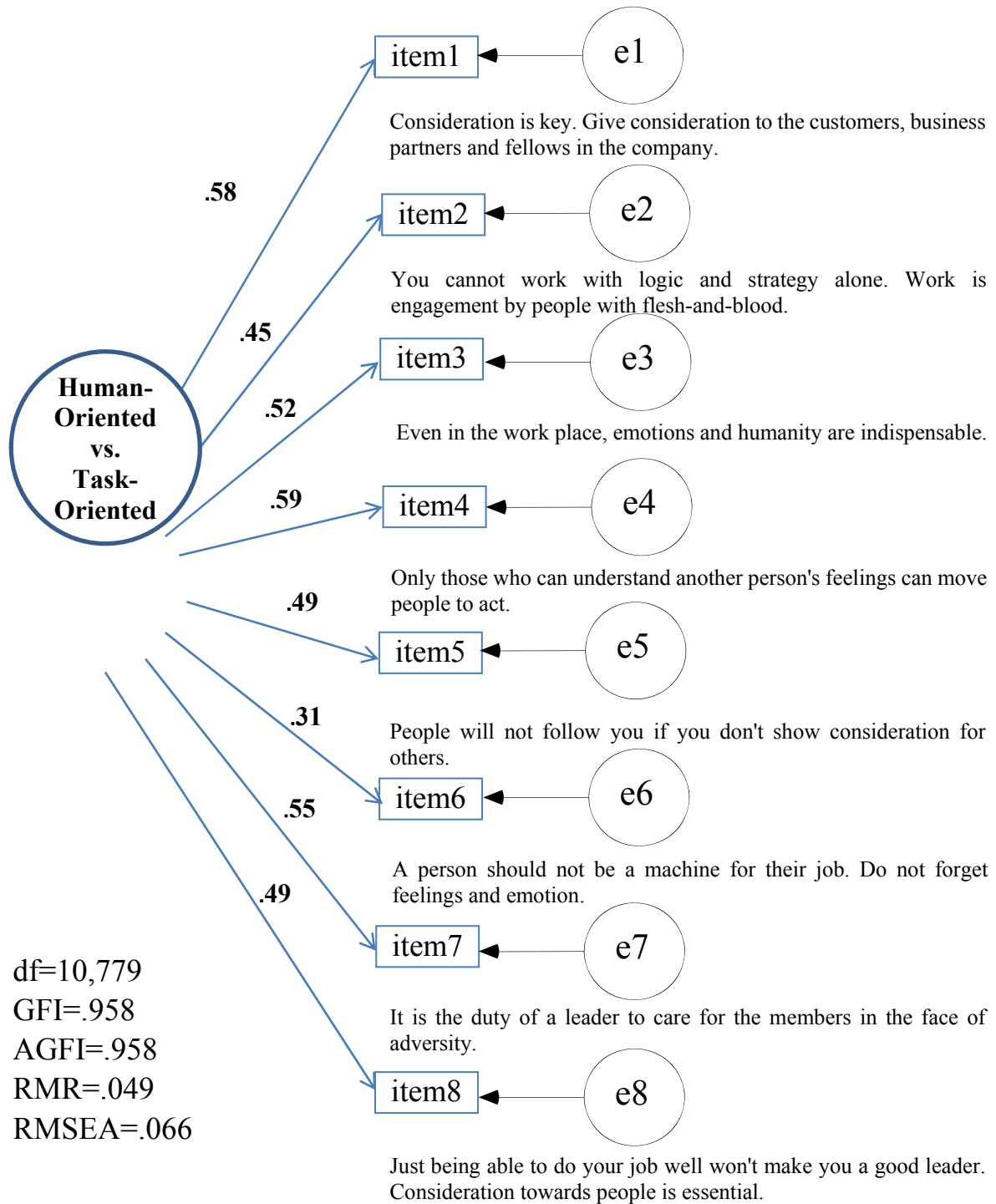


Figure 4.3 The result of the CFA on autonomy vs. heteronomy dimension

Note: All the path coefficients were significant at the level of .01.

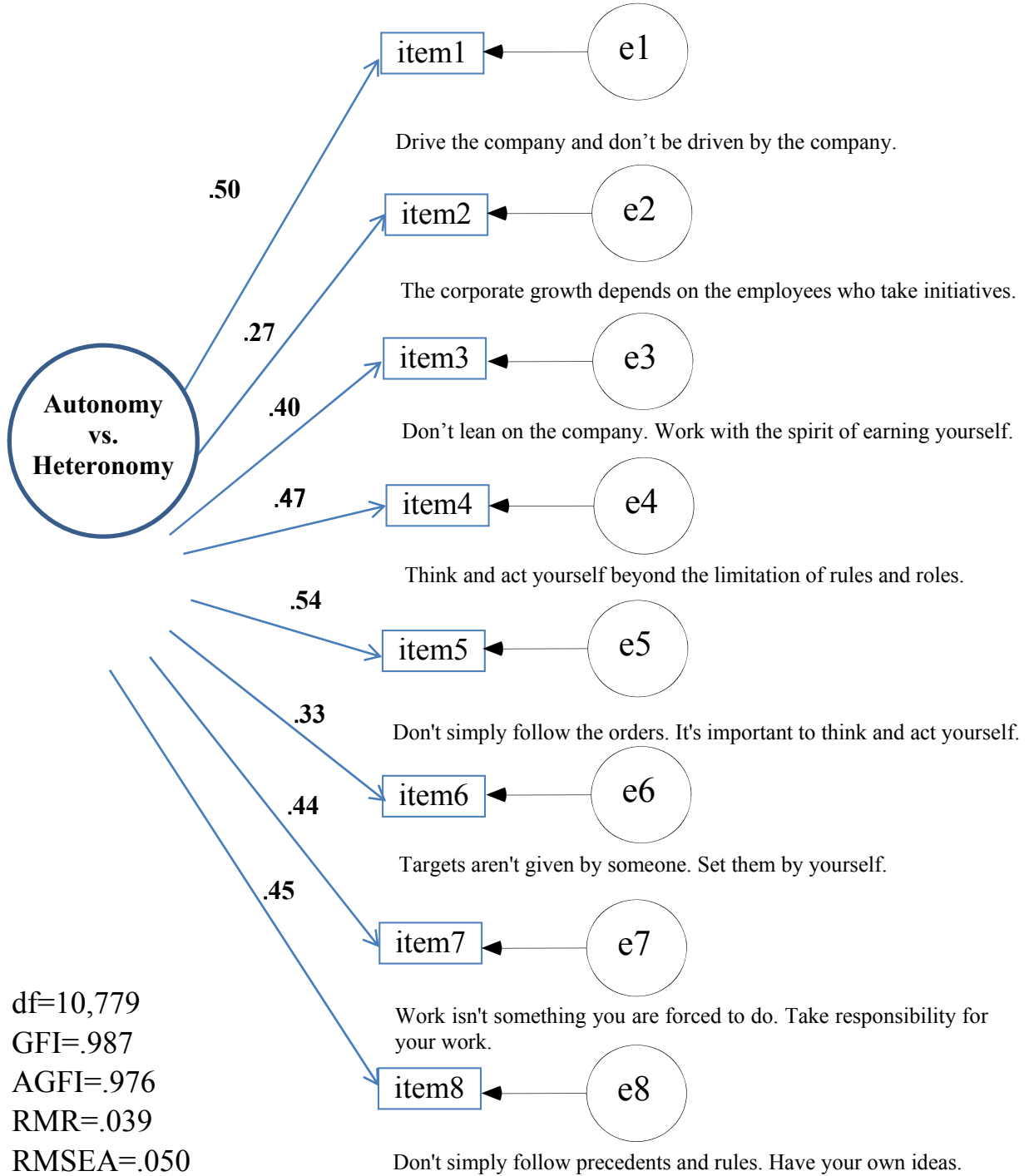


Figure 4.4 The result of the CFA on logical vs. intuitive dimension
 Note: All the path coefficients were significant at the level of .01.

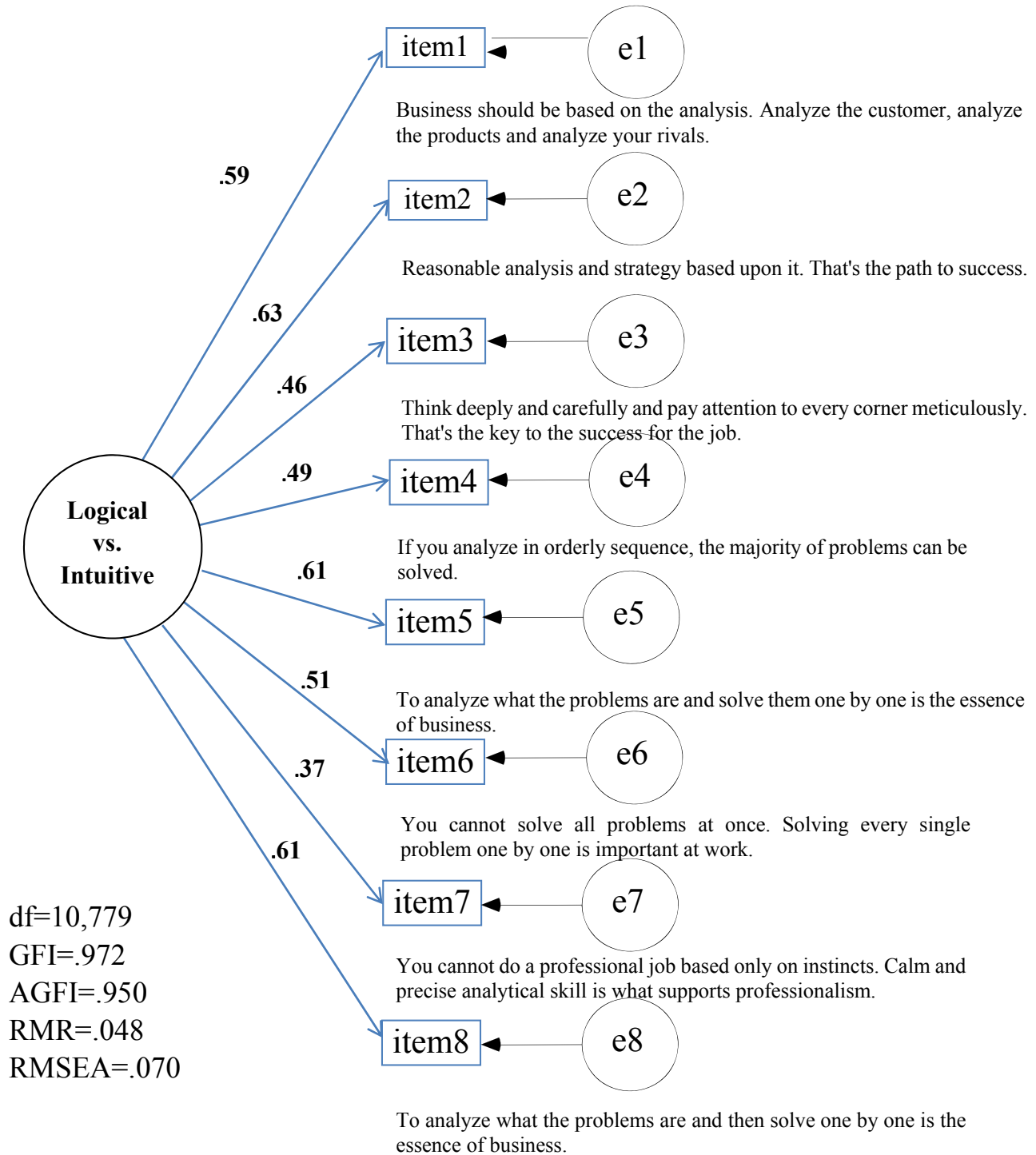


Figure 4.5 The result of the CFA on inovative vs. conservative dimension

Note: All the path coefficients were significant at the level of .01.

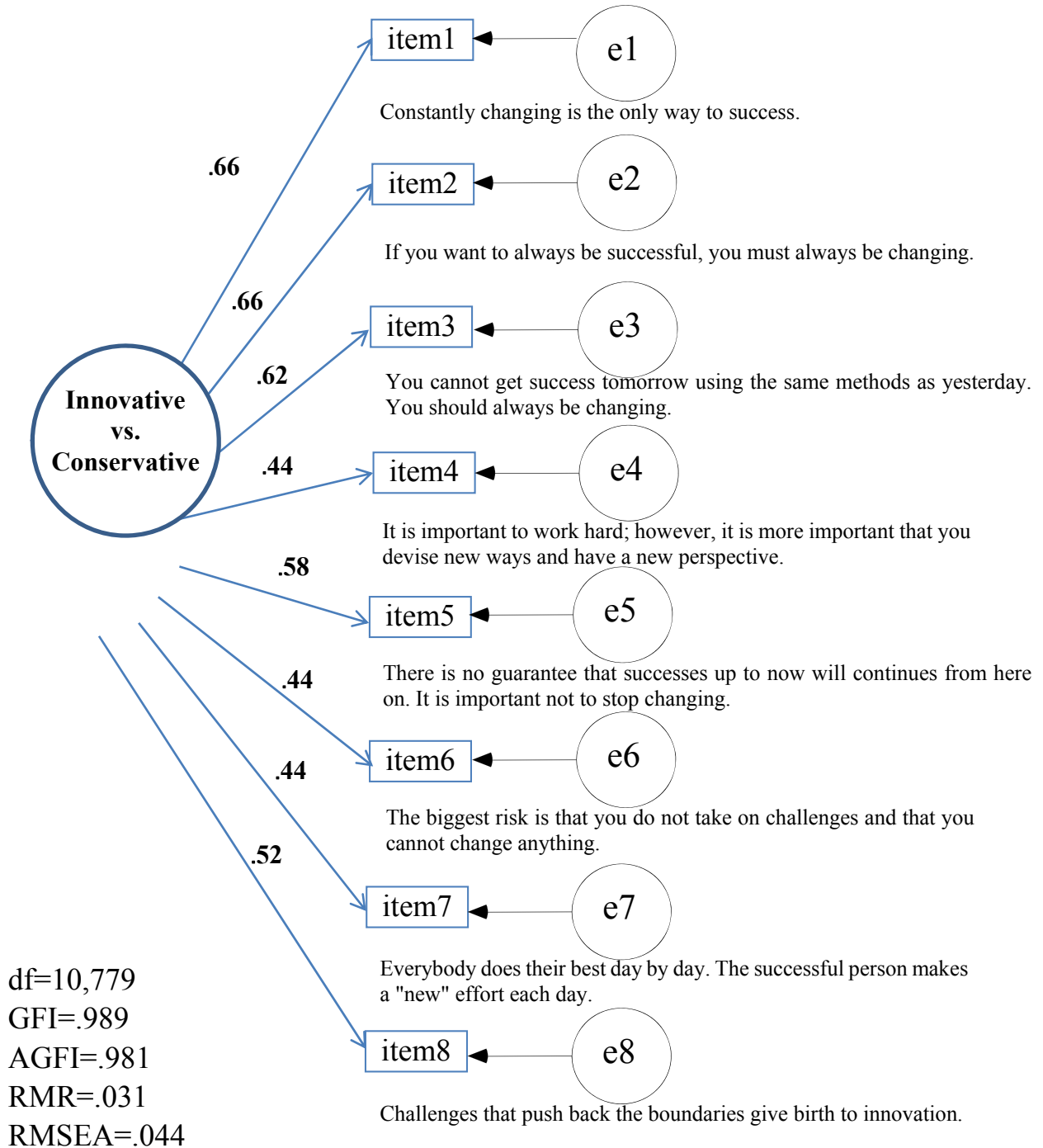


Figure 4.6 The result of the CFA on process-oriented vs. result-oriented dimension

Note: All the path coefficients were significant at the level of .01.

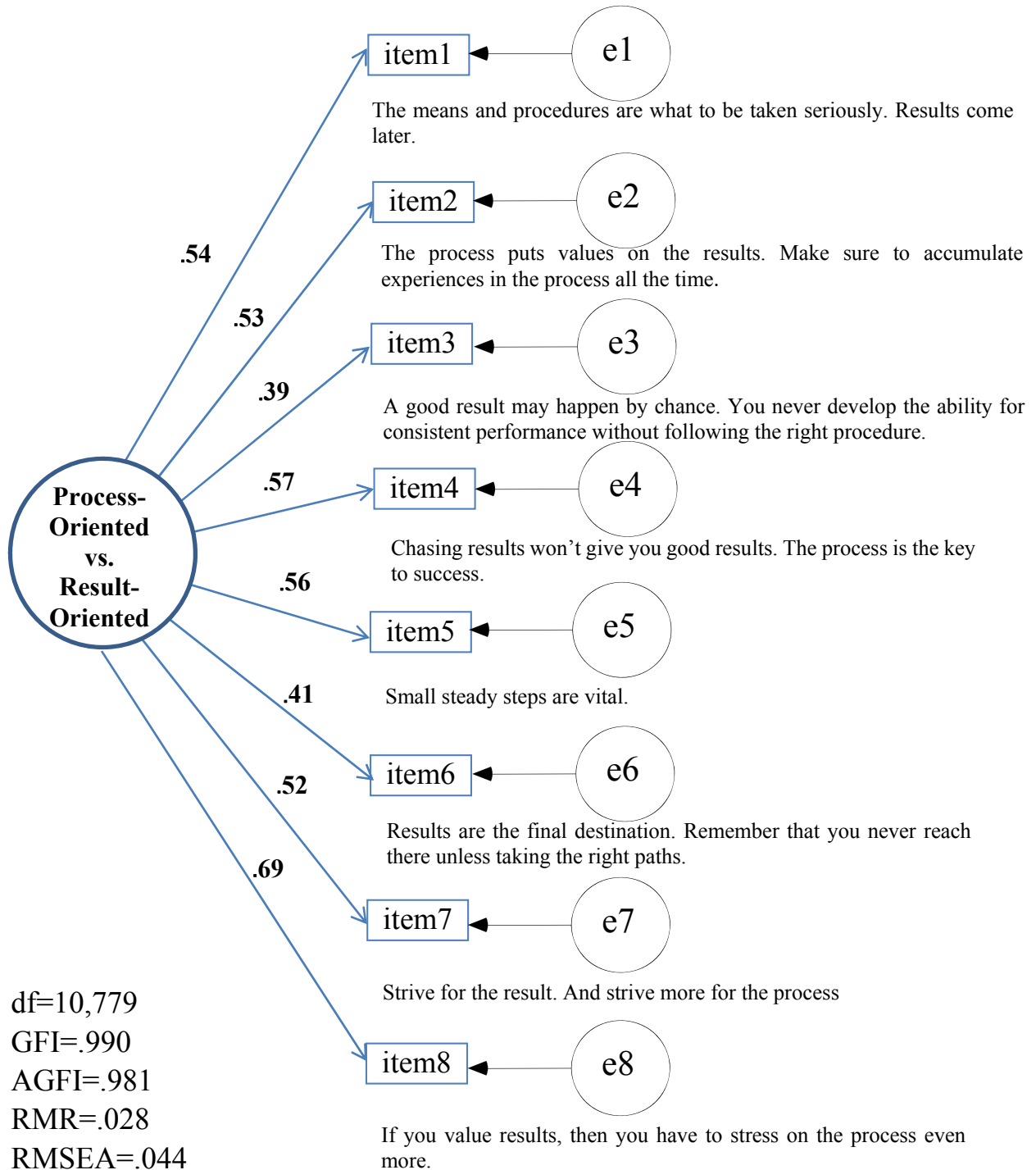
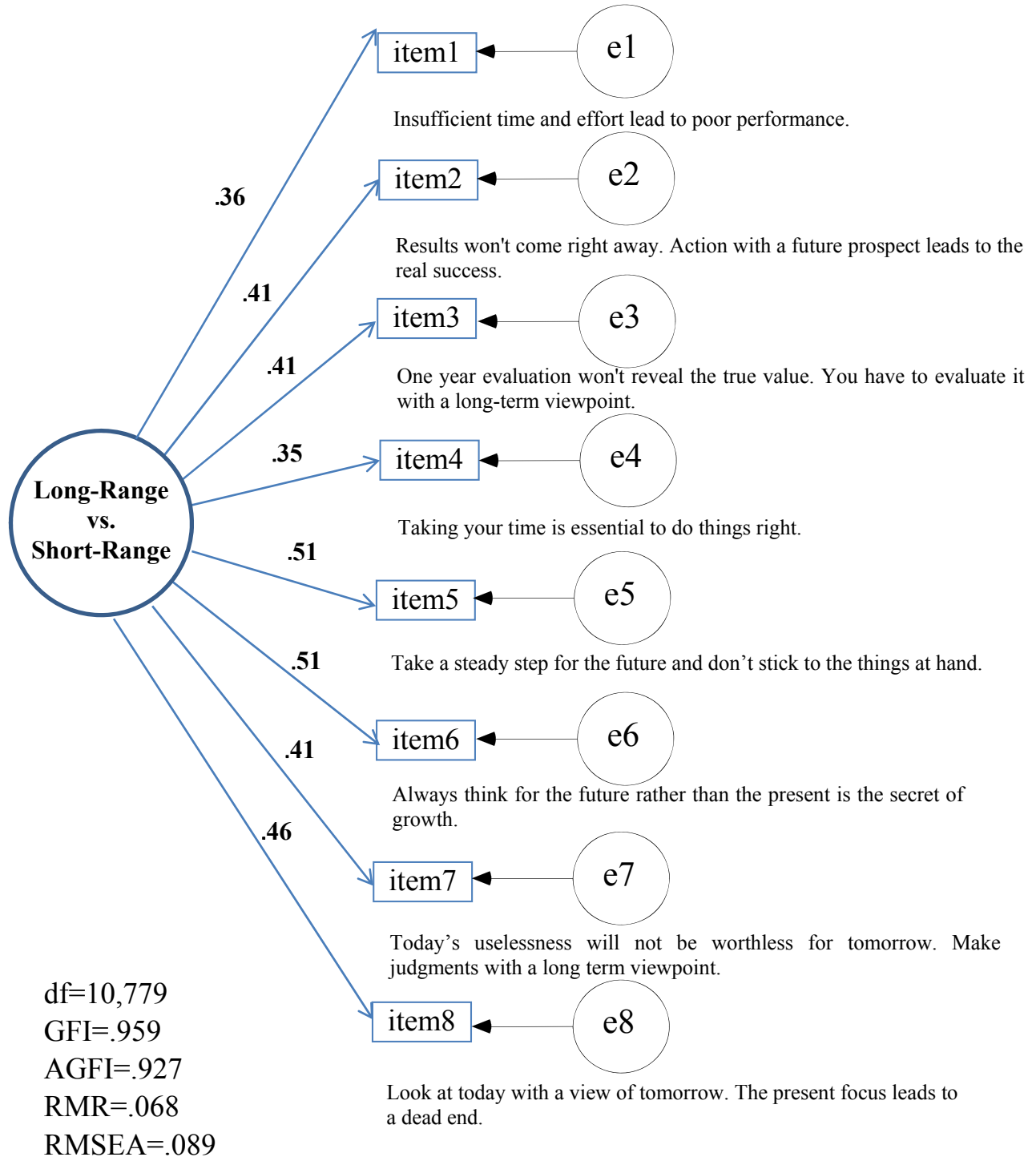


Figure 4.7 The result of the CFA on long-range oriented vs. short-range oriented dimension

Note: All the path coefficients were significant at the level of .01.



Although the Cronbach's alpha coefficients (indices of the internal consistency) of autonomy vs. heteronomy (.64) and long-range-oriented vs. short-range-oriented (.64) showed some room for improvement, those of the other five dimensions were acceptable (.72-.78).

In sum, the results show the validity of the models and adequate reliability in the item set as a whole.

4.2 Correlations among factors of corporate culture

On the basis of the construct validity examination using CFA, the relationship among the factors of corporate culture was explored. All correlations were moderate (table 4.2), indicating that each construct had adequate independency.

Table. 4.2 The internal correlation matrix of the corporate culture

dimensions	1. C vs.I	2. H vs.T	3. A vs. H	4. L vs. I	5. I vs. C	6. P vs. R	7. L vs. S
1 Collectivistic vs. individualistic	(.78)						
2 Human-oriented vs. task-oriented	.19 ***	(.76)					
3 Autonomy vs. heteronomy	-.30 ***	-.17 ***	(.64)				
4 Logical vs. intuitive	-.30 ***	-.33 ***	-.21 ***	(.72)			
5 Innovative vs. conservative	-.28 ***	-.31 ***	.28 ***	-.20 ***	(.77)		
6 Process-oriented vs. result-oriented	-.13 ***	-.16 ***	-.28 ***	-.09 ***	-.33 ***	(.75)	
7 Longterm-oriented vs. Shortterm-oriented	-.21 ***	-.21 ***	-.29 ***	.09 ***	-.28 ***	.03 **	(.64)

n=10,787

parentheses means coefficient α

p***<.001; p**<.01

DISCUSSION

5.1 Conclusions and future research

This study examined the usefulness of a measure of corporate culture (values) by using a large quantity of student data to develop an assessment tool of P-O fit. Analysing the data using a unique method (the empathetic sorting technique with illustrated value items) showed that the hypothesized seven dimensions of corporate culture could also be identified in the students. The index of fit of those seven models and their moderate internal consistencies suggested that the EST was adequate overall.

The EST, which uses value statement items with illustrations, could ease the burden on respondents and assess their implicit values intuitively in a different way to traditional psychological assessments. The EST can also compare the value of the same dimensions between

persons and organizations, and assess the relative importance among several dimensions of corporate cultural values, which were the limitations of Q-sorting.

In future studies, the illustrated items need to be adjusted to improve model fitness and factor reliability, and there also needs to assess the P-O fit using EST based on data of both the companies and persons. Then, the external validity of the P-O fit assessed by EST should also be examined.

A good deal of examinations is needed on how to assess or evaluate the P-O fit because various ways of assessing P-O fit have been presented: (1) considering the sum of the absolute or squared values of differences of each cultural dimension between a company and a person as the degree of fitness or divergence; (2) rather than calculating the difference, examining the effects of the difference (on external criteria such as organizational commitment) independently in the case where a certain value of a corporate cultural dimension excels the corresponding personal value, and in another case where the corporate cultural value is less than the corresponding personal value; or (3) using only one or some cultural dimension(s) that record(s) high value rather than all seven dimensions.

Moreover, the calculation of the central or representative corporate value is a basic but difficult problem. The representative can be computed in various ways, such as by using the normative or actual value given by the top management, who affects corporate culture and other subsystems, including recruitment criterion; using the mean of the actual value given by the many employees; or using the average value assessed for each department, as subgroups also have individual subcultures.

Therefore, apart from operationalizing P-O fit and determining which representative of an organization to use, our next challenge is to examine the relationship between P-O fit and external criteria such as organizational commitment, intention to turnover, and tenure of adopted employees.

5.2 Implications for corporate recruitment practices

Ogawa & Osato (2013 forthcoming, b) pointed out that in Japanese hiring practices of new graduates there was the conflict between their effort to form large-scale population of new graduates and their preference for direct interview with new graduates. That is, although ‘the marketing model of new graduate hiring’ (Takahashi, 2010), which referred to the effort to recruit large numbers of new graduates (often over ten thousand) is customary, Japanese companies have tried to judge the applicants by interviewing as many as possible. They attract new graduates through aggressive public relations such as job fairs for college students of dozens of times and recruitment web sites requiring millions of yen of funds to use, but it is almost impossible to meet all students face to face because of staff, location, and time constraints. Therefore, the companies have arbitrarily rejected on the basis of a check of their personal resumes called entry sheets and/or the results of cognitive tests. It also takes so much time and money or manpower.

In spite of those costs, these measures do not match the traditional and common criterion used by many Japanese companies: ‘Do we want to work together with the applicant?’ If the companies could assess the compatibility between their organization and the students in advance, they would not need to create large samples of suitable and unsuitable candidates costly and rather could form appropriate size of applicants the companies can interview directly.

Admittedly, as multiple interviews by many concerned staff functions as the groundwork or process for obtaining consensus on the hiring of newcomers, it is not pragmatic to select applicants by depending only on this P-O fit assessment tool. However, using an index tailored to each company, rather than an arbitrary standard like a cognitive ability test, would enable more economical and effective hiring practices.

One of the reasons why Japanese companies too much highly regards direct interviews in hiring process, there seems to be the distrust of the existing assessment tools. Based on the above, the development of the tool with high precision seems to be demanded still more in future.

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クリエイティビティ

創造性を育む

とっておきの方法



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技術革新と創造性

企業の競争力の源泉はなにか？

製造業が主役のわが国では、職人の手作業に根を下ろした技術と品質がその一つだ。池井戸潤による直木賞受賞作『下町ロケット』（小学館 2010 年）には、競争力を生み出す技術者のプライドが、いきいきと描かれている。

「できるところは手作業でやる。手作業だと、機械でやるのとは比べて、考えるヒントが生まれる。…結果的に試作工程の効率を上げることになるわけだ。」

戦略論談義が盛んであれば、競争力はイノベーションから生まれると唱える。生産手段や資源、労働力などを、それまでとは異なる仕方で新結合することを意味するイノベーション。「技術革新」とも訳されている。ご存じのように、イノベーションの基礎は J. A. シュンペーターに始まる。そして、それは 2 つに分けられてきた。

新製品の開発によって競争力優位を達成す

るプロダクト・イノベーション（製品革新）と、製造方法や製造工程を改善することによって競争力優位を達成するプロセス・イノベーション（工程革新）である。わが国の組織が得意なのは、どちらかといえば、後者のほうだ。

組織の生み出す創造的営みが「^{イノベーション}技術革新」だとすると、個人の創造的営みをもたらすのが「^{クリエイティビティ}創造性」である。

創造性がなぜ大切なのかについて、あらためて論じる必要もないだろう。有史以来、われわれ人類は、その創造性のおかげで豊かな文明を形作ってきた。組織が生まれるはるか以前から、個人の創造的営みが社会を形作ってきたのだ。

とはいえ、創造性を定義するのはむずかしい。まずもって、創造性と近い言葉—独創性、新奇性、想像力、発想力、着想、インスピレーション、創意工夫など—とはっきり区別することができない。だから、創造性研究の第一人者であるハーバード大学テレサ・アマビレでさえ、「創造性は定義できない」とさじを投げている。

一方、インディアナ大学ジョナサン・プラッカーは、創造性をまことにシンプルに定義している。「新奇で、かつ有益なものを生み出す能力」というふうに。

つまり創造性には、「新奇性」と「有益性」の2つがセットでなければいけない。たんに「新しい」だけではダメ。新しさだけでは、突飛で常軌を逸した考え方と区別できないからだ。創造性には、社会のためになる有益なものを含まなければならないのである。

創造性はだれに宿るのか？

ふつう、創造性を天才や偉人のものとするふしがある。創造性が高いと思われる人物を思い浮かべてみよう。たとえば、レオナルド・ダ・ヴィンチやシェイクスピアやベートーベンや手塚治虫など。天分の才をいかんなく発揮して、後世に名を遺すような偉大な発明や作品を生み出す人がいる。このような天才の資質を「ビッグC創造性」と呼んでいる。

一方、われわれ一人ひとは、日々の生活の中で、新しく有用な働きかけをする。たとえば賢い主婦が、冷蔵庫の残りものを使って、わが家ならではの昼ごはんをこしらえたりする。こちらを「リトルC創造性」と呼んでいる。

創造的活動は、一握りの天才の手に委ねられるのではなく、普通の人々の小さな創造性の積み重ねでもできている。革新的なアイデアは出せなくても、不断のカイゼンによって細かな欠点を無数に修正していけば、きわめて高い品質を実現できる。そこにわが国の強みがあり、イノベーションの源があるのだ。

創造性と問題解決はイコールではない

組織と個人が創造性を発揮しようと思えば、まず、創造性について頭で理解するのが

近道である。叙述家のグラハム・ワラスは、新しく有益なアイデアを創造するプロセスに、4つのステップがあることを唱えている。

まずは準備期 (preparation)。創造的思考を行う前段階として、関連する情報を収集し、その領域自体を人より深く知るのが準備の段階だ。専門性がないところに、新しいものが生まれるはずもない。それは、芸術でも科学でも技術でも同じである。音楽家やトップアスリートが、幼少期から練習を始めるのと同じように、分野の知識を得ることは、創造的思考の基礎訓練といってもよいだろう。

第2の孵化期 (incubation) では、収集した情報を頭の中であたため、考えが醸成されるまで待つ時期である。起業を後押しするときに、インキュベーションというカタカナがよく出てくる。インキュベーションは、篤志家がお金を出すことだというのは勘違い。まだ世に出ぬものを大切にたたためて、寝かせておくのが本当の意味である。

ただし、必死に考え続けるだけでは、新しいアイデアが生まれるとは限らない。ときにはいったん問題から離れ、一見無関係なことをしながら、考えが熟して自然に湧き出てくるのを待つのがよい。

第3の啓示期 (illumination) とは、突発的にアイデアが閃く瞬間である。それは、神の啓示のように突然であり、強い確信を伴うものでもある。この閃きこそが、創造性たるゆえんだ。

そして、第4の検証期 (verification) では、閃いた考えを評価・吟味し、それが正しいことを検証する。アイデアは、素晴らしいものであればあるほど、実現がむずかしい。だから、考えを実行可能な形にまで落とし込むこ

とが肝心である。それを行うのが検証期だ。

ソリューション・ビジネスでは創造的問題解決が理想とされるので、しばしば混同されているが、創造性と問題解決はイコールではない。創造性のプロセスは、問題解決のプロセスとは似て異なるものだ。

スタンフォード大学の数学者ジョージ・ポリア（本名ポーヤ・ジェルジ）によれば、問題解決にも大きく4つのステップがあるという。①問題の定義→②解決策の計画立案→③実施→④結果の評価という一連の流れである。

ただし、問題解決では、問題の定義づけや原因の分析や計画立案や結果の評価といったあらゆるステップで、論理的・合理的思考が支配的な役割を担う。だから、創造性を特徴づける突発的な閃きや、ユーレカ（ユリイカ）¹やセレンディピティ²といった不可解な直感認識は、とりたてて強調されることはない。

直感・第六感の復権

合理性が支配するビジネス界では、理性と直感の対比は、一つの大切な示唆を与えてくれる。合理的であることが付加価値と結びついているわれわれの認識枠組みに、直感や第六感の復権をもたらすからだ。

ノーベル経済学賞を受賞したプリンストン大学の心理学者ダニエル・カーネマンは、『ファスト&スロー』（早川書房 2012年）のなかで、人間の認知に2つのものを区別している。

電話を取った途端に、顧客が怒っているこ

とはすぐにでもわかる。空いた道路では鼻歌交じりに運転できる。こんなふうに、深く考えず、知覚や直感や記憶に頼って即座に、自動的に判断・行動する仕組みをシステム1（速い思考）と呼んでいる。

眠っていたり、意識がないときを除いて、ふだんわれわれは、頭のなかで、システム1の働きによって直感的・自動的にものごとを判断している。ほとんど意識することなく、自動操縦で思考したり判断しているときには、速い思考のお世話になっているのだ。

しかし、ものごとがややこしくなってきた、システム1が解決できないケースに直面すると、システム2が登場し、主導権を握るようになる。システム2は、時間をかけて熟慮し、慎重に理性的に判断する仕組みだ。論理的思考や注意深い判断を特徴としている。

たとえば、「もっと頭を使え！」と説教する場合には、子どもや部下に、しっかりとものをよく考えるシステム2（遅い思考）を求めていることになる。

次頁図1に示したように、この2つの思考にはそれぞれ特徴がある。理性や分析をよしとする近代社会では、システム2のほうを働かせる知的努力を高く買ってきた。

反対に、未だ見ぬ将来を予見して創造性を求めれば、直感に頼った思考法をとるのがよい。「コンピュータより勘ピュータ」といった寒いギャグを飛ばすおっさん（関西ではおっちゃん。ちょっとカワイイ）には、苦笑したくなるのもやまやまだが、勘ピュータにも優れた点がある。

¹ ユーレカ：《ギリシャ語で、われ見いだせりの意から》アルキメデスが金の純度の測定法を発見した際に叫んだとされる言葉。（デジタル大辞泉より）

² セレンディピティ：求めずして思わぬ発見をする能力。思いがけないものの発見。運よく発見したもの。偶然の発見。（デジタル大辞泉より）

理性と論理でがんじがらめにされた知的努力（システム2の働き）には、つらくて気が滅入ってしまう。一方、システム1を頼りに連想を働かせていけば、気分が開けて、楽しくなる。創造的な営みは往々にして楽しいものなのだ。

図1 速い思考と遅い思考

	認知	長所	短所	気分
システム1 (速い思考)	直感	創造性	騙されやすさ	上機嫌 (楽しい・好き)
システム2 (遅い思考)	理性・分析	知的努力	猜疑心・疑り深さ	不機嫌 (辛い・嫌い)

問題解決のジレンマ

多くの大学では、「自ら問題を発見し、解決できる人材」を育てようと躍起になっている。企業の現場でも、問題発見・解決力が求められている。しかし、それを力説し過ぎると、大事なことを見失う。

問題解決のプロセスは創造性のプロセスとは違う。単純化していえば、理性的な問題解決と直感的な創造性とは、頭の使い方が違うのだ。だから、「問題発見！ 問題解決!!」と力まないほうがよい。

問題解決は思考を固着させる。問題発見と問題解決のプロセスでは、論理性ばかりが強調されるから、ロジカルな左脳しか働かない。また、適切な解決策を身につけるとそれに固着してしまい、他の解決策が思いつきにくくなる。自分の経験や習慣などにとらわれてしまって、思考が堅くなってしまうこともある。だからややこしい。

よい解決策は、決して模範解答ではない。混迷した現代に求められる問題解決は、人々をあっという間に、パラダイムシフトを起こすような革新性をもっている。だから、そんな

解決案を評価しようとすれば、模範解答を期待する年長者や権威者からは、きっとバツがつく。本当に創造的な問題解決があるとすれば、それは落第と紙一重の、けた外れなものである。

多くの人が気づかないことに発想の原点を求めること。それが、二番煎じやコピーキャットとならない望ましい解決策を生み出すための秘訣である。それには、論理だけに頼るのではなく、直感を働かせることが大切だ。

創造性訓練の代名詞

では、どのようにすれば、創造性を高めることができるのか？

創造性を高める発想法の代表選手に、ブレインストーミングがある。NHK Eテレ『スタンフォード白熱教室』で、ティナ・シーリグが実践したから、お茶の間でもお馴染みだろう。創造性訓練の代名詞ともなっている。

アレックス・オズボーンによって1950年代に開発されたブレインストーミングでは、グループで協力してアイデアを出し合うことによって、アイデアの連鎖反応や発想の誘発を促していく。

ブレインストーミングでは、参加者は4つのルールを守らなければならない。①自由なアイデアの芽を摘むような、批判や価値判断を慎むこと（批判の禁止）。②だれもが思いつきそうなアイデアよりも、奔放で奇抜な考え方や斬新なアイデアを大切にすること（自由奔放）。③アイデアの質よりも量を重視すること（量の原則）。④他人の意見に便乗し、アイデアを結合させたり、部分を修正して新たなアイデアに発展させること（結合と発展）が推奨されている。

ブレインストーミングは創造性訓練の三冠王だ。知名度・普及度・簡易性の点で、右に出るものはない。その一方、難があるとすれば、訓練法としてとても古いので、博物館とかお墓に入ってしまったほうがいいくらいだ。

はたして、2010年代に直面するビジネス課題に対して、1950年代のメソッドで解決していいのだろうか？ 『マタイによる福音書(9.17)』にもあるように、「新しい酒を古い皮袋に入れはしない」のが鉄則である。

とっておきの創造性訓練メソッド

ブレインストーミングを超える新しい創造性訓練はあるのか？

神戸大学では、創造性を育成するための訓練メソッドを開発している。ICE (Innovation & Creativity Engine) と名付けられた研修プログラムで、図2にあるようなスケジュールを通して、従業員の創造性を高めるお手伝いをしている。

図2 ICEのスケジュール

10:00	イントロダクション
10:10	LEC: レクチャー「創造性とは何か」
10:40	GWK1: 拡散的思考「ブレイン・ストーミング」
11:30	PRS1: グループ・プレゼンテーション
12:00	昼食休憩
13:00	GWK2: 拡散的思考「革新的ビジネス・プランニング」
14:00	GWK3: 収束的思考「プロモーション・ビデオ作成」
15:00	休憩
15:15	GWK3: 収束的思考「プロモーション・ビデオ作成」(つづき)
16:30	PRS2: 映像プレゼンテーション
17:30	ラップアップ
18:00	終了

その中身は2つの思考をトレーニングすることにある。第1は拡散的思考 (divergent thinking) だ。これは、アイデアを拡散的に探索する思考法である。突拍子もない斬新で奇抜な連想を求め、たくさんの着想を出し、アイデアを膨らませていくワークショップを行う。

もう1つが収束的思考 (convergent thinking) である。これは、アイデアを理解可能な形に収束させる思考法である。アイデアを他者に理解してもらうためには、中身を説明したり、ピアールすることが必要だ。そのために、妥当なものと不要なものを取捨選択しながら、発想を可視化したり、実際にアイデアを形にしていくワークショップを行う。

ICEでは、収束的思考のワークショップで、映像と音楽によるコミュニケーションを求めている。自分たちが出したアイデアを、次頁図3にあるようなプロモーション・ビデオとして作品化してもらうことを売りにしている。ビジネスアイデアのプロトタイピング(試作品作り)といってもいい。

アイデアを膨らませるだけの創造性訓練ならば、ブレインストーミングでも、他のプログラムでもできる。ICEでは、このプロトタイピングの過程で、ビジュアル・コミュニケーションを強調することで、他の研修プログラムとの差別化を図っているのだ。

インターネットが張り巡らされた現代では、言語的発想よりも、ビジュアル発想がより求められてくる。文字を極力使わず、音楽と映像を用いて、自分の考えをアピールすること。これこそが新しい形の「頭の体操」(ブレイン・ストレッチ)なのだ。

「頭がしびれる」とか、「発想の出し方がこれまでとは全然違う」とか、参加者の反響に耳を傾ければ、この新しい発想法訓練が、どれほど頭脳を刺激し、日頃使っていない頭の部分を活性化するのに役立っているのかわかるだろう。

図3 プロモーション・ビデオ作品例



*

堀場製作所の社は「おもしろおかしく (Joy and Fun)」。これは決して不まじめをススメているわけではない。まじめにこつこつと、四角四面にアプローチしても、打開できないことがある。それを肝に銘じている。

では、冒頭の『下町ロケット』に戻ろう。

「アイデアなんてものは、捻り出そうとして捻り出せるものではありませんからね。なにかの拍子に沸いて出てくることもある。きっと、どこかにヒントが転がっていますよ。」

グローバルなビジネスシーンにおいて、企業の競争力を支えるのは人材だ。着想の妙が、非凡を平凡から分ける。創造的人材が、組織の競争力を分ける。

だから、たんに「人材」を「人財」と呼び換えても、用は足りない。大切なのは、仕事におもしろみと楽しみをもたらす発想法であり、同時に、創造性を育くむ組織の体制作りなのだ。

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◇最近の著書

『評価の急所：パラダイムシフトを迎える人事評価』(単著、日本生産性本部生産性労働情報センター、2013年)

『<先取り志向>の組織心理学—プロアクティブ行動と組織』(分担執筆、有斐閣、2012年)

『Challenges of human resource management in Japan』(分担執筆、Routledge、2010年)

『人事評価の総合科学—努力と能力と行動の評価』(2012年度日本労務学会学術賞受賞、白桃書房、2010年)

『Jリーグの行動科学—リーダーシップとキャリアのための教訓』(編著、白桃書房、2010年)

『コンピテンシーとチーム・マネジメントの心理学(朝倉実践心理学講座6)』(分担執筆、朝倉書店、2009年)

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『経営とワークライフに生かそう! 産業・組織心理学』(共著、有斐閣、2006年)

MEASURING GLOBAL LEADER INTERCULTURAL COMPETENCY: DEVELOPMENT AND VALIDATION OF THE GLOBAL COMPETENCIES INVENTORY (GCI)

Michael Stevens, Allan Bird, Mark E. Mendenhall
and Gary Oddou

ABSTRACT

Based on a review of multiple literatures, a comprehensive content domain of essential intercultural competencies for effective global leaders is presented. This domain is then used to guide the development of the Global Competencies Inventory (GCI), a 160-item self-report measure that assesses the degree to which individuals possess the intercultural competencies that are associated with global leader effectiveness. Using sample sizes ranging from several hundred to nearly 9,000 subjects, evidence from several studies is presented showing the GCI to have convergent validity, predictive validity, and freedom from demographic and

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ethnic subgroup biases. Implications for theory and future research are also discussed.

Keywords: Global leadership; leadership competencies; intercultural effectiveness; intercultural competencies

In the wake of the challenges that globalization presents to organizations in the 21st century, one of the most pressing concerns for organizations is the development of leaders who are able to lead in a global context (Maznevski, Stahl, & Mendenhall, 2013). The search for a better understanding of global leadership competencies began in earnest in the 1990s and has produced an emergent understanding of competencies that are critical for effective global leadership (Bird, 2013). The identification of global leadership competencies, however, provides only a partial answer to organizations interested in selecting and developing global leaders – once these competencies are delineated, they must then be able to be measured in order to provide top management with the ability to assess global leadership potential in managers, and/or to provide individualized feedback to managers so that they can target weaker competencies for further development.

To date, a variety of inventories have been created to assess global leader competencies; however, the robustness of their reliability and validity is highly variable, and sometimes information about validity and reliability is simply not available (Bird & Stevens, 2013). We aim to fill this assessment gap in the field of global leader through the development of a valid and reliable inventory that measures the intercultural competencies associated with global leadership effectiveness. First, we will summarize the content domain of intercultural competencies needed for effective global leader, and then present empirical evidence in support of the development and validation of a global leadership assessment inventory, the *Global Competencies Inventory* (GCI), that measures the degree to which individuals possess these intercultural competencies.

THE THEORETICAL FOUNDATION FOR THE GCI

Our selection of intercultural competencies associated with global leadership, draws heavily from the delineation of this content domain by

Mendenhall, Stevens, Bird, and Oddou (2008) and Bird, Mendenhall, Stevens, and Oddou (2010). These two works employ two models as foundations for their conceptualization of the content domain upon which the GCI is based: Mendenhall and Oddou's (1985) Dimensions of Expatriate Acculturation, and Black, Mendenhall, and Oddou's (1991) International Adjustment Model (IAM). Separate research conducted in the global leadership literature has found that the intercultural competencies associated with global leadership overlap with the competencies contained in these models that are related to expatriate adjustment (Mendenhall, 2001; Mendenhall & Osland, 2002).

Dimensions of Expatriate Acculturation

Mendenhall and Oddou (1985) reviewed the emergent, interdisciplinary, and disjointed spectrum of empirical studies that investigated variables that influenced successful expatriate acculturation, and brought some conceptual clarity to this literature by developing a three dimensional categorization of competencies; they labeled them: the *perceptual dimension*, the *others-oriented dimension*, and the *self-oriented dimension*.

The Perceptual Dimension

The perceptual dimension is comprised of competencies that are primarily cognitive in nature; that is, they have to do with "the ability to understand why foreigners behave the way they do ... to make correct attributions about the reasons or causes of host-nationals' behavior ... thus reducing uncertainty in interpersonal and intercultural relations (Mendenhall & Oddou, 1985, p. 42). In summary, the perceptual dimension contains competencies that (1) assist global leaders to make functional attributions regarding the causes and intentions that undergird observed behavior by people who differ culturally from them, (2) influence nonjudgmental evaluations of cross-cultural encounters, and (3) continually modify one's cognitive schema in accurate and productive ways that will cause future selection of effective social and leadership behaviors (Mendenhall et al., 2008).

Reviews of this research area substantiate the validity of the perceptual dimension; for example, Mendenhall et al. (2008) report the following as supportive evidence of the perceptual dimension:

Variables receiving general support in the reviews of the literature include: *tolerance of ambiguity* (Arthur & Bennett, 1995; Kealey, 1996; Ones & Viswesvaran, 1997; Ronen,

1989; Stahl, 2001), *nonjudgmentalness* (Dinges & Baldwin, 1996; Oddou & Mendenhall, 1984; Ones & Viswesvaran, 1997; Ronen, 1989; Stahl, 2001), *flexibility* (Arthur & Bennett, 1995; Kealey, 1996; Oddou & Mendenhall, 1984; Ones & Viswesvaran, 1997; Ronen, 1989), *openness* (Arthur & Bennett, 1995; Kealey, 1996; Ones & Viswesvaran, 1997; Ronen, 1989; Thomas, 1998), *categorization* (Gertsen, 1990), *attributional complexity* (Kealey, 1996; Oddou & Mendenhall, 1984) and *cognitive complexity* (Boyacigiller, Beechler, Taylor, & Levy, 2004; Levy, Beechler, Taylor, & Boyacigiller, 2007; Osland, 2008; Osland, Bird, Mendenhall, & Osland, 2006).

The Others-Oriented Dimension

Interacting effectively at the interpersonal level was found to significantly influence both global leaders' and expatriates' abilities to work effectively in global contexts (Mendenhall & Osland, 2002). In 1985, Mendenhall and Oddou were among the first group of scholars to review this literature and they found substantial empirical evidence to support this dimension of intercultural effectiveness. They concluded (1985, p. 41):

The ability to develop long-lasting friendships with host-nationals emerged as an important factor in successful overseas adjustment (Abe & Wiseman, 1983; Brein & David, 1971, 1973; Hammer, Gudykunst, & Wiseman, 1978; Harris, 1973; Hawes & Kealey, 1981; Ratiu, 1983), accounting for large portions of the variance in the factor analytic investigations studying adjustment. (Hammer et al., 1978; Harris, 1973)

Competencies that fall within the others-oriented dimension have continually surfaced as being crucial to working with, managing and leading culturally different coworkers and subordinates from their 1985 review to the present. Mendenhall and his colleagues (2008, p. 9) observed that:

In all of the reviews in both the global leadership and expatriate adjustment literature ... the ability to create and maintain relationships with individuals in cross-cultural/global settings was found to be a key competency domain. (Arthur & Bennett, 1995; Bhaskar-Shrinivas, Harrison, Shaffer, & Luk, 2005; Dinges & Baldwin, 1996; Harrison, Shaffer, & Bhaskar-Shrinivas, 2004; Jordan & Cartwright, 1998; Kealey, 1996; Mendenhall, Kühlmann, Stahl, & Osland, 2002; Mendenhall & Oddou, 1985; Mol, Born, Willemson, & Van der Molen, 2005; Oddou & Mendenhall, 1984; Ones & Viswesvaran, 1997; Osland, 2008; Ronen, 1989; Stahl, 2001; Thomas, 1998; Thomas & Lazarova, 2006)

The Self-Oriented Dimension

The *self-oriented* dimension of expatriate acculturation includes, "activities and attributes that serve to strengthen the expatriate's self-esteem, self-confidence, and mental hygiene" (Mendenhall & Oddou, 1985, p. 40). Mendenhall and his colleagues (2008, p. 14) observed that the following

competencies seem to be the most predominant within the self-oriented dimension:

1. *Coping with stress* (Arthur & Bennett, 1995, 1997; Jordan & Cartwright, 1998; Kealey, 1996; Ones & Viswesvaran, 1997; Ronen, 1989; Thomas, 1998).
2. *Psychological hardiness* (Arthur & Bennett, 1995, 1997; Caligiuri, 2000; Kealey, 1996; Mendenhall, 2001; Mendenhall & Osland, 2002; Osland, 2008; Ronen, 1989).
3. *Interest flexibility* (Arthur & Bennett, 1995; Mendenhall & Oddou, 1985).
4. *Self-confidence* (Arthur & Bennett, 1995, 1997; Bhaskar-Shrinivas et al., 2005; Goldsmith, Greenberg, Robertson, & Hu-Chan, 2003; Hechanova, Beehr, & Christiansen, 2003; Jordan & Cartwright, 1998; Kealey, 1996).
5. *Optimism* (Arthur & Bennett, 1995, 1997; Caligiuri, 2004; Jokinen, 2005; Kealey, 1996; Kühlmann & Stahl, 1996, 1998; McCall & Hollenbeck, 2002; Ronen, 1989).

The categorizations developed by Mendenhall and Oddou (1985) have proven to be a significant theoretical contribution (Thomas, 1998). For example, Konopaske, Mendenhall, and Thomason (2009) found that the 1985 review is the second most cited article on expatriation in the field of international management.

The International Adjustment Model

In 1991, Stewart Black, Mark E. Mendenhall, and Gary Oddou developed a more comprehensive theory of expatriate adjustment that incorporated the Mendenhall and Oddou framework (Black et al., 1991). According to Bhaskar-Shrinivas et al. (2005) “the adjustment model proposed by Black et al. (1991) has instigated and galvanized a large body of evidence. It is the most influential and often-cited theoretical treatment of expatriate experiences ...” (p. 257).

The IA model recategorized the original three dimensions as follows: (1) the *self-oriented dimension* became *self-efficacy* (with an added emphasis based on Bandura’s (1977) conceptualization of self-efficacy, wherein individuals’ self-beliefs about their ability to succeed in new tasks influences future outcomes), (2) The *others-oriented dimension* became *relational*, and (3) The *perceptual dimension* became *perceptual* (Bird et al., 2010). These

three dimensions, self-efficacy, relational, and perceptual, together formed the *Individual* dimension of the IAM; the other three dimensions in the model that are direct determinants of expatriate adjustment are: *job*, *organizational*, and *nonwork* (Black et al., 1991).

Reviewers agree that empirical validation of the IAM abounds (Bhaskar-Shrinivas et al., 2005; Hechanova et al., 2003; Mendenhall et al., 2002; Shaffer, Harrison, & Gilley, 1999). Bird et al. (2010) reported that:

A comprehensive meta-analysis of the IAM by Bhaskar-Shrinivas and colleagues (2005) included over 50 determinants of expatriate adjustment using data from 8,474 expatriates in 66 studies. They emphasized the “centrality, criticality, and complexity of adjustment, strongly supporting Black et al. (1991) model” (Bhaskar-Shrinivas et al., 2005, p. 257). They also concluded that the “meta-analytic findings attest to the importance of some individual factors – overall self-efficacy and relational skills – in predicting expatriate adjustment. The variance explained by the latter exceeded that explained by other predictors by 30 percent.” (p. 272)

Recently, the IAM model was found to be the top cited article on expatriation in the field of international management (Konopaske et al., 2009). Based on their review of the literature associated with the IAM, Bird and his colleagues (2010) concluded that:

Empirical evidence suggests that the content domain of intercultural competence can be usefully organized using three broad dimensions for individuals: the *cognitive/perceptual*, *other/relationship*, and *self/self-efficacy* domains (Bhaskar-Shrinivas et al., 2005; Black et al., 1991; Mendenhall & Oddou, 1985; Thomas, 1998). For clarity purposes, these three factors have been re-titled the *perception management*, *relationship management*, and *self-management* factors.

In the next section, we discuss the specific dimensions for each of these three content factors. Each dimension is included due to its consistent manifestation as a robust variable in the empirical research literatures of global leadership and expatriate adjustment. The GCI measures the dimensions associated with each of the three factors.

Perception Management

Perception management refers to the cognitive approach people employ to perceive the world around them, particularly cultural differences. It encompasses “mental flexibility when confronted with cultural differences, the tendency to avoid making quick judgments about differences, the ability to manage perceptions when confronted with situations that differ from what was expected, and the flexibility in pursuing personal interests and

activities” (Mendenhall et al., 2008, p. 5). Our perceptions are central to intercultural effectiveness because “they determine the conclusions we arrive at about a particular culture and therefore determine the quantity and quality (i.e., accuracy) of the information we use to think about and act toward a given culture and its people” (Mendenhall et al., 2008, pp. 5–6). This factor consists of five discrete dimensions: *nonjudgmentalness*, *inquisitiveness*, *tolerance of ambiguity*, *cosmopolitanism*, and *interest flexibility*.

Nonjudgmentalness is the extent to which one is “predisposed to avoid quick judgments or suspend evaluative conclusions about persons or situations or behaviors that are new, unfamiliar or unexpected” (Mendenhall et al., 2008, p. 6), and this dimension has been found to relate to intercultural effectiveness in both the expatriate and global leadership literatures (Arthur & Bennett, 1995, 1997; Cui & Awa, 1992; Gertsen, 1990; Hudson & Inkson, 2006; Kühlmann & Stahl, 1996, 1998; McCall & Hollenbeck, 2002; Moro Bueno & Tubbs, 2004; Oddou & Mendenhall, 1984; Sinangil & Ones, 1997).

Inquisitiveness is the openness towards, and an active pursuit of understanding, ideas, values, norms, situations, and behaviors that are new and different. It encompasses a “willingness to seek an understanding of the underlying reasons for cultural differences, avoiding an inclination to stereotype, and the predisposition to seek opportunities for growth and learning” (Mendenhall et al., 2008, p. 6). Bird and his colleagues (2010) observed that this dimension is commonly manifested in the global leadership literature (Bird & Osland, 2004; Jokinen, 2005; Osland, 2008), identified in work by Kealey and his associates (Kealey, 1996; Kealey & Ruben, 1983), regularly found in the expatriate literature (Arthur & Bennett, 1997; Black & Gregersen, 1991; Hudson & Inkson, 2006; Mol et al., 2005), and Black, Morrison, and Gregersen (1999) concluded that it was the most critical of the global leadership factors they studied, acting as a type of conceptual “glue” that bonded the other global leadership factors together.

Tolerance of ambiguity reflects an ability to cope with uncertainty in new and complex situations. Though someone may be open to new ideas or experiences, it does not necessarily mean they are able to cope with the associated ambiguity and uncertainty (Bird et al., 2010). Bird and his colleagues (2010) report that the literature on global leadership has commonly found tolerance of ambiguity to be an important contributor to intercultural effectiveness (Jokinen, 2005; Mendenhall & Osland, 2002; Osland, 2013), and that similar support has been found for it in the expatriate literatures (Arthur & Bennett, 1995, 1997; Cui & Awa, 1992; Herman,

Stevens, Bird, Mendenhall, & Oddou, 2010; Kühlmann & Stahl, 1996, 1998; Ones & Viswesvaran, 1997; Stahl, 2001). Also, they report that the ability to embrace uncertainty and find it motivating is an important competency of global leaders (Black et al., 1999), and tolerance for ambiguity is a contributor to effective intercultural communication (Ruben & Kealey, 1979).

Cosmopolitanism refers to an interest in different countries and cultures, as well as an interest in world and international events (Bird et al., 2010; Mendenhall et al., 2008). It has been shown that being able to view people and events beyond the borders of one's own cultural and geographical perspective is critical for intercultural effectiveness (Flango & Brumbaugh, 1974; Goldberg, 1976; Kedia & Mukherji, 1999). It is clear from the global leadership literature that this dimension is important in order for managers to operate effectively in global contexts (Bird & Osland, 2004; Mendenhall & Osland, 2002; Osland et al., 2006). We adopt Levy and her colleagues' framing of this dimension when they noted that it "represents a state of mind that is manifested as an orientation toward the outside, the Other ... a willingness to explore and learn from alternative systems of meaning held by others" (2007, p. 240).

Interest flexibility is defined as a "willingness to substitute important personal interests from one's own background and culture with similar, yet different interests in the host culture" (Bird et al., 2010, p. 820). Mendenhall and his colleagues (2008) found in their review of the literature that discovering new interests and activities to replace existing ones that do not fit within a different cultural context demonstrates flexibility and a willingness to adapt (Arthur & Bennett, 1995, 1997; Brein & David, 1973, 1976; Hudson & Inkson, 2006; Kühlmann & Stahl, 1996, 1998; Mumford, 1975; Shaffer, Ferzandi, Harrison, Gregersen, & Black, 2003; Zimmerman, Holman, & Sparrow, 2003).

Relationship Management

Relationship management is concerned with a person's orientation toward the importance of relationships in general. It encompasses interest in others, awareness of others and their interaction styles and values, as well as an awareness of oneself and one's impact on others (Bird et al., 2010; Mendenhall et al., 2008). Developing strong relationships with people who differ culturally also provides "cross-cultural mentoring" – leaders can receive information that helps them decode culturally complex incidents

(Bird et al., 2010; Mendenhall et al., 2008). Intercultural relationship development has also been found to be an important asset to effective intercultural job performance (Harrison & Shaffer, 2005; Mol et al., 2005). The relationship management factor consists of five discrete dimensions: *relationship interest*, *interpersonal engagement*, *emotional sensitivity*, *self-awareness*, and *social flexibility*.

Relationship interest is defined as the degree to which “people exhibit interest in, and awareness of, their social environment” (Bird et al., 2010, p. 816; Mendenhall et al., 2008). This dimension is frequently combined with others into a general construct that reflects interpersonal competence (Bird et al., 2010; Mendenhall et al., 2008). For example, Shaffer, Harrison, Gregersen, Black, and Ferzandi (2006) conceptualize it as *people orientation*, and Mol and associates (2005) label it *interpersonal interest*, and found that it consistently predicted expatriate job performance (Mendenhall et al., 2008). Others finding support for this dimension include Arthur and Bennett (1997), Kühlmann and Stahl (1996), and Sinangil and Ones (1997).

Interpersonal engagement is the extent to which “people have a desire and willingness to initiate and maintain relationships with people from other cultures” (Bird et al., 2010, p. 817; Mendenhall et al., 2008). As with the relationship interest dimension, several terms have been employed by various scholars to denote this dimension; despite this construct definitional chaos, the overriding finding in the literature is that relationship development, however it is defined, is a key predictor of intercultural effectiveness (Bird et al., 2010). For example, in their meta-analytic study of the expatriate adjustment literature, Bhaskar-Shrinivas et al. found that “the variance explained by [relational skills] exceeded that explained by other predictors by 30 percent” (2005, p. 272).

Emotional sensitivity addresses the extent to which “people are aware of, and have sensitivity to, the feelings of others” (Bird et al., 2010, p. 817; Mendenhall et al., 2008). Studies consistently reflect the importance of emotional sensitivity to intercultural effectiveness (Cui & Van den Berg, 1991; Jordan & Cartwright, 1998; Martin & Hammer, 1989; Moro Bueno & Tubbs, 2004; Selmer, 2001). It is also akin to *agreeableness*, which was found by Mol and his colleagues in 2005 in their meta-analysis to predict expatriate job performance and by Shaffer and her associates in 2006 to predict interaction adjustment.

Self-awareness is defined as the extent to which people possess awareness of themselves in their interactions with others. It focuses on awareness of personal strengths and weaknesses in interpersonal skills, the influence of

past experiences on self-concept, how one's values and behaviors impact others who are culturally different (Bird et al., 2010; Mendenhall et al., 2008). Scholars who have found self-awareness to be an important global leadership competency include Bird and Osland (2004), Chen (1987), Goldsmith et al. (2003), Jokinen (2005), Varner and Palmer (2005), and Wills and Barham (1994).

Social flexibility refers to “the extent to which individuals present themselves to others in order to create favorable impressions and to facilitate relationship building” (Bird et al., 2010, p. 818; Mendenhall et al., 2008). This dimension is quite similar to that of self-monitoring (Snyder, 1974), since Kealey describes it as “the ability to modify ideas and behavior, to compromise, and to be receptive to new ways of doing things” (1996, p. 86). The social flexibility dimension is widely noted in the global leadership literature (Mendenhall & Osland, 2002; Osland, 2008), as well as in the expatriate literature (Kühlmann & Stahl, 1996, 1998; Martin & Hammer, 1989; Ward, 1996), and it has been associated with expatriate adjustment and effective functioning in a new culture (Caligiuri, 1995; Harrison, Chadwick, & Scales, 1996; Hechanova et al., 2003; Montagliani, 1996).

Self-Management

Self-management involves two aspects of managing the self—strength of identity and the ability to effectively manage emotions and stress (Bird et al., 2010; Mendenhall et al., 2008). Mendenhall et al. (2008) describe the importance of this factor:

To be effective in a global context, people must be able to understand, change and adapt appropriately to the foreign work and intercultural environment, yet at the same time, they must also have a stable sense of self in order to remain mentally and emotionally healthy. (p. 14)

Six discrete dimensions comprise this factor: *optimism*, *self-confidence*, *self-identity*, *emotional resilience*, *non-stress tendency*, and *stress management*.

Optimism is defined as “the extent to which a person maintains a positive, buoyant outlook toward other people, events, situations and outcomes” (Mendenhall et al., 2008, p. 14). The inclusion of optimism as a dimension in the self-management factor is based upon research from both the global leadership and expatriate literatures (Caligiuri, 2004; Gertsen, 1990; Kealey, 1996; Kühlmann & Stahl, 1996; McCall & Hollenbeck, 2002;

Ones & Viswesvaran, 1997). For example, Kealey (1996) found that “one of the best predictors of professional effectiveness overseas is a positive attitude on the part of the expatriate. Feelings of being positive, excited, strong, and determined ... are indicators of potential to succeed” (1996, p. 86).

Self-confidence (or as the research literature generally refers to it, *self-efficacy*) refers to the trust and assurance people have in themselves, and to the inclination to believe that through persistence they can overcome obstacles (Bird et al., 2010; Kealey, 1996; Mendenhall et al., 2008). It has been found to be an important contributor to intercultural effectiveness and adjustment (Arthur & Bennett, 1995, 1997; Bhaskar-Shrinivas et al., 2005; Gertsen, 1990; Goldsmith et al., 2003; Harrison et al., 2004; Hechanova et al., 2003; Jordan & Cartwright, 1998; Shaffer et al., 1999; Smith, 1966), and meta-analyses of the expatriate adjustment literature have concluded that it is a significant predictor of success overseas (Bhaskar-Shrinivas et al., 2005; Hechanova et al., 2003).

Self-identity addresses the degree to which “people maintain personal values independent of situational factors and have a strong sense of personal identity” (Bird et al., 2010, p. 819; Mendenhall et al., 2008). Mendenhall and colleagues observe that people with “high self-identity can adapt culturally, but will do it in a way that maintains a strong framework of personal values, thus allowing them to maintain a sense of their personal integrity” (2008, p. 16). Self-identity and its parallel construct, *independent self-construal*, have been found in a number of studies to positively influence effective intercultural interaction (Black et al., 1999; Goldsmith et al., 2003; Kealey, 1996; McCall & Hollenbeck, 2002; Oguri & Gudykunst, 2002; Pi-Ju Yang, Noels, & Saumure, 2006; Yamaguchi & Wiseman, 2001).

Emotional resilience reflects the degree to which a person possesses the emotional strength and resilience to cope with stressful and challenging intercultural situations (Bird et al., 2010; Mendenhall et al., 2008). Sometimes described as hardiness, it is a common predictor of the global leadership literature (Bird & Osland, 2004; McCall & Hollenbeck, 2002; Mendenhall & Osland, 2002; Wills & Barham, 1994) and the expatriate literature (Arthur & Bennett, 1995, 1997; Caligiuri, 2000; Kealey, 1996). A similar construct, *perseverance*, was also found by Kealy in his 1996 review of the literature to be important to being successful in overseas work settings.

Non-stress tendency reflects “the scope of the dysfunctional stressors that may influence people in their daily work and social life in intercultural situations” (Mendenhall et al., 2008, p. 17). Kets de Vries, Vriegnaud, &

Florent-Treacy (2004) called this *resilience to stress* in their writings on global leadership. Kealey (1996, p. 86) describes it as “the ability to be calm and steadfast despite opposition, difficulties, or adversity Learning to be patient is critical for success.” It reflects an internal predisposition to view particular contexts or events as stressful – regardless of the actual degree to which the stressors may be present, and is important to living and working successfully in a cross-cultural context (Arthur & Bennett, 1995, 1997; Gordon, 1967; Mischel, 1965; Mol et al., 2005; Shaffer et al., 2006; Smith, 1966).

Stress management is the extent to which individuals actively employ various techniques or practices to cope with and recover from stress and also the degree to which they effectively organize their time. Active engagement in stress reduction activities and effective time management enhances emotional resilience and increases the ability to deploy other global competencies effectively. Research on expatriate adjustment (Arthur & Bennett, 1995, 1997; Coyle, 1988; Feldman & Thomas, 1992; Feldman & Tompson, 1993; Kealey, 1996; Redmond & Bunyi, 1991; Searle & Ward, 1990; Tung, 1998) finds strong support for the relationship between stress management and adjustment, a contributor to intercultural competence.

METHODS

Instrument Development

Item Generation

In order to develop a comprehensive set of survey statements that would ensure more than adequate content validity across all 16 dimensions of our domain of intercultural competencies, the content domain described above was used to develop a pool of self-report survey items that was large in scope and high in content validity. Given the intended application of the GCI for high-stakes employment outcomes (i.e., for decisions such as selection and placement for desirable global leadership positions, or assignment to fast-track management training programs), we also addressed the potential for self-report response bias by including a social desirability scale of “unlikely virtues” (Ones, Viswesvaran, & Reiss, 1996; Viswesvaran, Ones, & Hough, 2001). For the initial pool of items, 327 self-report statements were generated. All items were written using a five-point Likert scale

format, with response options ranging from 1 = “strongly disagree,” 2 = “disagree,” 3 = “neither agree nor disagree,” 4 = “agree,” to 5 = “strongly agree” (Mendenhall et al., 2008).

Pilot Data Collection and Analysis

A large-scale pilot study was conducted to collect a sample size sufficiently large enough to allow for stable psychometric analysis of the items across each of the respective 16 facet subscales and the social desirability scale. Both random and convenience sampling was used to recruit subjects from diverse professional, educational, ethnic, and demographic groups. The goal was to ensure that findings from the pilot study could be generalized to the widest possible set of cross-cultural populations on whom the final validated version of the GCI was intended for use.

The 327-item pilot version of the GCI was completed by 2,308 subjects. Their self-reported demographic characteristics were as follows: (1) 7% of subjects were under the age of 20 years, 44% were between 20 and 29 years, 22% were between 30 and 39 years, 18% were between 40 and 49 years, and 9% were 50 years and older. Eleven percent of subjects self-identified as “top level executive or professional employee,” 27% as “middle management or administration,” 18% as “entry level or supervisory management,” 32% as “student and/or hourly employee,” and 12% as “other.” Regarding gender, 56% of the subjects self-identified as “male,” and 44% self-identified as “female.” Sixty-nine different nationalities of origin were manifested in the pilot study; however, only 16 countries provided more than 10 unique subjects. North America (i.e., Canada and the United States) provided 56% of the subjects, followed by Asian countries with 26%, Europe with 11%, and the remaining 7% of the subjects came from countries across Latin America, Africa, and the Middle East.

The final usable sample size of 2,308 subjects was deemed more than adequate to meet the recommended minimum subject-to-item ratio of 5-to-1 in order to conduct stable psychometric analyses on the pool of 327 pilot study items (Hair & Black, 1998; Nunnally & Bernstein, 1994). Standard summated rating scale construction procedures and techniques were used in evaluating item intercorrelations for each of the various GCI subscales (Spector, 1992). Our goal was to identify the most parsimonious set of items for the final version of the GCI by eliminating redundant or internally inconsistent items, while also retaining appropriate levels of coefficient alpha reliabilities for each of the 16 subscales and the social desirability scale.

Subscale items were examined via rotated Principal Component Analysis to determine the extent to which individual survey questions for each given subscale were intercorrelated with one another. Items that yielded poor factor loadings were deemed unacceptable and thus eliminated from inclusion in the final version of the GCI. For those items that were retained, the respective subscale intercorrelations (i.e., factor loadings), along with the coefficient alpha reliabilities of each subscale, are presented in Tables 1–4. In all cases, the final set of retained items demonstrated factor loadings at least greater than .400, and subscale alphas were all above .72. The results of the pilot study data analysis thus supported

Table 1. Item-Total Correlations, Coefficient Alpha Reliabilities, and Sample Items (by Subscale) for Perception Management (49 Item Composite Coefficient Alpha = 0.91).

1. Nonjudgmentalness (coefficient alpha = 0.72)	
Item NJ01	0.496
Item NJ02	0.604
Item NJ03	0.455
Item NJ04	0.670
Item NJ05	0.656
Item NJ06	0.521
Item NJ07	0.489
Item NJ08	0.625
Item NJ09	0.488
<i>Sample items</i>	
"People are too self-centered."	
"In my experience, people are pretty stubborn and unreasonable."	
2. Inquisitiveness (coefficient alpha = 0.84)	
Item NQ01	0.608
Item NQ02	0.583
Item NQ03	0.593
Item NQ04	0.725
Item NQ05	0.726
Item NQ06	0.665
Item NQ07	0.652
Item NQ08	0.583
Item NQ09	0.645
Item NQ10	0.648
<i>Sample items</i>	
"I treat all situations as an opportunity to learn something."	
"I seek experiences that will change my perspective."	

Table 1. (Continued)

3. Tolerance of ambiguity (coefficient alpha = 0.73)	
Item TA01	0.538
Item TA02	0.450
Item TA03	0.467
Item TA04	0.457
Item TA05	0.499
Item TA06	0.498
Item TA07	0.405
Item TA08	0.490
Item TA09	0.563
Item TA10	0.569
Item TA11	0.606
Item TA12	0.497
<i>Sample items</i>	
"I can be comfortable with nearly all kinds of people."	
"What we are used to is always preferable to what is unfamiliar."	
4. Cosmopolitanism (coefficient alpha = 0.84)	
Item CM01	0.709
Item CM02	0.704
Item CM03	0.775
Item CM04	0.584
Item CM05	0.735
Item CM06	0.611
Item CM07	0.823
<i>Sample items</i>	
"My friends would say I know a lot about world geography."	
"I routinely read stories about international news."	
5. Interest flexibility (coefficient alpha = 0.83)	
Item IF01	0.633
Item IF02	0.610
Item IF03	0.538
Item IF04	0.535
Item IF05	0.614
Item IF06	0.596
Item IF07	0.614
Item IF08	0.598
Item IF09	0.675
Item IF10	0.652
Item IF11	0.607
<i>Sample items</i>	
"I am quick to explore new interests and hobbies."	
"I find changing my routine to be annoying."	

Notes: All item-total correlations are significant at $p < 0.01$.

Table 2. Item-Total Correlations, Coefficient Alpha Reliabilities, and Sample Items (by Subscale) for Relationship Management (48 Item Composite Coefficient Alpha = 0.91).

6. Relationship interest (coefficient alpha = 0.80)	
Item RI01	0.589
Item RI02	0.665
Item RI03	0.582
Item RI04	0.582
Item RI05	0.710
Item RI06	0.737
Item RI07	0.534
Item RI08	0.794
<i>Sample items</i>	
"I'm not that interested in meeting people from other cultures."	
"I like to figure out why people do the things they do."	
7. Interpersonal engagement (coefficient alpha = 0.81)	
Item IE01	0.625
Item IE02	0.628
Item IE03	0.499
Item IE04	0.696
Item IE05	0.620
Item IE06	0.808
Item IE07	0.674
Item IE08	0.804
<i>Sample items</i>	
"I enjoy making friends with people from other cultures."	
"It is hard to find things to talk about with people from other cultures."	
8. Emotional sensitivity (coefficient alpha = 0.74)	
Item ES01	0.433
Item ES02	0.497
Item ES03	0.587
Item ES04	0.560
Item ES05	0.620
Item ES06	0.595
Item ES07	0.669
Item ES08	0.647
Item ES09	0.517
<i>Sample items</i>	
"Before acting, I like to think through how it will impact others."	
"I am normally sensitive to even the slightest change in the facial expression of the person I am talking with."	
9. Self-awareness (coefficient alpha = 0.73)	
Item SA01	0.627
Item SA02	0.605

Table 2. (Continued)

Item SA03	0.552
Item SA04	0.505
Item SA05	0.525
Item SA06	0.549
Item SA07	0.633
Item SA08	0.510
Item SA09	0.583
<i>Sample items</i>	
“I’m aware of my interpersonal style and can easily describe it to others.”	
“I enjoy reflecting on my past experiences to see what I can learn from them.”	
10. Social flexibility (coefficient alpha = 0.72)	
Item SF01	0.400
Item SF02	0.432
Item SF03	0.448
Item SF04	0.420
Item SF05	0.496
Item SF06	0.567
Item SF07	0.431
Item SF08	0.443
Item SF09	0.402
Item SF10	0.482
Item SF11	0.532
Item SF12	0.445
Item SF13	0.526
Item SF14	0.615
<i>Sample items</i>	
“I have no difficulty arguing both sides of an issue.”	
“I can easily adapt to others without compromising my beliefs.”	

Notes: All item-total correlations are significant at $p < 0.01$.

Table 3. Item-Total Correlations, Coefficient Alpha Reliabilities, and Sample Items (by Subscale) for Self-Management (51 Item Composite Coefficient Alpha = 0.92).

11. Optimism (coefficient alpha = 0.74)	
Item OP01	0.541
Item OP02	0.447
Item OP03	0.577
Item OP04	0.601
Item OP05	0.648
Item OP06	0.543
Item OP07	0.436
Item OP08	0.490
Item OP09	0.500

Table 3. (Continued)

Item OP10	0.555
Item OP11	0.479
<i>Sample items</i>	
"I can always find something good in any situation."	
"My friends would say I always look on the bright side of things."	
12. Self-confidence (coefficient alpha = 0.84)	
Item SC01	0.663
Item SC02	0.587
Item SC03	0.700
Item SC04	0.577
Item SC05	0.556
Item SC06	0.581
Item SC07	0.680
Item SC08	0.663
Item SC09	0.688
Item SC10	0.691
<i>Sample items</i>	
"If I work hard at something, I can usually achieve it."	
"I view new situations as opportunities, not obstacles."	
13. Self-identity (coefficient alpha = 0.73)	
Item SI01	0.632
Item SI02	0.657
Item SI03	0.664
Item SI04	0.457
Item SI05	0.584
Item SI06	0.601
Item SI07	0.498
Item SI08	0.609
<i>Sample items</i>	
"I have a personal philosophy that guides my behavior."	
"Even if you have strong beliefs, you can still get along with those who differ."	
14. Emotional resilience (coefficient alpha = 0.81)	
Item ER01	0.698
Item ER02	0.583
Item ER03	0.596
Item ER04	0.697
Item ER05	0.703
Item ER06	0.525
Item ER07	0.608
Item ER08	0.538
Item ER09	0.708
<i>Sample items</i>	
"It doesn't take me long to get over setbacks."	
"I cope well with most things that come my way."	

Table 3. (Continued)

15. Non-stress tendency (coefficient alpha = 0.81)	
Item NS01	0.723
Item NS02	0.706
Item NS03	0.740
Item NS04	0.656
Item NS05	0.765
Item NS06	0.717
<i>Sample items</i>	
"I find it stressful when something unexpected happens."	
"I usually find it difficult to adjust to changes in my normal lifestyle."	
16. Stress management (coefficient alpha = 0.74)	
Item SM01	0.654
Item SM02	0.675
Item SM03	0.566
Item SM04	0.509
Item SM05	0.508
Item SM06	0.718
Item SM07	0.737
<i>Sample items</i>	
"I find it difficult to manage my priorities."	
"When I have to wait, I take advantage of the time by getting other things done."	

Notes: All item-total correlations are significant at $p < 0.01$.

Table 4. Item-Total Correlations, Coefficient Alpha Reliability, and Sample Items for the Social Desirability Scale.

17. Social desirability (coefficient alpha = 0.75)	
Item SD01	0.467
Item SD02	0.603
Item SD03	0.484
Item SD04	0.560
Item SD05	0.591
Item SD06	0.457
Item SD07	0.531
Item SD08	0.516
Item SD09	0.449
Item SD10	0.478
Item SD11	0.429
Item SD12	0.488
<i>Sample items</i>	
"I always tell the truth without exception."	
"Sometimes I try to get by doing as little work as I can."	

Notes: All item-total correlations are significant at $p < 0.01$.

the reduction of the initial pool of items from 327 to 160, with demonstrated favorable psychometric properties.

Convergent Validity

To help ascertain the construct validity of the GCI, data were collected to explore the degree of convergence between the GCI and other already established measures of widely demonstrated validity. Convergent validity is demonstrated through the magnitude of intercorrelations found between different assessments that measure conceptually analogous or closely related constructs. The measure selected for this convergent analysis of the GCI was the NEO PI-R, due to its similarity of response format and its range of comparable underlying constructs across the domain of the five-factor model (FFM) of personality traits and predisposition (Costa & McCrae, 1992; Johnson, Miller, Lynam, & South, 2012; Webb et al., 2013).

The NEO PI-R is a 240-item self-report FFM measure that assesses each of the five higher-order personality domains along with six discrete sub-facets within each of the five higher-order domains (thus generating scores across 35 separate scales and subscales; see Table 5). Like the GCI, the NEO PI-R items are worded as statements such that respondents can easily indicate their level of agreement that a given item is typical of them. Response options range from “strongly disagree” to “strongly agree” on a five-point Likert scale. Sample NEO PI-R items include statements such as: “I am capable of coping with most of my problems” (from the N6: Vulnerability scale), and “I find it easy to smile and be outgoing with strangers” (from the E1: Warmth scale). Meta-analytic studies have shown the NEO PI-R to have well established internal consistency, reliability and validity across large demographic, ethnic, and national populations (Caruso, 2000; McCrae, 2002; McCrae & Allik, 2002; McCrae, Kurtz, Yamagata, & Terracciano, 2011).

Four subject matter experts (SMEs) familiar with the research literature on global leadership were recruited to make predictive evaluations as to which of the 16 GCI dimensions should converge (i.e., have high intercorrelations) with the 35 scales generated by the NEO PI-R professional feedback report. To ensure their familiarity with how the GCI and NEO PI-R both define and measure their respective underlying constructs of interest, the SMEs were given detailed introductions and documentation for both measures and asked to review the material carefully. When ready, the

Table 5. Convergent Validity Intercorrelations between the Global Competencies Inventory and NEO PI-R.

	1. Nonjudgmentalness	2. Inquisitiveness	3. Tolerance of Ambiguity	4. Cosmopolitanism	5. Interest Flexibility	6. Relationship Interest	7. Interpersonal Engagement	8. Emotional Sensitivity	9. Self-Awareness	10. Behavior Flexibility	11. Optimism	12. Self-Confidence	13. Self-Identity	14. Emotional Resilience	15. Non-Stress Tendency	16. Stress Management
Neuroticism (N)	51**	47**	20**	24**	36**	26**	38**	-03	40**	18**	52**	59**	10*	69**	55**	29**
N1: Anxiety	30**	34**	13*	24**	25**	22**	35**	01	34**	23**	45**	48**	07	54**	46**	25**
N2: Angry hostility	40**	44**	11	15*	38**	35**	30**	18**	36**	11	53**	40**	18**	59**	47**	29**
N3: Depression	41**	39**	07	16*	21**	17**	31**	11	48**	10	51**	57**	21**	65**	38**	40**
N4: Self-consciousness	42**	39**	20**	21**	32**	25**	43**	01	30**	15*	37**	51**	14*	41**	34**	25**
N5: Impulsiveness	18**	32**	02	01	17**	03	13*	17*	36**	05	28**	35**	28**	39**	26**	42**
N6: Vulnerability	38**	45**	19**	15*	32**	17*	25**	05	51**	19**	48**	67**	33**	70**	39**	39**
Extraversion (E)	35**	07	14	00	21**	29**	39**	27**	06	03	42**	27**	03	15*	-06	06
E1: Warmth	32**	20**	12	08	28**	41**	48**	35**	13*	10	49**	27**	07	27**	12	22**
E2: Gregariousness	33**	12	11	06	26**	33**	45**	11	-02	06	22**	14*	-16*	06	-01	-04
E3: Assertiveness	33**	38**	19**	12	37**	22**	39**	14*	20**	25**	37**	58**	19**	39**	13*	27**
E4: Activity	15*	14*	07	03	22**	13*	21**	07	15*	12	15*	39**	09	21**	-20**	11
E5: Excitement-seeking	17**	07	19**	-05	28**	27**	21**	-08	04	16*	17*	28**	04	14*	-01	-02
E6: Positive emotions	28**	30**	12*	15*	31**	40**	45**	35**	23**	14*	55**	33**	15*	31**	19**	28**
Openness (O)	25**	50**	40**	46**	64**	57**	53**	30**	27**	20**	46**	47**	21*	40**	38**	28**
O1: Fantasy	04	11	19**	09	24**	19**	18**	04	-08	12	17*	11	01	01	12	-06
O2: Aesthetics	12*	29**	17**	39**	41**	40**	36**	33**	19**	13*	24**	18**	05	22**	23**	20**
O3: Feelings	07	14*	15*	13*	18**	27**	26**	40**	23**	11	26**	15*	25**	08	04	14*
O4: Actions	31**	47**	33**	36**	60**	46**	53**	12*	13*	07	29**	24**	-04	34**	28**	12

Table 5. (Continued)

	1. Nonjudgmentalness	2. Inquisitiveness	3. Tolerance of Ambiguity	4. Cosmopolitanism	5. Interest Flexibility	6. Relationship Interest	7. Interpersonal Engagement	8. Emotional Sensitivity	9. Self-Awareness	10. Behavior Flexibility	11. Optimism	12. Self-Confidence	13. Self-Identity	14. Emotional Resilience	15. Non-Stress Tendency	16. Stress Management
O5: Ideas	25**	46**	31**	23**	49**	36**	34**	12*	32**	21**	40**	55**	26**	48**	32**	25**
O6: Values	25**	24**	42**	17**	35**	31**	27**	06	10	13*	24**	17*	-12	14*	20**	-11
Agreeableness (A)	15**	30**	00	08	17**	30**	24**	45**	19**	-14*	46**	-01	15*	21**	30**	31**
A1: Trust	42**	27**	11	08	23**	27**	35**	36**	19**	01	62**	24**	04	29**	25**	25**
A2: Straightforwardness	12*	09	01	-09	13*	11	08	26**	20**	-27**	32**	01	21**	12	12	20**
A3: Altruism	29**	34**	13*	08	32**	37**	30**	41**	29**	06	56**	30**	24**	36**	21**	27**
A4: Compliance	22**	28**	06	11	23**	24**	20**	28**	15*	01	39**	10	12	30**	34**	30**
A5: Modesty	15*	17**	10	-01	18**	16*	09	27**	12*	-21**	22**	-02	10	11	19**	13*
A6: Tender-mindedness	17*	23**	03	06	27**	29**	26**	38**	20**	-06	44**	19**	21**	17**	20**	29**
Conscientiousness (C)	04	23**	06	11	14*	07	04	24**	39**	13	14*	40**	35**	24**	-06	44**
C1: Competence	19**	36**	16*	06	33**	22**	19**	17**	46**	12	40**	55**	39**	43**	12	36**
C2: Order	02	01	-12	-09	-08	-13*	-03	12*	15*	02	01	19**	02	09	-09	28**
C3: Dutifulness	13*	24**	10	10	17*	17**	21**	24**	37**	10	31**	37**	24**	24**	02	31**
C4: Achievement striving	18**	23**	15*	13*	31**	20**	20**	16*	31**	14*	24**	45**	21**	23**	-07	32**
C5: Self-discipline	25**	30**	13*	14*	26**	16*	19**	10	37**	08	32**	52**	24**	44**	16*	42**
C6: Deliberation	03	25**	-05	15*	10	07	09	19**	28**	-01	12	18**	05	22**	15*	23**

Notes: Boxed cells indicate the predicted convergent intercorrelations. All leading decimal points for intercorrelations have been omitted. All intercorrelations with Neuroticism and its six subfacet scales were negative (as predicted) but their minus signs have been removed from the table.

** indicates $p < 0.01$ and * indicates $p < 0.05$ (one-tailed). Results are based on a sample size of $n = 179$.

SMEs were then asked to independently predict where convergence between the various scales on both measures should be expected. At least three of four SMEs independently predicted convergence for 95 of the intercorrelations in Table 5 (these 95 predicted intercorrelations are identified in Table 5 by the boxed cells).

Data for this convergent analysis were collected by administering both the GCI and NEO PI-R assessments to 179 graduate and undergraduate students from four different universities. Results in Table 5 show that 91 of the 95 predicted intercorrelations had statistically significant values (all in the expected directions), with an average correlation value of $r = .42$ (and standard deviation of 12.9) and the highest correlation of $r = .70$, providing strong evidence in support of the convergent validity of the GCI relative to the NEO PI-R.

Criterion-Related Validity

Predicting Global Management Learning and Transfer

Shortly after its initial development, the GCI was used along with five other variables in a study that examined the antecedents predicting effective individual learning and transfer of global management competencies among 305 Japanese managers while on expatriate work assignments (Furuya, Stevens, Bird, Oddou, & Mendenhall, 2009). In this study, the GCI was used to measure what the authors referred to as “Intercultural Personality Characteristics.” When separated from the model’s other predictor variables, GCI scores predicted managerial ratings of job performance at pre-departure ($r = .25$) but did not predict managerial ratings of job performance while on the expatriate assignment ($r = .06$). Nevertheless, GCI scores did predict peer ratings of job performance while on the expatriate assignment ($r = .34$), as well as peer ratings of job performance pre-departure ($r = .20$). These differences were attributed to the fact that peers had more direct, first-hand knowledge of job performance than did the managers while subjects were on their remote overseas work assignments. This study also found robust predictive validity of the GCI for global management competencies learning while on the overseas assignment ($r = .53$), global management competencies transfer upon repatriation ($r = .42$), and self-reports of job motivation upon repatriation ($r = .45$). The findings from this study by Furuya and colleagues (2009) provide firm evidence

supporting the predictive validity of the GCI for a variety of important global business outcomes.

Predicting Repatriate Adjustment and Institutional Commitment

Another study looked at members of the United States Marine Corps who had experienced mostly one or two deployments and the effects of their deployment experience on various outcome variables (Huerta, 2012). Specifically, Huerta studied the effects of risk factors (difficult living conditions, perceived threats to personal safety, combat exposure, difficult working environments) on posttraumatic growth (a positive transformation after a traumatic experience, such as combat) and repatriate adjustment. About half the subjects were under 25 and had been in the marines less than 4 years, serving one deployment; most of the rest of the subjects were under 35 and had two deployments, having served in the marines between 4 and 10 years.

Huerta (2012) found that the higher marines' GCI scores, the higher the level of repatriate adjustment. He also found that higher scores were associated with greater institutional commitment, which was defined as higher commitment to staying in the Marine Corps.

Predicting Foreign Language Acquisition

In a study recently presented at an international conference of cross-cultural psychology, Keeley (2012) demonstrated that GCI scores are strong predictors of foreign language acquisition. The hypotheses for Keeley's study are based on theories of foreign language learning (Brown, 1980; Schumann, 1986; Taylor, 1974), which have suggested that language acquisition is significantly affected by intercultural competency (or "cultural adaptation"). The argument for this line of reasoning is that the ability to communicate effectively in a new foreign language is greatly enhanced by one's capacity for acculturating to the people and culture of the target language (MacIntyre, Clement, Dornyei, & Noels, 1998; Norton, 2000).

In his study, Keeley (2012) administered the GCI to 86 Chinese students midway through their curriculum of studies at a university in southern Japan. Data on the Japanese language acquisition success of these students was collected by having a single native Japanese speaker interview all 86 students about their thoughts and experiences studying in Japan as a pretext to evaluate their language skills. Each interview was video recorded and lasted approximately seven minutes. A panel of six native Japanese language instructors then evaluated independently the recorded interviews. Panel members were instructed to use a forced-ranking distribution to

assign all 86 students to one of five groups based on relative performance, with 18 students assigned to the top 20% of highest performing students in the interviews, 17 to the next highest group, and so on through to the lowest 20% of students.

Results in Table 6 show statistically significant correlations for predicting Japanese language acquisition for 14 of the 16 GCI subscales and all four of the GCI composite scales (ranging from a high of $r = .62$ to a low of $r = .24$). Although the GCI was originally developed to predict an individual's ability to interact effectively in intercultural contexts, including adaptation to another culture, this study demonstrates that GCI scores can also strongly predict second language acquisition, thus confirming the proposition by Schumann (1986) and others that there is a clear relationship between acculturation and language learning.

Table 6. Correlations between GCI Scores and Panel Member Ratings of Japanese Language Acquisition for Chinese Students Studying in Japan.

	Correlation with Panel Member Ratings
A. Perception management	0.43**
1. Nonjudgmentalness	-0.07
2. Inquisitiveness	-0.02
3. Tolerance of ambiguity	0.41**
4. Cosmopolitanism	0.37**
5. Interest flexibility	0.24**
B. Relationship management	0.52**
6. Relationship interest	0.51**
7. Interpersonal engagement	0.45**
8. Emotional sensitivity	0.54**
9. Self-awareness	0.40**
10. Social flexibility	0.45**
C. Self-management	0.62**
11. Optimism	0.52**
12. Self-confidence	0.49**
13. Self-identity	0.59**
14. Emotional resilience	0.35**
15. Non-stress tendency	0.49**
16. Stress management	0.31**
Overall GCI composite score	0.62**

Notes: Results are based on sample of $n = 86$.

** indicates $p < 0.01$ and * indicates $p < 0.05$ (one-tailed).

Differential Validity

Given the intended cross-cultural uses of the GCI, it was deemed important to explore the degree to which the GCI is suitable across different demographic, ethnic and national subgroups. We wanted to determine whether the GCI was adequately free from cultural or other biases in the distribution of subgroup response patterns.

Differential bias (also referred to as test bias) is a term used to describe the proposition that an assessment is less valid for some population subgroup than it is for the larger population. The typical explanation used to describe this phenomenon is that when a given assessment is developed, it is reflective of the de facto hegemonic culture of the test's developers, often unwittingly, and scores therefore do not necessarily mean the same thing for the various ethnic or demographic minority subgroups. In most cases, though, the basis for asserting test bias is a subjective one, arguing that a measure's items or questions are biased simply because they "look, appear, or feel unfair to specific subgroups" (Geisinger, 2010, p. 1771). A more systematic definition would be something like the following:

Bias is present when a test score has meaning or implications for a relevant, definable subgroup of test takers that are different from the meanings or implications of the remainder of the test takers. (Cole & Moss, 1998, p. 214)

Although a variety of empirical methods have been developed to establish scalar equivalence for measures of psychological traits across subgroups of interest, Schmitt, Allik, McCrae, and Benet-Martinez (2007) demonstrated that one simple and legitimate approach is to begin by comparing differences in subgroup means and variability. As a result, frequency distributions for GCI total scores were generated for 21 identifiable subgroups based on gender, age, education, occupation, ethnic, and national subgroup differences (see Table 7) for all GCI data collected to date ($n=8,929$). The intent was to determine whether the GCI generates scores that have meaning or implications for subgroups "that are different from the meanings or implications of the remainder of the test takers" (Cole & Moss, 1998, p. 214).

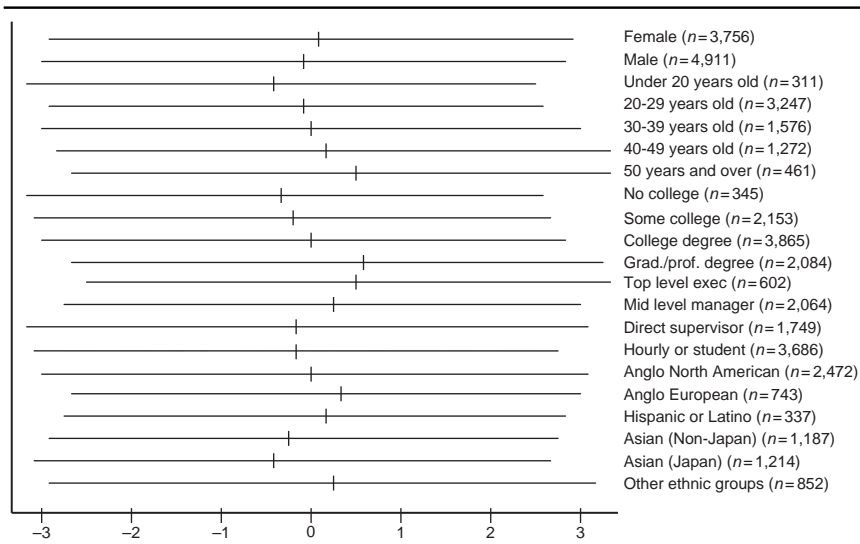
Upon inspection, the frequency distributions in Table 7 do show small between group differences in mean scores for the 21 subgroups, all of which are statistically significant. Given the large sample size involved, this not an unexpected finding. Of greater interest, though, is the finding that the overall range of scores appears to be more informative and insightful. In particular, the range of within group differences (i.e., the distribution of scores

across the entire range of highest to lowest within any given subgroup) is several magnitudes greater than the range of between group mean differences. Or to put it differently, the frequency distributions of Table 7 show that a member from any one subgroup is just as likely to have scores from very high to very low on the GCI as is any member of the other population subgroups or the larger population itself.

This pattern of significantly overlapping subgroup frequency distributions, and the relatively close proximity of subgroup means (i.e., the majority of subgroup means are within ± 0.5 standard deviations of the population mean), supports the conclusion that while statistically significant subgroup differences do exist, the magnitude of those differences are small enough to be viewed as behaviorally insignificant on the intercultural competency traits of interest. Conversely, if GCI test bias existed, it would be indicated by essentially nonoverlapping frequency distributions.

We therefore conclude that individual scores on the GCI are far more likely to reflect important individual differences inherent to the person than

Table 7. GCI Frequency Distributions by Various Demographic, Ethnic, and Professional Subgroups.



Notes: Horizontal axis represents Total GCI z-scores. Horizontal lines represent ± 3 standard deviations for each subgroup, with the vertical hash mark on each line indicating the subgroup mean. Overall normal distribution based on a sample size of $n = 8,929$.

they are to reflect some underlying differences between the various subgroups and the larger population on whom the GCI is normed, and that GCI scores thus demonstrate no meaningful cultural or demographic bias against any of the 21 identified subgroups.

IMPLICATIONS AND APPLICATIONS

The GCI is a measure that comprises a comprehensive set of competencies related to effectively working across cultures. The conceptual basis for the GCI, the methodology used to develop it, and the studies that have employed it, have shown it to be a valid and reliable instrument. As such, there are a number of implications for and applications of the GCI, some of which extend beyond its originally intended purposes.

Initially, the GCI was developed to clarify the competencies needed by global leaders to adapt to and work with people from another culture or to work in foreign environments. The immediate target was expatriates who would be totally immersed in the foreign culture of the host country, who would have to learn new things to perform appropriately and develop new relationships in order to work well with those having different beliefs, values and customs, and finally who would have to be able to manage the stress that comes with that immersion. In this context, the GCI can be and has been used as an instrument to determine the suitability of candidates for intercultural work. As a diagnostic tool, it can identify an individual's relative strengths across the sixteen competency areas to help the person focus on needed competencies and leverage strengths to perform effectively.

Businesses, governments, nonprofit agencies and others regularly send people to foreign countries with less than complete success. The GCI could be used to enhance the likelihood of selecting candidates with a higher probability of successful assignment completion. However, determining someone's likelihood of being a successful expatriate is only one context in which the GCI can prove useful. Fundamentally, what the GCI assesses is a set of competencies that allow individuals to adapt to any context where there are differences in values, beliefs, perspectives, and attitudes – which is to say, any situation where “boundary spanning” activities take place. Given the broader context to which the GCI competencies can be applied, the implications are wide-ranging. Significant differences, for example, exist in beliefs and attitudes between two generations within the same culture in many

places of the world. This is increasingly true as societies become more consumer-focused and exposed to globalization. Younger generations are aware of many trends and information of which the previous generations is often ignorant. Ideas are formed, attitudes change, and behavioral differences arise. Significant differences also exist between members of different religions, races, ethnicities, business functions (e.g., marketing vs. engineering), political parties, and so on. In all of these cases, successful individuals must learn of those differences, be able to bridge relationships between the two groups, and manage the stress that is a by-product of the challenge of bridging those differences and developing those relationships. In short, the GCI holds significant potential as an instrument that can be used effectively to help firms manage diversity issues even in a straightforward domestic context. As individuals become aware of their competencies, they will be better equipped to bridge the differences across generations, religions, gender, ethnicity, business functions, political camps, and so on. Through targeted use of GCI scores in a diagnostic approach, firms can work with individuals to create personal development plans that can improve their competencies and help enable diverse individuals to work more effectively together.

Virtual or colocated multicultural teams are another context where the GCI can prove useful. In virtual team environments, though the individuals are not physically present, differences in attitudes toward work, perspectives about consumer preferences, beliefs about the importance of time, and others are manifested in their interactions. The challenge is still to learn about those differences, develop those relationships and manage the stress. Similarly, with colocated cross-functional and/or ethnically multicultural teams, the same issues exist. Again, the GCI can be used to select individuals more likely to succeed in virtual or colocated multicultural teams. It can also be used to help individuals improve their working relationships by strengthening their weak competencies and leveraging their strong ones.

Managers, above all, have the responsibility of working well with employees who characterize differences of many types and of creating a collaborative team environment when necessary. To do well in such an arena, it is important that managers learn about their employees and develop appropriate relationships with them. The GCI can prove useful to help select managers who will work more effectively with peers and employees in a work context of diversity. While this is especially important when working across national cultures, it can also be of significant value when managing diversity within a domestic environment.

As discussed previously, Keeley (2012) showed that 14 of the 16 GCI subdimensions predicted higher language acquisition levels by Chinese students learning Japanese. The primary rationale postulated is that learners must put themselves in the “shoes” of the people who speak the target language in order to learn it well. An interest in learning about the people and developing relationships with them is very much a part of the context for how and why one learns a foreign language. This orientation apparently facilitates the efficacy of GCI competencies in playing a significant predictive role. There are many contexts in which assessing individuals’ capacity to learn a foreign language is important. For example, the military and the Defense Language Institute assess the technical ability of military personnel to learn foreign sounds and grammar. Applying a methodology for considering the larger context of psychological traits and competencies necessary to learn a new language should enhance the selection process. In particular, an assessment such as the GCI that is predictive of an individual’s ability to continue to learn and perfect the language once in country, would have a significant positive impact. Similarly, organizations such as the Peace Corps, Doctors Without Borders, foreign service agencies, and many others, would benefit from assessing participants’ predispositional competencies related to learning a foreign language before and during their foreign living experiences.

The fact that marines who were deployed and experienced significant stress and risk appeared to be more resilient, readjust and grow more from the experience if they had higher GCI scores is very important. Not only does this have practical implications for the military, but it also can be applied to any segment of the population that regularly experiences higher risks than average (e.g., high-rise construction workers, underwater welders and salvage divers, firefighters, and law enforcement officers). The GCI might serve well as a selection tool that could predict when individuals in higher-risk environments might need respite from their normal work routines.

Finally, even in a family context, the GCI has, at a minimum, conceptual relevance. Within the same family, siblings have different personalities, often demonstrate different value orientations, and have different attitudes. The same challenges of learning, building relationships and managing stress exist here as well. Psychologists, particularly family therapists, could find the GCI useful in helping family members realize their tendencies across the 16 competencies in order to help them function more effectively together. Conversely, instructors and trainers could employ the analogy of a family environment, with all of its differences, as a familiar context in

which students could apply their GCI competencies to better understand their own strengths and weaknesses and to possibly create a more functional family environment.

Theoretical Implications

An ability to work effectively with people who are different from oneself is a fundamental aspect of leadership. Leadership takes place in widely varying contexts and on different levels – between two people, in small groups, in large groups, between people from two or more cultures, and so forth. Often, though, the personal relationship and perceptions of a leader, whether across cultures or in small or large groups, is dependent on the interpersonal relationship others have with the leader. In addition, a review of the literature about leadership in a global context reveals the importance of competencies such as the motivation to learn, to develop effective relationships and manage the stress of significant challenges (Black et al., 1999; Mendenhall & Osland, 2002; Rosen, Digh, Singer, & Philips, 2000). The GCI could thus serve as a way to assess the building blocks of competencies required to be an effective leader in any intercultural or global context. Research specifically investigating the link between the GCI and effective leadership in this context would help extend our understanding of the relationship between intercultural competencies and a broader range of global leader competencies. Moreover, these fundamental abilities to learn, develop and manage relationships, and maintain a good emotional equilibrium under the stress created by purposeful leadership, should also relate to leadership in any context, not just intercultural or global contexts.

Keeley's (2012) research is an unexpected outcome of the intended purpose of the GCI. Nevertheless, there is some logic behind the relationship between second language learning and higher GCI scores. As stated previously, language learning cannot really be separated from the culture or people who speak the language. The more a learner views positively those who speak the foreign language, the more they are apt to learn the foreign language (Gardner, 1985). As such, individuals who are more relationship-minded will likely see the language as a way to develop and maintain better relationships with foreigners. Further, research has shown a clear relationship between aptitude, attitude and motivation and foreign language learning (Gardner, Tremblay, & Masgoret, 1997). Aptitude and attitude have been measured by one's ability to self-monitor and one's sense

of self-efficacy. Several of the dimensions on the GCI relate to integrativeness and an individual's aptitude, attitude and motivation to learn the foreign language, respectively: self-awareness, emotional sensitivity, and social flexibility in the relationship component of the GCI; and self-confidence and optimism in the self-management component. In Keeley's research, he also found several of the perception management competencies relate to better Japanese language learning. Since perception management is all about how an individual learns, this is consistent with the literature that positively relates learning strategies with foreign language acquisition (Oxford, Park-Oh, Ito, & Sumrall, 1993). In sum, the specific relationships between the competencies that foreign language researchers have found related to second language learning appear to be closely linked with many of the GCI competencies. Very importantly, however, some of the competencies in the GCI that were found to correlate with higher second language acquisition are ones that have not yet been investigated by foreign language researchers (tolerance for ambiguity, interest flexibility, self-awareness, etc.). These relationships should be explored to further enhance the field's understanding.

Huerta's (2012) research on the relationship between the GCI and marines' ability to recover from a traumatic experience, remain committed to the organization and adjust well upon repatriation has theoretical implications. Organizational commitment has been conceptualized as a desire (affective), need (continuance) and sense of obligation (normative) to remain attached to an organization (Meyer, Allen, & Smith, 1993). The relationship between someone who scores higher on their ability to manage their perceptions to learn effectively, to develop and maintain positive relationships, and to maintain a healthy psychological self, and those three dimensions of commitment has some interesting implications. It would suggest that the more individuals manage themselves -effectively in a challenging environment, the more they remain committed to the organization out of a desire, need and/or obligation to that organization. Certainly, the more we might attribute what we have learned from an experience to the organization that put us in that context, the more positive an attribution we might make to the organization. Similarly, the more we have developed positive relationships with members of the organization, the more we might feel a need and a sense of obligation to remain with that organization. The specific relationships among the three main components of the GCI and the conceptualization of organizational commitment needs further research.

CONCLUSION

The search for a better understanding of competencies that are critical for global leadership that began in the 1990s will no doubt continue. Nevertheless, significant progress has been achieved in identifying and, subsequently, measuring critical competencies associated with effective functioning for global leaders. To that end, theoretical and empirical evidence strongly supports the use of the Global Competencies Inventory in assisting individuals and organizations in achieving greater effectiveness across a range of settings.

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**LEADERSHIP, DESIGN PROCESS, AND
TEAM PERFORMANCE: A COMPARISON
BETWEEN THE JAPANESE AND
AUSTRALIAN R&D TEAMS**

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ABSTRACT

Background: Design-oriented innovations can build long-term competitive advantage for businesses. Creative and innovative designs can lead to superior business performance and better team satisfaction. Public and private firms hence are strategically focusing on creative designs and innovations through an enormous investment in research and development (R&D). However, there has been little empirical research that defines the concept of design leadership and establishes its role in shaping design process. This study therefore aims to: a) examine the nature of design leadership, design process, team performance and satisfaction as perceived by Australian and Japanese R&D teams; and b) compare the perceptions of Australian and Japanese R&D teams toward the four variables. *Research Methodology:* This study implemented a quantitative survey targeting managers or supervisors of R&D teams in Japan and Australia. The survey contained 18 items capturing four components of Design leadership; namely 'envisioning the future' (5 items), 'directing design investment' (4 items), 'manifesting strategic intent' (4 items) and 'creating and nurturing an environment of innovation' (5 items). Design process was measured by three key stages namely; 'idea generation' (3 items), 'design development' (4 items) and 'evaluation of design' (4 items). 600 questionnaires were distributed with 165 questionnaires returned, representing approximately 27.5% response rate. Key dimensions of design leadership were extracted using the reliability test of Cronbach alpha. Statistical analyses were carried out to test the difference in design leadership between Australian and Japanese R&D teams. *Research Results:* The results show that Australian respondents perceived that their leaders exhibit higher levels of design leadership as compared to Japanese respondents. Design leaders from Australian firms are more likely to embed leadership in various stages of design process and thus help enhance team performance and satisfaction. However, the Japanese respondents perceived design development dimension as the most important stage in the design process. They perceived the process of bringing the idea into actual prototype of the design is critical to the success of design process. *Implications:* Significant differences found in design leadership between Australian and Japanese R&D teams provide evidence base for devising strategies to improve design process in shaping firm's strategic intent. Managers can be trained in design leadership to help enhance team performance and satisfaction.

JEL Classification: M12 & M54

Keywords: Leadership, Design process, Team performance, Satisfaction, Research and Development, Japan, Australia

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INTRODUCTION

Design is a dynamic process that is never finished and is always updated with new innovative ideas in order to meet customers' needs and requirements (Krishnapillai & Zeid, 2006). It is a form of strategic resource that is important to wealth creation because it has a critical influence on the initial conception and delivery of products and services that meet customer expectations and aspirations (Topalian 2002). From the very beginning of this process - idea development- leadership could play a facilitative role in the generation of innovative solutions to meet customers' preferences. However, based on existing evidence, little is known about the impact of leadership on the product design process, or how the quality of leadership might play a role in creating business competitive advantages through the design process.

To date, there is still no empirical attempt that has been made to propose an accepted measure for design leadership let alone to assess the impact of design leadership on the product design process (Muenjohn et al, 2013). Design leadership is important since it is one of the most significant means of generating new ideas, making tangible market expectations met through research and rehearsals of user experiences, contributing added value and differentiating in a cost effective way (Topalian 2002). Based on initial idea of what constitute design leadership by Turner & Topalian, (2002), this study intends to fill the gap in the literature by assessing its impact on the design process and team performance.

Organisations operating in Japan and Australia were chosen because of relatively high investment in research and development (ODEC, 2010) and the increasing importance on design and innovation to support high-value advanced manufacturing to sustain economic growth. Japan and Australia are among the highest ranked countries in terms of the growth of R&D expenditure over the last ten years. While Japan is ranked the 4th highest on R&D expenditure in the world, Australia's expenditure on R&D has increased from 1.51% of GDP in 2000 to 2.06% in 2006 (OECD, 2010). The purposes of this study are to examine the perceptions of Australian and Japanese R&D teams toward design leadership, design process and team performance and satisfaction and to compare the perceptions between R&D teams in Japan and Australia.

LEADERSHIP AND DESIGN: A BRIEF LITERATURE REVIEW

Design leadership can be described as a form of leadership that creates and sustains innovative design solutions (Turner & Topalian, 2002). The authors also argued that the qualities of design leadership are displayed through design leaders' core responsibilities such as envisioning the future, manifesting strategic intent, directing design investment and creating and nurturing an environment of innovation. Gloppen (2009) suggests that success in today's markets and those of the future depends heavily upon market leadership through the use of design. Business leaders are required to know more about how to effectively use design. Design leadership will assist firms to obtain full return on investment in their design.

In the innovation-oriented competitive environment, designers must be able to master not only the design of the product itself, or the translation of brand values or strategies alone. A design leader must possess the ability to be visionary, imaginative, and obtain enough business competence to present and display the entire business concepts (Roald 2006). The author also adds that a future design leader has to be able to converse in ways that both business and technology-trained people

understand, and to provide critical arguments over design development and consider strategic and financial implications associated with the design.

The design process is one of the major tasks for any firm who is involved in design activities, whether it is a new product design and development or process design and development. There are several stages that involved in the design process. According to Khandani (2005), design process begins with defining the problem, gathering pertinent information, generating multiple solutions, analyzing and selecting a solution and testing and implementing a solution. Meyer (1993) suggests that new product development should consist of seven linked stages that include advance research, product concept, product specification, product development, pilot product, production and reincarnation or disposal. Based on the different stages that occur during the design phase, a leader can integrate the activities and monitor the coordination of work at different stages to ensure the effectiveness of the design process.

In their study of 44 R&D teams, Kratzer, Leenders & Engelen (2006) found that creative team performance is affected by the proximity of team members, the communication modes chosen and the manner in which the team is organized. Changes in the business environment have had a significant effect on the way in which R&D is carried out. The knowledge needed for the development for most new products has become increasingly concentrated and particular. Therefore, R&D projects need in-depth mastery of specialized knowledge and skills. The results revealed that the more variable R&D teams are in the manner in which they employ these three variables, the better their creative team performance.

METHODS AND RESULTS

The study employed quantitative survey targeting managers or supervisors of R&D teams in Japan and Australia. Approximately 600 questionnaires were distributed in both Japan and Australia with 165 questionnaires returned, representing approximately 27.5% response rate. Among the 165 returned questionnaires, 159 were determined to be useable based on considerations of missing value analyses (all missing values were replaced using series mean values).

TABLE 1. DEMOGRAPHIC CHARACTERISTICS OF RESPONDENTS

Characteristics	n	%	Characteristics	n	%
Age (years)			Highest Education Level		
Below 25	4	2.5	Level	5	3.1
25 – 30	25	15.7	Secondary Education	11	6.9
31 – 40	86	54.1	Certificate/Diploma	102	64.2
41 – 50	36	22.6	Degree/Bachelor	29	18.2
Above 51	8	5.0	MBA	11	6.9
			PhD/Doctorate	1	.6
			Missing		
Gender					
Male	116	73.0			
Female	42	26.4			
Missing	1	.6			
Nationality					
Japanese	85	53.5			
Australian	74	46.5			

The final sample consisted of 159 supervisors or managers of R&D teams in Japan and Australia. A series of reliability check were conducted in this study to provide evidence that the four constructs, Design Leadership, Design Process, Team Satisfaction and Team Performance, produced the data for which they were designed. The values of Cronbach alpha produced, were alpha = 0.920 (Design Leadership), 0.733 (Design Process), 0.777 (Team Performance) and 0.734 (Team Satisfaction). The reliability values indicated that the scales were highly reliable as they were greater than 0.70 (Nunnally, 1967).

Based from Table 1, majority of respondents were aged between 31-40 years old with 54.1%. About 22.6% were aged between 41-50 years and only 5% were respondents aged above 51 years. The remaining respondents were aged 30 and under. There were 116 male and 42 female respondents involved in this study representing 73% and 26.4% respectively of the sample population. Regarding their highest education level, approximately about 90% of respondents have at least a Degree/Bachelor or higher qualification.

Mean scores of Design Leadership, Design Process, Team Performance and Team Satisfaction

When combining data from both groups, design leadership scored a mean of 2.84 whereas design process has a mean score of 3.17. Between two dependent variables, team satisfaction (M=3.07) scored higher mean than team performance (M=2.93). Regarding dimensions of design leadership, directing design investment has the highest mean score (M=2.89) and followed by Manifesting Strategic Intent (M=2.85), Envisioning the Future (M=2.81) and Creating and Nurturing an Innovative Environment (M=2.80) respectively. For dimensions of design process, design development stage scored the highest mean (M=3.20).

TABLE 2. MEAN SCORES OF AUSTRALIAN RESPONDENTS

Measures	Mean	SD
Design Leadership	2.94	.43
Envisioning the Future	2.92	.49
Directing Design Investment	3.04	.50
Manifesting Strategic Intent	2.96	.47
Creating and Nurturing an Innovative Environment	2.87	.50
Design Process	3.22	.36
Idea Generation	3.15	.54
Design Development	3.25	.42
Evaluation of Design	3.27	.40
Team Performance	3.05	.38
Team Satisfaction	3.13	.47

Table 2 reports Australian respondents' mean and standard deviation scores for all variables and their respective dimensions. It was demonstrated that, the mean scores for all variables and their respective dimensions of Australian respondents were slightly higher than the combined mean scores as reported above. It indicates that Australian respondents perceived that their leaders give a little bit more concern

and attention towards design leadership and design process as well as on team performance and satisfaction as compared to Japanese respondents' perception on their leaders. Total design leadership scored a mean of 2.94 and directing design investment dimension has the highest mean score of 3.04. For total design process, a mean score of 3.22 was obtained. But at dimension level, evaluation of design is perceived to be mostly important. Perhaps, the conformity and evaluation of the design to specification and user's requirement is perceived as important for the success of a particular design. Similar results were produced for dependent variables in which team satisfaction ($M=3.13$) scored a higher mean than team performance ($M=3.05$).

TABLE 3. MEAN SCORES OF JAPANESE RESPONDENTS

Measures	Mean	SD
Design Leadership	2.74	.66
Envisioning the Future	2.71	.77
Directing Design Investment	2.77	.70
Manifesting Strategic Intent	2.76	.71
Creating and Nurturing an Innovative Environment	2.73	.69
Design Process	3.12	.42
Idea Generation	3.10	.60
Design Development	3.16	.47
Evaluation of Design	3.11	.46
Team Performance	2.82	.63
Team Satisfaction	3.01	.70

Table 3 reports Japanese respondents' mean and standard deviation scores for all variables and their respective dimensions. Overall, mean scores of Japanese respondents were slightly lower than the combined mean scores of all variables (see above). Total design leadership scored a mean of 2.74 with directing design investment dimension scored the highest mean, same as the perception of Australian respondents. Total design process scored a mean of 3.12, but for Japanese respondents, they perceived design development dimension as the most important stage in the design process. They perceived the process of bringing the idea into actual prototype of the design is critical to the success of design process. Similar results were produced between dependent variables when team satisfaction ($M=3.01$) scored a higher mean than team performance ($M=2.82$).

Comparisons between Japanese and Australian toward Design Leadership, Design Process, Team Performance and Team Satisfaction

Table 4 presents T-test results intended to further examine whether there is any statistical difference in the mean scores between Japanese and Australian respondents towards the four variables in this study. As can be seen from the table, there is not a statistical significant difference in the mean scores of design process and team satisfaction between Australian and Japanese respondents. But there is a statistical significant difference in the mean scores for design leadership and team performance between design leadership and team performance. The mean score for design leadership of Australian respondents was 2.94 as compared to 2.74 for Japanese

respondents, $t(159) = 2.249$, $p < 0.05$. Whereas, the mean score for team performance of Australian respondents was 3.05 as compared to 2.82 for Japanese respondents, $t(159) = 2.870$, $p < 0.05$.

TABLE 4. T-TEST RESULTS

Variables	Mean Australian	Mean Japanese	T-value	Significant
Design Leadership	2.94	2.74	2.249	.026
Design Process	3.22	3.12	1.613	.109
Team Performance	3.05	2.82	2.870	.005
Team Satisfaction	3.13	3.01	1.257	.211
N	74	85		

DISCUSSIONS AND CONCLUSIONS

The results showed that the mean scores for all variables and their respective dimensions of Australian respondents were slightly higher than the combined mean scores. It indicates that Australian respondents perceived that their leaders give a little bit more concern and attention towards design leadership and design process as well as on team performance and satisfaction as compared to Japanese respondents' perception on their leaders. However, the Japanese respondents perceived design development dimension as the most important stage in the design process. They perceived the process of bringing the idea into actual prototype of the design is critical to the success of design process.

By comparing between Japanese and Australian respondents, Australia R&D managers seems to see themselves significantly practicing more on design leadership behavior than Japanese R&D managers. The possible reason could be because leadership behaviors that associate with design leadership such as creating and communicating vision, establishing strategic direction and nurturing creative environment, tend to be more embedded within the Western leadership practices such as Australian leadership behaviors (Muenjohn, Armstrong, and Francis, 2010; Gelfand et al. 2007; Wendt et al. 2009; Dickson et al. 2003). It was also found that Australian R&D managers tend to rate their R&D team significantly higher on team performance than Japanese R&D managers rate their own R&D team. The result, however, does not imply that Japanese R&D teams are having poorer 'actual' performance than Australian R&D teams, rather than indicating the perception of Australian and Japanese R&D managers. Perhaps, the current result seems to associate with the self-inflation on leadership observed by several studies (e.g. Muenjohn, Armstrong and Hoare, 2012; Adamson, 1996; Atwater and Yammarino, 1992).

The results found in this study have made a number of implications and contributions. The findings contribute to the limited empirical literature on design leadership and filled the research gap of how design leadership and team performance and satisfaction could be perceived by specialist teams in two different countries. Their perception differences on design leadership and team performance could indicate different role of leadership that play in team performance and

satisfaction and therefore R&D managers should treat and display their leadership behaviours as it could affect their team outcomes.

In conclusion, this study aims to examine the perceptions of Australian and Japanese R&D teams toward design leadership, design process and team performance and satisfaction and to compare the perceptions between R&D teams in Japan and Australia. The results reveal that there is a significant difference between Japanese and Australian R&D managers on design leadership and team performance. Not only does this study contribute to the development of the new approach to leadership, Design Leadership, but also it has practical applications for team leaders who seek to improve team performance and satisfaction.

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Transformational Leadership in Japanese R&D Teams:

Team Efficacy, Norm for Maintaining a Consensus, Communication, and Team Performance

Jun Ishikawa*, Xu Yijing**

Abstract

This study examined the influence of transformational leadership on team performance in a study of 636 researchers working in 131 R&D industrial research teams in Japan. Potential effects of team efficacy, norm for maintaining a consensus, and communication were also studied as possible mediating influences on the leadership—performance relationship. Results indicate that transformational leadership was not directly related to independently rated team performance because it had both positive and negative effects through mediators. Transformational leadership is the key to promoting team efficacy, norm for maintaining a consensus, intra-team communication, and internal communication. Among the possible mediators, team efficacy, intra-team communication, and internal communication were positively related to team performance, while the norm for maintaining a consensus was negatively related to it. Results are discussed in the context of the unique Japanese work environment as well as in the larger context of leadership processes across different regions and cultures.

Keywords: transformational leadership, team efficacy, norm for maintaining a consensus, communication, R&D team performance

I Introduction

Research and development (R&D) performance is one of the key ways by which Japanese companies maintain an international competitive advantage. Many studies have attempted to determine the factors affecting the performance of Japanese

R&D processes (Clark and Fujimoto, 1991; Nonaka and Takeuchi, 1995). However, few studies have dealt with leadership in Japanese R&D settings, although leadership is one of the most important factors that influence team performance.

There are many studies on leadership in R&D settings around the world. Some researchers have directed their attention toward transformational leadership in particular. According to Elkins and Keller (2003), transformational leadership can be effective in R&D settings. Their principal finding is that transformational leaders can often create conditions in R&D labs that, as in other work environments, are conducive to exceptional team effort and creativity. This, in turn, can lead to enhanced group performance.

Indeed, some previous studies showed that transformational leadership had a positive impact on team efficacy (Jung and Sosik, 2002; Walumbwa, Peng, Lawler, and Kan, 2004). Team efficacy is a shared belief team members have about the ability of the team to achieve its goals (Bandura, 1977). It is positively related to a high level of team performance because it influences the aspirations that members have for their team, and their level of effort (Gully, Joshi, Incalcaterra, and Beaubien, 2002). Transformational leadership may therefore positively influence R&D team performance through team efficacy. However, there is no empirical evidence for this notion even in Western R&D settings.

Elkins and Keller (2003) also suggested that the effects of transformational leadership depended on the context. Moreover, a study by the GLOBE re-

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search project suggests that such leadership can be effective in some cultural environments (Dickson, Den Hartog, and Castano, 2009; House, Hanges, Javidan, Dorfman, and Gupta, 2004), but certainly not in all environments especially in a collectivist culture like Japan's.

Because group values and cognitive frameworks in a collectivist culture are different from those found in an individualist culture, effective teamwork and leadership styles in a collectivist culture may differ. House et al. (2004) identified Japan as a country where the effectiveness of Western-style leadership may be limited. In particular, a strong consensus norm could negatively affect R&D team performance by curbing unique ideas that run counter to prevailing beliefs (Ishikawa, 2008). If House et al. (2004) is correct, the effect of such norms on transformational leadership should be examined in Japan. Previous studies have neglected this effect because it is not significant in Western settings. It may, however, be significant in a collectivist culture like Japan's.

In addition, previous studies of transformational leadership have also overlooked the effect on communication on work teams. In general, communication is a key factor affecting team performance and tends to be more important in R&D settings than in other settings. Several studies have found that variations in the patterns of communication can affect R&D team performance (Allen, 1977; Hirst and Mann, 2004; Katz and Tushman, 1979; Kivimaki and Lansisalmi, 2000). Moreover, Ishikawa (2007) found that there were significant effects from the variations in such patterns on R&D team performance in Japanese companies. Despite these findings, however, few studies have examined the relationship between transformational leadership and team communication in R&D settings.

The aim of this study is to further explore this relationship by examining the effects of transformational leadership on independently measured R&D team performance, as they may be influenced by variations in team efficacy, norm for maintaining a consensus, and communication patterns. By investigating leadership within the Japanese cultural context, this study will illuminate the role of leadership

in overriding the country's collectivist culture.

II Theoretical background and hypotheses

1 Transformational leadership in R&D settings

Transformational leadership has been defined as a leadership behavior that influences followers by broadening and elevating their goals and by providing them with the confidence to perform beyond the expectations specified in the implicit or explicit exchange agreement (Dvir, Eden, Avolio, and Shamir, 2002). According to transformational leadership theory, much of the previous literature on leadership was premised on followers' rational decision-making—followers behave in ways that maximize their rewards within the organization, which requires leaders to integrate those rewards with their goals. Therefore, it is important for leaders to set goals, clarify desired outcomes, provide feedback, and exchange rewards for accomplishments (Dvir et al., 2002).

In reality, however, followers do not necessarily behave rationally. Particularly in high-performance teams, followers prioritize their contributions to team performance over their rational exchange agreement. In transformational leadership theory, transformational leadership, which promotes followers' motivation to contribute to team performance at the cost of the rational exchange agreement, is distinguished from transactional leadership, which is based purely on a rational exchange agreement between leaders and their followers.

According to Bass and Avolio (1990), transformational leadership comprises four dimensions: idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration. Idealized influence is a leadership behavior that inspires followers and fosters identification with their leader. Inspirational motivation encourages followers through the expression of lofty values or visions. Intellectual stimulation includes drawing followers' attention to problems and promoting novel perspectives and intellectual curiosity. Individualized consideration involves realizing followers' needs and providing them with support and coaching. All of

these behaviors encourage followers' contributions to the achievement of their team's goals.

Transformational leadership has been extensively studied by leadership researchers in recent years, and many empirical studies have demonstrated its relationship to attitudes on the job (Barling, Weber, and Kelloway, 1996; Dumdum, Fielden, and Hill, 1991; Podsakoff, MacKenzie, Moorman, and Fetter, 1990) and the job performance of followers (Barling et al., 1996; e.g., Dumdum et al., 1991; Dvir et al., 2002; Howell and Avolio, 1993; Lowe and Galen Kroeck, 1996; Yammarino and Dubinsky, 1994). Some of these studies were conducted in R&D settings.

Berson and Linton (2005) compared the effects of transformational leadership in R&D settings with those in non-R&D settings. Although a significant correlation between transformational leadership and outcome variables, including quality level, job satisfaction, and overall satisfaction, was observed in both R&D and non-R&D settings; the correlation was even stronger in R&D settings.

Keller (1992) discovered that transformational leadership was positively related to R&D team performance, which included project quality and budget/schedule rated by project members and managers, respectively. The author notes that transformational leadership significantly influenced project quality and budget/schedule in both research and development teams, although the significance of the correlation was more prominent in research projects than in development projects. Keller (2006) also pointed out, based on a longitudinal study, that transformational leadership could predict profitability five years ahead and speed to market. Although the positive relationship between transformational leadership and R&D team performance was empirically verified by Keller (1992, 2006), any mediators between them were not identified.

Shin and Zhou (2003) found that intrinsic motivation mediated the relationship between transformational leadership and followers' creativity in Korean R&D settings, and that followers' conservation, which was one of the values, moderated the relationship between them. The authors noted that followers' conservation largely affected the efficiency of transformational leadership in Korean cultural

circumstances. Since Shin and Zhou (2003) analyzed their data on the individual level, it should be noted that the variable, which mediated the relationship between transformational leadership and creativity, was no more than individual-level constructs.

Thus, these studies indicate that transformational leadership was positively related to R&D team performance in the samples studied. Still, the question remains: what are the possible group-level mediators of this relationship? We examine three possibilities: team efficacy, the norm for maintaining a consensus, and communication.

2 Team efficacy

Srivastava, Bartol, and Locke (2006) and Walumbwa et al. (2004) focused on team efficacy as a mediator between leadership and team performance. According to Bandura (2000), team efficacy can influence the aspirations that the members have for their team, their effort levels, the way they approach tasks, and their persistence under adverse conditions—overall team performance. Using meta-analysis, Gully et al. (2002) examined 67 empirical studies that investigated the relationship between team efficacy and team performance. Results of Gully et al. (2002) indicated that team efficacy was positively related to team performance, although interdependence moderated the relationship between them.

Team efficacy is especially important for R&D teams. In general, members of highly effective teams are committed to their tasks and tend to have cognitive flexibility (McGraw and Fiala, 1982). To be creative in the R&D process, team members need to think beyond traditional ways. Thus, it is important that each member recognizes phenomenon through various cognitive frameworks. Furthermore, the members who are part of teams with a high level of team efficacy need to master various problem-solving skills (Harter, 1978). Team members must master a number of skills before they become part of a team, because it is uncertain what kind of skills will be needed to achieve goals in the R&D process. Indeed, Pelz and Andrews (1966) noted that mastering a number of skills has a posi-

tive impact on R&D performance. Moreover, those who are part of teams with a high level of team efficacy are better able to tolerate ambiguous situations (Gibbons, 1998). The R&D process is highly volatile, which can be stressful for team members. Having a high degree of tolerance for uncertainty and ambiguity can help a team achieve a high level of performance. We can conclude, therefore, that team efficacy may be one of the most important variables mediating the correlation between leadership and R&D team performance.

It should also be noted that the abovementioned four dimensions of transformational leadership can promote team efficacy in R&D teams. Idealized influence connects followers' individual identities to their team's missions (Kark and Shamir, 2002). Inspirational motivation helps followers commit to achieving those missions. Team members who identify with and commit to a team's research goal will see that goal as having value, and thus will be intrinsically motivated to pursue the goal, because they will believe that the likelihood of achieving the goal is high.

Individual consideration involves providing support, encouragement, and coaching to followers. This dimension promotes the development of team members' ability (Dvir et al., 2002). If team members recognize that the research ability of each of them will increase, they will be convinced of the fact that research ability as the team will also increase. Finally, intellectual stimulation encourages followers to implement new ways of addressing problems. New ideas are created from new ways of doing things. Team members will draw stimulation from teams whose leaders are encouraging and innovative.

Walumbwa et al. (2004) empirically showed that transformational leadership was related to team efficacy in Chinese and Indian financial companies. Although the authors' survey samples did not include R&D teams, it is possible to conclude from their work that transformational leadership could also enhance team efficacy in R&D teams.

Hypothesis 1: Team efficacy mediates the relationship between transformational leadership and R&D team performance in such a way that

transformational leadership is positively related to team efficacy, and team efficacy is positively related to R&D team performance.

3 Norm for maintaining a consensus

As mentioned above, previous studies have illuminated how transformational leadership positively influences R&D team performance in Western settings. Nevertheless, it is possible that transformational leadership also has a negative impact on R&D team performance through its effect on norm for maintaining a consensus in Japanese settings.

Japan has a collectivist and high-context culture in which group consensus is highly valued (Dulek and Fielden, 1991). Management practices are designed to promote this even in R&D divisions of companies. Unlike in Britain, Germany, or the United States, most Japanese R&D employees are recruited right out of college and tend to devote themselves to a single company until retirement. Moreover, company-specific knowledge and skills are highly valued, and in-house training is regarded as being very important (McCormick, 1995). Because of this, intellectual "inbreeding" and radical innovations may fail to emerge at the rate that is often found in the West.

It is possible that transformational leadership serves to reinforce group consensus, which in turn reinforces either the status quo or merely marginal or evolutionary change or innovation. One reason for this effect is that transformational leadership has a strong impact on its followers—team members will simply not refute their leaders' opinions. In addition, idealized influence encourages followers to identify with their leader. The effect is very similar to that of charismatic leadership, which encourages personal identification with a leader, as followers try to both please and imitate their leaders (Conger, 1989). Under such an influence, followers do not want to criticize their leaders and will not permit colleagues to criticize them either. After a review of previous studies, Yukl (2002) noted that "Being in awe of the leader reduces good suggestions by followers," and "Desiring for leader acceptance inhibits criticism by followers" as being the drawback of charismatic leadership.

Other studies have indicated that transformational leadership promotes team cohesiveness (Jung and Sosik, 2002; Pillai and Williams, 2004) because it fosters followers' commitment to the goal and encourages them to work with other team members to achieve that goal. In general, therefore, cohesiveness has a positive impact on team performance. Nonetheless, too much cohesiveness can also have a negative impact on team performance, because it represses dissenting opinions. Leana (1985) showed that group cohesiveness was one of the causes of groupthink. Thus, transformational leadership may suppress opinions expressed by the minority.

In addition, transformational leadership unites followers and creates a climate conducive to achieving goals (Liao and Chuang, 2007). Transformational leadership may pressure followers not to act against the climate the leader wants to create. Under such pressure, it is difficult for followers to behave independently or to freely criticize other ideas or team members.

As a result, team members may be reluctant to diverge from such norms; indeed, they may be punished for it. While similar norms are found in the West, the strength of a consensual culture in Japan makes it much more difficult for employees to take issue with dominant ideas, usually preventing them from opposing any consensus reached in the group or organization to which they belong. As a result, many new ideas that do not receive immediate group approval can languish or die. For example, Postmes, Spears, and Cihangir (2001) found that strong pressure to maintain consensus adversely affected the quality of group decision making, and leads to poor team performance. At the same time, such norms often reduced the diversity of information and opinions within a team, which is essential for R&D performance (Allen, 1977; Pelz and Andrews, 1966). It can therefore be posited that the importance of consensus in Japanese culture undermines a diversity of new ideas and can hinder R&D team performance in Japanese companies.

Hypothesis 2: Norm for maintaining a consensus mediates the relationship between transformational leadership and R&D team performance

in such a way that transformational leadership is positively related to norm for maintaining a consensus and this is negatively related to R&D team performance.

4 Communication

New knowledge creation is the final goal of R&D activity. New knowledge is created through the composition of existing information. R&D team members must therefore obtain various kinds of information to create a solid base for new knowledge creation.

Two kinds of information are needed to achieve R&D goals. The first is technological information. To create technological knowledge, various kinds of technological information, including the latest information, are required. While team members can acquire this information through books and articles, they also need to make extensive use of specialists outside their organizations (Allen, 1977; Farris, 1972).

The second kind of information covers the manufacturing process and the needs of customers. Team members usually acquire such information through internal communication, i.e., communication with employees in other departments within the organization. In addition to obtaining information, team members are also required to share and exchange information amongst themselves. Information sharing is vital for cooperation, which promotes goal achievement among members.

It is also possible that new knowledge is created through the information exchange process among team members. For sharing and exchanging information, intra-team communication must be facilitated. Thus, building on the findings of previous research (e.g., Hirst and Mann, 2004; Kahn, 1996; Katz and Tushman, 1979; Kivimaki and Lansisalmi, 2000; Utterback, 1971), we would expect that the ample availability of external, internal, and intra-team communication would be positively related to R&D team performance.

Transformational leadership likely has a positive impact on team communication. Inspirational motivation is a behavior that communicates an appealing vision and uses symbols to concentrate the ef-

forts of followers. Such behavior clarifies their goals (Nemanich and Keller, 2007) and promotes commitment to the goal (Piccolo and Colquitt, 2006). Team members therefore clearly understand what information is necessary. Further, a high level of commitment to the goal stimulates members' information-seeking activities, because information is one of the most important resources for the achievement of R&D goals. Furthermore, if the team's goal is clarified, it becomes easy to understand what kind of information needs to be shared and exchanged within the team.

As noted above, transformational leadership has a positive impact on the development of followers (Dvir et al., 2002), because individualized consideration provides followers with support and coaching. The development of followers includes both advancing their communication skills and inducement for communication, since communication is a key factor in R&D performance. Under this positive influence of transformational leadership, team members actively communicate internally, externally, and within the team.

Intellectual stimulation allows followers to come up with and expound novel perspectives, and be intellectually curious. Through this process, they can apply new ideas or try new methods. As a result, team members will begin to communicate in a more positive, focused way, and use communication as an important tool for obtaining new ideas or methods. In the process of this kind of exchange, new ideas and methods will be created.

Ideal influence contributes to followers looking beyond their own self-interest, thus overcoming fear of incurring costs on performing communication. Moreover, as team members internalize the importance of the team's missions, they will work toward the achievement of those missions, specifically, in this case, communication that contributes to the acquisition of information from outside of the team and to the exchange of information within the team.

Madzar (2001) found that transformational leadership was positively related to the information-inquiry behaviors of its followers. However, as noted above, the exchange of information is also required

to achieve R&D goals. Thus, it is clear that transformational leadership helps to promote internal, external, and intra-team communications of team members.

Hypothesis 3a: Internal communication mediates the relationship between transformational leadership and R&D team performance in such a way that transformational leadership is positively related to internal communication, and internal communication is positively related to R&D team performance.

Hypothesis 3b: External communication mediates the relationship between transformational leadership and R&D team performance in such a way that transformational leadership is positively related to external communication, and external communication is positively related to R&D team performance.

Hypothesis 3c: Intra-team communication mediates the relationship between transformational leadership and R&D team performance in such a way that transformational leadership is positively related to external communication, and external communication is positively related to R&D team performance.

III Methodology

1 The sample

Our sample consisted of 131 R&D teams from eight industrial parts manufacturers in Japan. In addition to 131 team leaders (response rate = 100%), 636 (out of 734) R&D team members (response rate = 86.6%) and 32 managers (response rate = 100%) also participated in the study¹. Each team member belonged to a single team, and each team was managed by one of the 32 managers. Among the team leaders, 93.9% were men, 9.2% held a doctoral degree, and their average age was 36.7 years. Among the team members, 89.0% were men, their average age was 30.1 years, and their average tenure in the team was 2.0 years. The average team size was 5.6 persons.

2 Measures

This study consisted of six questionnaire measures and control variables. Corresponding Japanese versions for all of the measures used in this study were constructed in accordance with the translation-back-translation procedure outlined by Brislin (1980).

Transformational leadership was measured using 20 items adapted from Bass's multifactor leadership questionnaire (MLQ) form 5X-short (Bass and Avolio, 2004). Each team member was asked to rate his/her leader's behavior on a five-point response scale. Four items were used to measure inspirational motivation, intellectual stimulation, and individualized consideration. Eight items were used to measure idealized influence. To verify that these four factors contributed to an overall transformational leadership index, a confirmatory factor analysis was conducted. The result of the analysis suggested that a higher-order factor solution provided an adequate fit ($\chi^2 = 131.27$ ($p < 0.05$), AGFI = 0.91, CFI = 0.94, RMSEA = 0.04, NFI = 0.93).

Team efficacy was measured using five items adapted from Riggs and Warka (1994). An example of the items used in this scale is "The team I work with has above-average ability." Each team member was asked to rate his/her team efficacy on a five-point response scale.

Intra-team communication was measured by one item, and *internal and external communication* was measured by three items each. Each team member was asked to rate the frequency of intra-team, internal, and external communication in his/her team on a five-point response scale, ranging from strongly agree to strongly disagree on a five-point response scale.

Norm for maintaining a consensus was measured by three items adapted from Postmes et al. (2001). Each team member was asked to rate his/her group norm for maintaining consensus on a five-point response scale, ranging from very strong to very weak. For example, one of the three measuring items was "People in this group generally adjust to one another with ease."

A confirmatory factor analysis was conducted to

investigate whether transformational leadership, team efficacy, the effect of maintaining consensus, intra-team communication, internal communication, and external communication were the distinct construct in each category, respectively. The result of our analysis suggested that a six-factor solution fit better than did other solutions.

Team performance was measured independently by the following four items adapted from Keller (2001): technical quality, schedule performance, cost performance, and overall team performance. The managers, who are higher in rank than team leaders, were asked to rate each item on a five-point response scale.

Control variables include team size, which was provided by the leaders, and team members' average tenure, which was provided by the team members.

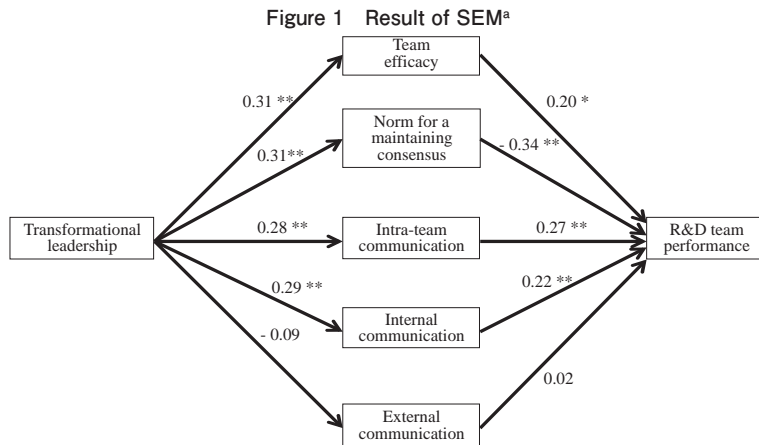
3 Aggregation Tests

Transformational leadership, team efficacy, the norm for maintaining a consensus, intra-team communication, internal communication, and external communication were aggregated to mean values within each team, the unit of the analysis. To justify this aggregation, a within-group correlation (r_{wg}) was computed to assess the amount of agreement by the team members (James, Demaree, and Wolf, 1984). The mean $r_{wg(j)}$ value was 0.87 for transformational leadership, 0.89 for team efficacy, 0.89 for norm for maintaining a consensus, 0.86 for internal communication, and 0.85 for external communication, and $r_{wg(I)}$ value was 0.90 for intra-team communication. In addition, the ICC(1) values were as follows: transformational leadership, 0.22; team efficacy, 0.49; norm for maintaining a consensus, 0.25; intra-team communication, 0.32; internal communication, 0.24; and external communication, 0.36. ICC(2) values were as follows: transformational leadership, 0.61; team efficacy, 0.82; norm for maintaining a consensus, 0.65; intra-team communication, 0.69; internal communication, 0.64; external communication, 0.76. The overall pattern of results across the r_{wg} , ICC(1), and ICC(2) analyses provided sufficient support for aggregating the data to a team level of analysis.

Table 1 Descriptive

	Mean	s.d.	α	1
1. Team size	5.60	1.01		
2. Team tenure: Member	1.99	1.00		0.02
3. Transformational leadership	3.24	0.62	0.93	0.02
4. Team efficacy	3.12	0.77	0.81	0.12
5. Norm for maintaining a consensus	2.85	0.79	0.81	-0.16
6. Intra-team communication	3.72	0.76		-0.15
7. Internal communication	3.25	0.54	0.80	-0.04
8. External communication	2.50	0.86	0.84	-0.09
9. Team performance	3.01	0.96	0.84	-0.08

* $p < 0.05$, ** $p < 0.01$.



** $p < 0.01$, * $p < 0.05$.

^a The effect of control variables are not shown.

IV Results

The mean values, standard deviations, and coefficient α , as well as a correlation matrix, are shown in Table 1. As expected, transformational leadership had significant positive correlations with team efficacy, norm for maintaining a consensus, intra-team communication, and internal communication. Further, team efficacy, intra-team and internal communication had significant positive correlations with team performance, and norm for maintaining a consensus had significant negative correlation with team performance. However, external communication was not related to either transformational leadership or team performance. Moreover, and perhaps most importantly, transformational leadership

did not have a significant correlation with team performance in this sample.

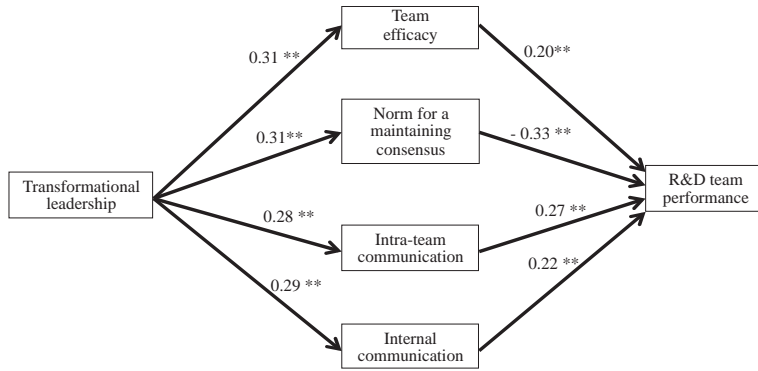
To test the relationship among transformational leadership, various potential mediators, and R&D team performance, structural equation modeling was conducted; the results are shown in Figure 1.

Transformational leadership was positively related to team efficacy, norm for maintaining a consensus, intra-team communication, and internal communication, but was not significantly related to external communication. On the other hand, norm for maintaining a consensus had a negative correlation with team performance and team efficacy, and intra-team communication and internal communication had a positive correlation with team performance. External communication had no significant correlation with team performance. These results suggest that external communication does not me-

Statistics and Correlations

	2	3	4	5	6	7	8
	0.04						
	0.10	0.31**					
	0.19*	0.31**	-0.09				
	0.32	0.29**	0.15	0.12			
	0.18*	0.29**	0.12	-0.03	0.12		
	-0.21*	-0.10	0.18*	0.12	0.06	0.11	
	0.12	0.11	0.28**	-0.29**	0.31**	0.29**	0.05

Figure 2 Result of SEM^b Excluded External Communication



** $p < 0.01$.

^b The effect of control variables are not shown.

diate between transformational leadership and team performance. Moreover, this model did not show adequate fit ($\chi^2 = 43.25$ ($p < 0.05$), AGFI = 0.83, CFI = 0.80, RMSEA = 0.13, NFI = 0.76).

Thus, another model, which excluded external communication, was examined. The results of this model are shown in Figure 2. There is therefore an adequate fit ($\chi^2 = 11.77$ ($p > 0.05$), AGFI = 0.92, CFI = 0.99, RMSEA = 0.04, NFI = 0.92), in which all paths were significant. A negative correlation was found only between norm for maintaining a consensus and team performance, while the other correlations were all positive. The result of this analysis suggests that norm for maintaining a consensus mediates the relationship between transformational leadership and team performance in such a way that transformational leadership is positively related to the effect of norm, and the effect of norm was

negatively related to team performance. On the other hand, team efficacy, intra-team communication, and internal communication positively mediated the relationship between transformational leadership and R&D team performance.

Although Figure 2 suggests an indirect relationship between transformational leadership and team performance, it is possible that there is a direct relationship between them. Therefore, a partially mediated model, which was obtained by adding a direct path between transformational leadership and team performance, was conducted. The result of this analysis showed an adequate fit ($\chi^2 = 11.74$ ($p > 0.05$), AGFI = 0.91, CFI = 0.98, RMSEA = 0.05, NFI = 0.92), but the correlation between transformational leadership and team performance was not significant.

These results thus support Hypothesis 1, 2, 3a,

and 3b, but not Hypothesis 3c.

V Discussion

In this study, the relationship between transformational leadership and R&D team performance in Japanese companies was examined. The results indicated that transformational leadership had two kinds of effects on R&D team performance: a positive effect on performance through team efficacy, intra-team communication, and internal communication, and a negative effect on performance through norm for maintaining a consensus. Transformational leadership was positively related to all of these mediators. However, norm for maintaining a consensus was negatively related to team performance, although other mediators were positively related to team performance. Accordingly, the correlation between transformational leadership and R&D team performance was not significant in this sample.

As with most studies, this study is not exempt from certain limitations. The first limitation is that this is not an actual comparative study. Other studies conducted in Western settings were reviewed to note the differences in findings on the effects of transformational leadership. However, comparative study is necessary for making clear the difference between Western settings and non-Western settings.

A second potential limitation is that this study focuses on R&D teams. While a better understanding of leadership processes in such teams is clearly useful, it is not certain that employees and teams in other Japanese organizations or professions would respond in a similar manner. In view of the largely collectivist nature of Japanese society, it is unlikely that many people in different work environments would indeed respond in a similar way. This is an empirical issue that the present study does not address.

Third, research and development were not examined separately. Previous study indicated that the difference between research and development could be an important moderator in terms of the

correlation between transformational leadership and R&D team performance (Keller, 1992). Although many of the teams that participated in this study engaged in development research, their companies did not differentiate research divisions from development divisions. A study that distinguishes between the two departments will be of great interest.

Despite these limitations, this study makes two contributions to the theory of leadership. First, it highlights the dysfunction inherent in transformational leadership. Most studies have showed how transformational leadership has a positive effect on performance irrespective of the situation. In particular, a few studies have indicated that transformational leadership might have a negative effect on performance, depending on the cultural context. However, this study verifies that transformational leadership negatively affect R&D team performance because of norm for maintaining a consensus in Japanese culture. This indicates that the effects of transformational leadership are quite different in non-Western cultures, particularly in collectivistic cultures like Japan's.

Second, this study focused on communication as the mediator between transformational leadership and team performance. Many studies have indicated that communication has a significant impact on R&D performance. Some studies have also shown that transformational leadership is effective in R&D settings. No study, however, has examined the relationship between transformational leadership, communication, and R&D team performance. This oversight may be the largest defect in the leadership research conducted so far in R&D settings. This study definitely demonstrated this relationship. Although transformational leadership had a negative impact on R&D team performance, it also had a positive impact on intra-team and internal communication, and on team efficacy.

Because the effectiveness of leadership often depends on the cultural context, leaders must display leadership styles that are in harmony with the cultural context in which they find themselves; however, even that approach is just the beginning for leaders of the future. The diversity of team mem-

bers will dramatically increase, even in R&D teams. Leaders will have to deal with many kinds of followers. They will therefore need to display leadership that is flexible and adaptable.

In this study, it was shown that norm for maintaining a consensus had a significant effect on the relationship between leadership and performance. This suggests that there are some factors that are embedded in culture and thus directly influence the effectiveness of leadership. It is required to find such cultural factors by comparative studies in future.

In Japanese companies, ambiguous and highly contextual behaviors such as “*nemawashi*” exist for the purpose of, for instance, acquiring resources and removing obstacles. Leaders could have influence over their subordinates by using informal human networks or by making their team members somehow “owe” them something for a substantial period of time. Thus, R&D team leaders should act in a way that helps optimize team performance. This type of leadership may also be effective in Western companies, although to a different degree. If such leadership is induced to explicit construct, it will contribute to research in Western setting. In short, it is possible that in non-Western settings there are some tacit constructs that are worth studying for future leadership. These are the gems we will need to unearth in the future.

Note

1 The questionnaires were distributed and collected on company premises and with prior approval of the R&D department management of each firm. Because of this, the response rate was high. In addition, the questionnaires were collected by the author after being enclosed in envelopes and sealed. Therefore, confidentiality was maintained.

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研究開発プロセスの リーダーシップ

——文献レビューと課題の提示

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研究開発プロセスを対象とした先行研究をレビューすることで、以下を明らかにした。リーダーシップ・スタイルについては、これまで、変革型リーダーシップとゲート・キーパー（以下、GK）型リーダーシップを中心に研究が行われてきた。また、リーダーシップと研究開発成果の間の個人レベルの媒介変数として、組織コミットメント、チームに対する自尊感情、内発的モチベーション、心理的エンパワーメント、心理的資本、変化へのコミットメントが取り上げられてきた。他方、チーム・レベルの媒介変数としては、チーム風土、チーム効力感、創造的チーム効力感、コミュニケーションが取り上げられてきた。一方、これらの先行研究のレビューを通じて、今後の研究の課題として5点が残されていることを明らかにした。国際比較の必要性、モデレータ変数を探求する必要性、マルチ・レベル研究の必要性、リーダーシップの逆機能を探求する必要性、そして、変革型リーダーシップとGK型リーダーシップ以外のリーダーシップの効果を明らかにする必要性である。これに加えて本研究では、日本企業に特有な課題として、過剰な年齢意識、コミュニケーションの少なさ、そして、組織内同形化圧力を取り上げた。日本の研究開発プロセスにおいて効果的なリーダーシップを発揮するために、これらが大きな阻害要因となっていることを指摘した。さらに、今後のリーダーシップ研究として、シェアド・リーダーシップと多様性が高いチームのリーダーシップについて焦点を当てる必要があることを指摘した。最後に、本研究から導き出される実務的インプリケーションについて論じた。

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I はじめに

これまで、数多くのリーダーシップ研究が行われてきたが、その中で、研究開発プロセスを対象

としたリーダーシップ研究は、それほど多いわけではない。しかし、通常、研究開発プロセスはチーム単位で遂行されるため、リーダーシップは重要な課題となる。なぜなら、リーダーシップは、フォロワーの職務態度、行動、成果に重要な影響を及ぼす（Yuki 2002）だけでなく、チーム・プロセスにも重要な影響を及ぼす要因の一つであるからである（Cohen and Bailey 1997; Hackman and Walton 1986; Kozlowski et al., 1996）。

これに加えて、研究開発プロセスは、以下の特徴を持つ。第1に、成果を上げるために創造力を用いることが求められる。研究開発プロセスは、新しい知識を生み出す作業であるため、成果を出すために創造力が必要となる。このため、研究開

発者の内発的モチベーションを高めたり、自律的に行動する環境を整えたりすることが必要になる (Amabile et al. 1996)。第2に、研究開発者はプロフェッショナル意識が強い。研究開発者の多くは修士学位もしくは博士学位を持つ高学歴者である。また、会社外の専門家集団とのネットワークも、他の職種に比べると強い。このため、プロフェッショナル意識が強く、自らの専門分野に対する知識やスキルに対する自信も相対的に強い。

このように、研究開発プロセスには、他の業務プロセスと異なる特徴を持つ。この特徴は、リーダーシップの効果に影響を及ぼす可能性が高い。このため、研究開発プロセスに特化したリーダーシップ研究が必要となる。

Elkins and Keller (2003) は、それまでの研究開発プロセスのリーダーシップに焦点を当てた研究をレビューし、これらを体系的に整理している。しかし、課題も残されている。第1に、Elkins and Keller (2003) は、リーダーシップと研究成果の関係を結びつける媒介変数にほとんど言及していない。このため、なぜリーダーシップが研究開発成果に影響を及ぼすのかが明らかになっていない。第2に、Elkins and Keller (2003) 以降も、研究開発に関するリーダーシップの研究は続けられているが、これらについてまとまったレビューが行われていない。このため、その後の研究の流れが体系的に把握されていない。第3に、日本の研究開発プロセスに特有の問題が明らかにされていない。Elkins and Keller (2003) は、日本の研究開発に関する論文はレビューしていないため、日本企業の研究開発プロセスにおけるリーダーシップに特有の問題が明らかにされていない。

本研究では、Elkins and Keller (2003) 後の論文を中心にレビューすることで、その後の研究開発プロセスにおけるリーダーシップ研究の流れを体系的に把握する。また、リーダーシップと研究開発成果の間の媒介変数にも着目し、先行研究においてどのような変数が扱われているのかを明らかにする。これらのレビューを通じて、研究上の残された課題を提示する。さらに、日本企業の研究開発に関わる先行研究をレビューすることで、日本企業の研究開発プロセスにおいてリーダー

シップを発揮する際の課題についても明らかにする。最後に、新しいリーダーシップ研究をレビューすることで、今後必要となる新たなリーダーシップ研究についての提言を行う。

II リーダーシップと研究開発成果

Elkins and Keller (2003) は、それまでの研究開発プロセスに関わるリーダーシップ研究をレビューし、先行研究の多くが2つのリーダーシップに着目していることを指摘している。1つが変革型リーダーシップであり、もう1つが境界活動 (Boundary-spanning activity) である。Elkins and Keller (2003) 以降も、変革型リーダーシップと境界活動に関する研究が中心に行われている。そこで、本研究においても、この2つに焦点を絞ってレビューを行うこととする。

1 変革型リーダーシップと成果変数

変革型リーダーシップは、“フォロワーの目標を高め、明示的もしくは暗黙的な交換関係に基づいた期待を超えた業績を上げること”ができる、という自信を彼らに与えることにより、彼らに対して影響を及ぼす“リーダー行動”と定義されている (Dvir et al. 2002)。変革型リーダーシップには、4つの下位概念があるといわれている (Bass 1985; Bass and Avolio 1990)。「理想化された影響」「モチベーションの鼓舞」「知的刺激」「個への配慮」である。「理想化された影響」とは、フォロワーの感情を高ぶらせ、リーダーとの同一化を促進する行動である。「モチベーションの鼓舞」は、フォロワーに対してビジョンを明確に伝え、シンボルを用いてフォロワーの努力をまとめあげ、適切な行動をモデル化する行動である。「知的刺激」は、フォロワーに対して問題を認識させ、新しい視点から問題を捉えることを促進する行動である。「個への配慮」は、フォロワーに対して、サポートし、勇気づけ、コーチングを行う行動である。これら4つのタイプの行動が、チーム目標達成に対する強烈的な貢献意欲を、フォロワーから引き出すといわれている。

変革型リーダーシップは、最も多くの研究が行

われてきたリーダーシップ・スタイルの1つで、フォロワーの職務態度、行動、成果に正の影響を及ぼすことが、メタ分析によっても明らかにされている (DeGroot, Kiker and Cross, 2000; Dum Dum, Lowe, and Avolio 2002; Judge and Piccolo 2004; Lowe and Galen Kroeck 1996)。

研究開発プロセスを対象とした変革型リーダーシップ研究もいくつか行われている。ただし、これらは、大きく、個人レベルの研究とチーム・レベルの研究に分かれる。前者は、リーダーシップの効果が研究開発者個人にどのように影響を及ぼすのかを明らかにしようとする研究であり、後者は、その効果が研究開発チーム全体にどのように影響を及ぼすのかを明らかにする研究である。両者は、用いる変数も異なり、その方法も異なる。そこで、以下では、それぞれ別にレビューすることとする。

(1) 個人レベルの変革型リーダーシップ研究

いくつかの研究は、変革型リーダーシップが、研究開発者の職務態度や行動に影響を及ぼすことを明らかにしている。Michaelis, Stegmaier, and Sonntag (2009) は、ドイツの研究開発者を対象とした研究において、チーム・リーダーが変革型リーダーシップの下位概念の1つである「理想化された影響」¹⁾を発揮している場合、フォロワーが、イノベーションを促進する行動を取る傾向が強くなることを明らかにしている。また、Paulsen et al. (2013) は、オーストラリアの研究所で働く研究開発者を対象とした研究において、変革型リーダーシップが、研究開発者のイノベーションに向けた努力を促進することを明らかにしている。

欧米以外でも、変革型リーダーシップの研究は行われている。Berson and Linton (2005) は、イスラエルの通信企業の研究開発者を対象とした研究で、変革型リーダーシップが研究開発者の職務満足に正の影響を及ぼすことを明らかにしている。また、Gumusluoglu, Karakitapoğlu-Aygün, and Hirst (2013) は、トルコの研究開発者を対象とした研究において、変革型リーダーシップが手続き的公正感を通じて組織コミットメントに、また、関係的公正感を通じてリーダーへのコミット

メントに正の影響を及ぼしていることを明らかにしている。Lee (2008) は、シンガポールの研究開発者を対象とした研究で、変革型リーダーシップが、リーダーとメンバーの関係性 (Leader-Member Exchange, 以下、LMX) に影響を及ぼしていることを明らかにしている。さらに、Shih, Chiang, and Chen (2012) は、台湾の研究開発者を対象に、変革型リーダーシップが研究開発者の知識交換行動に正の影響を及ぼすことを明らかにしている。

一方、変革型リーダーシップが個人の研究成果に影響を及ぼすことを示した研究も見られる。Eisenbeiß and Boerner (2013) は、ドイツの研究開発者を対象とした研究において、変革型リーダーシップがフォロワーの創造的成果を高めることを明らかにしている。欧米以外では、Gumusluoglu and Ilsev (2009) が、トルコの研究開発者を対象とした研究において、変革型リーダーシップが、個人の創造的成果に正の影響を及ぼしていることを明らかにしている。また、Shin and Zhou (2003) は、韓国の研究開発者を対象とした研究において、変革型リーダーシップが、個人の創造的成果に正の影響を及ぼしていることを明らかにした。

(2) チーム・レベルの変革型リーダーシップ研究

リーダーシップの影響を検討する場合、チーム・レベルでも検討する必要がある。研究開発の場合、チーム・レベルの活動が多いため、成果もチーム・レベルが重要になる。しかし、チーム・レベルの成果は、単なる個人レベルの成果の足し算ではないため、チーム・レベルの成果を別途検討する必要がある (Woodman, Sawyer, and Griffin 1993)。

Thite (2000) は、オーストラリアの研究開発チームを対象とした研究において、チーム・リーダーが、変革型リーダーシップの下位概念のうちの「理想化された影響」と「知的刺激」を示した場合、チームが成功に導かれる可能性が高いことを示している。また、Keller (2006) は、アメリカの研究開発チームを対象に、変革型リーダーシップと構造つくりのリーダーシップ (Initiating structure) がチーム成果にどのような影響を及ぼすのかを明らかにした。その結果、どちらもチー

ム成果に正の影響を及ぼすものの、その影響力は、研究と開発で違うことを明らかにしている。具体的には、変革型リーダーシップは研究チームで、構造つくりのリーダーシップは開発チームでより強く影響を及ぼすのである。

変革型リーダーシップとチーム成果の関係は、日本においても検証されている。Ishikawa (2012a, b) は、日本の研究開発チームを対象とした研究において、変革型リーダーシップがチーム成果に正の影響を及ぼすことを明らかにしている。また、石川 (2007) は、日本の研究開発チームを対象とした研究において、変革型リーダーシップと非指示型リーダーシップの交互作用がチーム成果に正の影響を及ぼすことを明らかにしている。

このように、変革型リーダーシップは、個人の職務態度、行動、成果に加え、チーム成果に正の影響を及ぼすことがわかる。さらに、その効果は、欧米だけでなく、アジア、とりわけ日本においても確認されている。このことは、変革型リーダーシップが文化を越えて効果的であることを示唆している。

2 境界活動と成果変数

境界活動とは、チームの外から、資源や情報、サポートを獲得してくる活動である。研究開発活動とは、新しい知識を生み出す活動である。新しい知識は、既存の情報を新しい方法で組み合わせたり、また、新しい視点で解釈したりすることで生まれる。このため、新しい知識を生み出すためには、その元となる情報が必要となる。また、研究活動を行うためには、資金や実験などのための施設も必要にある。さらに、効果的な活動を行うためには、部門内外の理解やサポートも必要であろう。

この境界活動は、会社の内外に向けて必要となる。例えば、会社内に対しては、研究資金の獲得や、マーケティングや製造部門などの情報を得ることが、効果的な研究活動のためには必要となる。また、会社外に対しては、専門的な技術情報や顧客情報を得たり、時には、外部の組織と連携したりすることも必要になる。

境界活動についての研究は古くから行われてい

るが、そのほとんどは、コミュニケーションに着目している。なぜなら、必要な資源やサポートを獲得するために、最も重要な手段となるのがコミュニケーションだからである。特に、研究開発活動において最も重要な資源の1つである情報は、コミュニケーションが主たる獲得手段となる。実際に、多くの先行研究が、研究開発チームのコミュニケーションがチーム成果に影響を及ぼすことを明らかにしている (Ancona and Caldwell 1992a; Hung, Kuo, and Dong 2013; Keller, 2001; Kivimaki and Lansisalmi 2000; Taylor and Utterback 1975)。

Allen (1977) は、このコミュニケーション境界活動を、ごく限られた研究開発者しか行うことができないと指摘している。なぜなら、コミュニケーションの相手によって、コンテキストが異なるからである。例えば、同じ会社内の製造部門の人とのコミュニケーションと、技術的な専門分野における学会のメンバーとのコミュニケーションでは、全くコンテキストが異なる。通常の人にとって、複数のコンテキストを使い分けることは非常に難しい。このため、コミュニケーションの相手がある程度偏ってしまう。

ところが、中には、複数のコンテキストを使い分けることができるコミュニケーション・スターがいる。Allen (1977) によると、このコミュニケーション・スターは、会社内外の様々な相手とコミュニケーションを取るだけでなく、チーム内に必要な情報を取り入れる役割を担っている。このため、チーム内においてコミュニケーション・ネットワークのハブとなる。また、チーム外との協力や連携、交渉などの役割も担っている。このような役割を担っている研究開発者は、ゲート・キーパー (以下、GK) と呼ばれる。

その後の研究において、チーム内に GK が存在することで、チーム内のコミュニケーションが活発化されることや、チーム成果に正の影響を及ぼすこと、そしてその影響が、研究と開発では違うことなどが明らかにされてきた (Allen, Tushman, and Lee 1979; Katz 1982; Katz and Tushman 1979; Katz and Tushman 1983; Tushman and Katz 1980)。さらに、Harada (2003) は、日本の企業を対象と

した研究において、日本では、コミュニケーション・フローがGKを経由した2段階ではなく、3段階となっており、GKとは別に、トランスフォーマーと呼ばれる研究開発者が、コミュニケーション・フローを担っていることを明らかにしている。

なお、Allen (1977) は、GKとチーム・リーダーが、必ずしも一致しないと指摘している。つまり、同じプロジェクト内に、リーダーとGKがそれぞれ存在して、それぞれ別の役割を担うことがありうる、ということである。しかし、リーダーとGKが別々に存在すれば、指示や情報の流れが混乱する可能性がある。逆に、リーダーが同時にGKの役割も担っていれば、プロジェクト内ではリーダーを中心としたスムーズなコミュニケーションが行われ、チーム内に必要な情報が獲得され、結果的にチームの成果を高めると考えられる。実際に、Hirst and Mann (2004) は、リーダーがコミュニケーション境界活動を行うことが、研究開発チームの成果を高めることを明らかにしている。

また、Ishikawa (2012a) は、GK型リーダーシップというリーダーシップ・スタイルを概念化している。GK型リーダーシップとは、GKの役割を担うことにより、チーム内外のコミュニケーションのハブとなると同時に、チーム内外の連携・調整を行うリーダーシップである。その上で、日本の研究開発チームを対象に、GK型リーダーシップと変革型リーダーシップのチームに対する効果を比較している。その結果、GK型リーダーシップも変革型リーダーシップも、ともに、チーム・メンバーの会社内他部門とのコミュニケーションを活発化することにより、チーム成果に正の影響を及ぼすことを明らかにした。

このように、Elkins and Keller (2003) 以降も、リーダーの境界活動に関する研究は様々な国で行われ、研究開発チームの成果に正の影響を及ぼすことが明らかにされている。ただし、変革型リーダーシップと比較して、その数は少ない。また、その多くは、チームのコミュニケーションと関連づけられて論じられることが多い。このため、そのほとんどは、チーム・レベルでの研究である。しかし、リーダーの境界活動は、チームの認知的

フレキシビリティや凝集性など、他の要因にも影響を及ぼす可能性がある。さらに、個々のチーム・メンバーの内発的モチベーションや組織コミットメントなどに影響を及ぼす可能性がある。このため、他の要因と関連した研究や個人レベルの研究など、更なる研究が必要となる。

III リーダーシップと研究開発成果の関係を媒介する要因

Elkins and Keller (2003) は、主としてリーダーシップと成果変数の関係に着目しており、媒介変数には言及していない。しかし、リーダーシップが、直接、研究開発者やチームの成果に影響を及ぼすとは考えづらい。実際に、媒介変数に着目している先行研究もみられる。そこで、これまでどのような媒介変数が扱われてきたのかについてもみていく。なお、個人レベルの研究とチーム・レベルの研究では、扱われる媒介変数が異なる。そこで、以下では、別々にみていくこととする。

1 個人レベルの媒介変数

先行研究で扱っている媒介変数は、チームや組織への一体感や愛着に関する変数と、仕事へのモチベーションややりがいに関する変数に分けられる。前者に属するものとして、組織コミットメントやチームへのアイデンティティがあげられる。

Huang (2013) は、台湾の研究開発者を対象とした研究において、変革型リーダーシップが、組織に対する情緒的コミットメント、チームに対する自尊感情、そして、チームの一員としての自己カテゴリー化を通じて、研究成果やOCB (Organizational Citizenship Behavior) に影響を及ぼすことを明らかにしている。また、先述したPaulsen et al. (2013) は、変革型リーダーシップがフォロワーのイノベーションに向けた努力に及ぼす影響を、チームに対するアイデンティティや創造的成果に対する組織的サポートへの知覚が媒介していることを明らかにしている。

研究開発活動はチームとして行われることが多い。このため、チーム内において、メンバー同士、調整や連携がとれるかどうかは成果に重要な影響

を及ぼす。通常は、組織やチームに対する愛着や一体感がある方が、他のメンバーとの協力を行いやすい (DeCotiis and Summers 1987)。このため、組織コミットメントやチームに対するアイデンティティが高いことが、研究成果に正の影響を及ぼすのであろう。

仕事へのモチベーションややりがいに関する変数として、Shin and Zhou (2003) は、内発的モチベーションを取り上げている。具体的には、変革型リーダーシップが内発的モチベーションを向上させることでフォロワーの成果を高めることを明らかにしている。内発的モチベーションとは、賃金や地位など、仕事を達成した結果によって受け取る外発的報酬ではなく、仕事そのものに喜びを感じることで得られるモチベーションである (Deci and Ryan 1985)。内発的なモチベーションを感じている人は、認知的にフレキシブルで辛抱強いことが知られており (McGraw and Fiala 1982)、先行研究においても、創造的成果に正の影響を及ぼすことが指摘されている (Amabile 1983; Oldham and Cummings 1996)。研究開発活動は創造的活動であるため、高い成果を生み出すためには、内発的モチベーションが重要であると考えられる。

また、先述した Gumusluoglu and Ilsev (2009) は、心理的エンパワーメントを取り上げ、変革型リーダーシップと研究成果の関係を心理的エンパワーメントが媒介していることを明らかにしている。心理的エンパワーメントとは、仕事の意義、仕事に対する自己効力感、仕事を進める上での自己裁量感、仕事を持つインパクトの4つによって規定されているモチベーションである (Spreitzer 1995)。心理的エンパワーメントは、仕事のどのような点がモチベーションの源泉となっているかを明確化している点で、内発的モチベーションをより発展した概念であるといえよう。内発的モチベーションと同様に、心理的エンパワーメントも、創造的成果に正の影響を及ぼすことが明らかにされている (Zhang and Bartol 2010)。

さらに Gupta and Singh (2014) は、リーダーシップとフォロワーの創造志向的行動の関係を心理的資本 (Psychological capital) が媒介している

ことを、インドの研究開発者を対象とした研究で明らかにしている。心理的資本とは、自己効力感、楽観的、希望、快活さに特徴付けられたポジティブな心理状態のことである (Luthans, Youssef, and Avolio 2007)。心理的資本については多くの研究がなされ、創造的成果に正の影響を及ぼすことも明らかにされている (Sweetman, et al. 2011)。Gupta and Singh (2014) は、研究開発に特有のリーダーシップをモデル化し、当該リーダーシップが心理的資本を通じてフォロワーの創造思想的行動を引き出していることを明らかにした。

この他に、変化へのコミットメントに注目している研究も見られる。先述した Michaelis, Stegmaier, and Sonntag (2009) は、変革型リーダーシップの下位概念の1つである「理想化された影響」とフォロワーのイノベーション促進行動の関係を、フォロワーの変化へのコミットメントが媒介していることを明らかにしている。具体的には、リーダーの「理想化された影響」がフォロワーの変化へのコミットメントを高め、結果的に、イノベーション促進行動を引き出すのである。イノベーション行動を起こすためには、本人が仕事を遂行する上でイノベーションが重要であるということ認識したり、現状に不満を抱いていたりすることが必要となることが明らかにされている (Yuan and Woodman 2010)。つまり、変化することについて強くコミットすることが、イノベーション行動を引き起こすのである (Battistelli et al. 2014)。

2 チーム・レベルの媒介変数

チーム・レベルの変数は、風土、モチベーション、コミュニケーションに分かれる。Liao and Chuang (2007) によると、変革型リーダーシップは、目標達成を奨励するプロセスにおいて、高業績を得るために必要となる風土を創り上げようとする。このため、研究開発チームにおいては、研究開発成果を高めるために適した風土を創り上げると考えられる。実際に、Shih, Chiang, and Chen (2012) は、変革型リーダーシップが、チーム内に相互信頼の風土を創り上げることで、メンバーの知識交換活動を促進していることを明らか

にしている。また, Berson and Linton (2005) は, 変革型リーダーシップが, 研究開発チームにおいて, 品質重視の風土を創り上げることを明らかにしている。研究開発プロセスにおいて, 品質重視の風土は成果に重要な影響を及ぼす (Sousa and Voss 2002)。従って, 品質重視の風土も, 変革型リーダーシップと研究開発チームの関係を媒介する可能性が高い。

モチベーションに関連する概念として, 石川 (2009a) は, チーム効力感に着目し, チーム効力感が変革型リーダーシップと研究開発チームの成果の関係を媒介していることを明らかにしている。チーム効力感とは, 目標達成のために必要となるチームの能力に関して, チーム・メンバー感に共有された信念である (Bandura 1977)。Bandura (2000) によると, チーム効力感とは, チーム・メンバーの努力のレベル, 課題に対する新しいアプローチ方法の試行, 逆境における忍耐力などに重要な影響を及ぼす。このため, 研究開発チームの成果にも正の影響を及ぼすのであろう。

Shin and Zhou (2007) は, チーム効力感を発展させた創造的チーム効力感という概念に着目している。創造的自己効力感とは, 創造的成果を生み出すために必要となるチームの能力に関して, チーム・メンバー感に共有された信念である (Shin and Zhou 2007)。創造的自己効力感が高まれば, チームとしての創造性が高まり, 結果的に, 高い研究開発成果につながると思われる。実際に, Shin and Zhou (2007) は, 韓国の研究開発チームを対象とした研究において, 変革型リーダーシップとメンバー間の専門分野の多様性の相互作用が, 創造的チーム効力感を高め, 結果的にチーム成果を高めることを明らかにしている。

Ishikawa (2012a) は, チーム・メンバーのコミュニケーションに着目している。先述したとおり, 研究開発成果を高めるためには, その元となる情報の取得が重要である。このため, 情報の取得手段であるコミュニケーションは, 研究成果に重要な影響を及ぼすと思われる。Ishikawa (2012a) は, 変革型リーダーシップと GK 型リーダーシップが, ともにチーム・メンバーの会社内他部門とのコミュニケーションを促進し, 結果的に

にチーム成果を高めることを明らかにしている。

IV 残された研究課題

これまでの先行研究のレビューから, 研究開発プロセスを対象としたリーダーシップ研究については, 変革型リーダーシップと GK 型リーダーシップを中心に研究が行われてきたことがわかった。また, これらの研究は, 個人レベルとチーム・レベルの研究に大きく分かれることも明らかになった。さらに, 個人レベルおよびチーム・レベルそれぞれにおいて, リーダーシップと成果変数の間の媒介変数が明らかにされていることもわかった。

一方, 今後の課題として, 以下の4点が残されている。第1に, リーダーシップの有効性について, 国籍による違いに着目した研究が必要となる。変革型リーダーシップに代表されるように, ある種のリーダーシップは, 国境・文化を越えて有効性が確認されている。実際に, 変革型リーダーシップは, 欧米以外の国々においても有効性が確認されている。しかし, 一方で, リーダーシップの国際比較を行ったグローブ・プロジェクト (Global Leadership and Organizational Behavior Education, GLOBE) は, リーダーシップの有効性は文化的環境によって影響を受けることを指摘している (Dickson, Den Hartog, and Castano 2009; House, et al. 2004)。また, 変革型リーダーシップでさえ, いくつかの研究は, 文化的影響を受ける可能性を示唆している (Ishikawa 2012a; Lam 2002; Piliyai, Schriesheim, and Williams 1999; Shin and Zhou 2003; Walumbwa and Lawler 2003)。従って, 研究開発プロセスにおいても, リーダーシップの効果は文化的影響を受ける可能性がある。このため, 今後は, 国際比較による研究が求められる。

第2に, 研究と開発の違いを超えたモデレータを明らかにする必要がある。Keller (2006) が指摘している通り, 研究と開発では, その活動内容が異なるため, リーダーシップの効果も異なる。Tushman and Katz (1980) も, GK の効果は, 研究のチームよりも開発のチームの方が強いことを明らかにしている。さらに, 石川 (2000) は, 基

礎研究者の場合、専門的な技術情報の取得が成果に正の影響を及ぼすが、開発研究者の場合、そのような影響を及ぼさないことを明らかにしている。

ただし、これらの研究は、なぜ、このような違いが研究と開発で出てくるのかまでは明らかにしていない。このため、研究と開発のどのような違いが影響を及ぼしているのかを明らかにする必要がある。例えば、研究と開発では、仕事の複雑性や不確実性が異なる可能性がある。その場合、研究・開発という業務の区切りではなく、仕事の複雑性や不確実性をモデレータとしたモデルを検証する必要がある。

第3に、個人レベルとチーム・レベルをまたがるマルチ・レベルの研究を行う必要がある。リーダーシップの研究の多くは、個人レベルとチーム・レベルに分かれる。それは、媒介変数も成果変数も、個人レベルとチーム・レベルでは扱う変数が異なるからである。しかし、両者はそれぞれ独立して存在するわけではない。例えば、チームの研究成果には、個人の研究成果が影響するであろうし、個人のモチベーションや能力も影響するはずである。最近、両方のレベルを同時にモデル化したマルチ・レベルの研究の重要性が指摘され（竹内・竹内 2009）、実証研究も増えてきている（例えば、Cho and Dansereau 2010; Hsiung, 2012; Jung, Yammarino, and Lee 2009; Liden et al. 2008）。研究開発プロセスの研究においても、Olsson, Hemlin, and Pousette (2012) は、リーダーによる LMX の評価（チーム・レベル）とメンバーによる LMX の評価（個人レベル）の双方が個人の成果に影響を及ぼすことを明らかにしている。今後、さらなるマルチ・レベルの研究が必要となろう。

第4は、リーダーシップの逆機能についても検証が必要である。先行研究の多くは、リーダーシップの有効性について焦点を当てている。しかし、少数ではあるが、リーダーシップが逆機能を示すことを明らかにしている研究もある。例えば、Eisenbeiß and Boerner (2013) は、変革型リーダーシップが、研究開発者の創造的成果に正の影響を及ぼす一方、研究開発者のリーダーに対する依存度にも正の影響を及ぼすことを明らかにして

いる。研究開発の成果を生み出すためには、自律性が重要である（Bailyn 1985; Paolillo and Brown 1978; Pelz and Andrews 1966）。従って、変革型リーダーシップは、リーダーへの依存度を通じて、研究開発チームの成果に負の影響も及ぼしている可能性がある。また、石川 (2009a) は、変革型リーダーシップがチーム成果に対して、チーム効力感を通じて正の影響を及ぼす一方、コンセンサス維持規範を通じて負の影響も及ぼしていることを明らかにした。コンセンサス維持規範とは、チーム・メンバー間で意見の一致を重視する規範のことである（Postmes, Spears, and Cihangir 2001）。コンセンサス維持規範が強すぎると、チーム内の情報や意見の多様性を低減させ、創造的成果に負の影響を及ぼすと考えられる。さらに、Ishikawa (2014b) は、変革型リーダーシップが、ストレッサーを通じて、研究開発者の疲労に正の影響を及ぼすことを明らかにした。疲労が蓄積されれば、結果的に成果に負の影響を及ぼす可能性もある。これまで見てきたとおり、変革型リーダーシップは、その影響が強いが故に、負の影響も及ぼす可能性がある。他のリーダーシップ・スタイルについても、逆機能について検討する必要がある。

第5に、変革型リーダーシップやGK型リーダーシップ以外のリーダーシップ・スタイルの効果を明らかにする必要がある。研究開発プロセスについては、変革型リーダーシップやGK型リーダーシップ以外のリーダーシップ・スタイルの先行研究が非常に少ない。しかし、他のリーダーシップ・スタイルについても、研究開発成果に重要な影響を及ぼす可能性はある。先行研究で明らかにされた媒介変数に影響を及ぼすリーダーシップ・スタイルであれば、研究開発成果に正の影響を及ぼすと考えられる。

例えば、サーバント・リーダーシップは、上司へのコミットメントや自己効力感に正の影響を及ぼすことが明らかになっている（Walumbwa, Hartnell, and Oke 2010）。また、組織コミットメントやワーク・エンゲージメントに影響を及ぼすことが明らかになっている（van Dierendonck, et al. 2014）。ワーク・エンゲージメントとは、仕事に対する快活、献身、没頭の特徴付けられる心理的

状態のことであり (Schaufeli, Bakker, and Salanova 2006), アイデアの質や量, 課題への粘り強さに正の影響を及ぼすことが明らかになっている (Kovjanic, Schuh, and Jonas 2013)。また, オセンティック・リーダーシップは, フォロワーの心理的資本 (Rego, et al. 2012; Wang, et al. 2014) や, 上司への満足, 情緒的な組織コミットメント (Peus, et al. 2012) に正の影響を及ぼすことが明らかになっている。さらに, エンパワーリング・リーダーシップについては, フォロワーの心理的エンパワーメント (Dierendonck and Dijkstra 2012) や, 情報共有とチーム効力感 (Srivastava, Bartol, and Locke 2006) に正の影響を及ぼすことが明らかにされている。

これらの研究は, いずれも研究開発プロセスを対象としたものではない。しかし, 上述したとおり, いずれのリーダーシップ・スタイルも, リーダーシップと研究開発成果の関係を媒介する変数に影響を及ぼすことが明らかにされている。また, これらのリーダーシップ・スタイルについては, いずれもフォロワーの創造的成果に正の影響を及ぼすことも明らかにされている (Harris, et al. 2014; Rego, et al. 2012; Yoshida, et al. 2014; Zhang and Zhou 2014)。これらのことから, これらのリーダーシップ・スタイルは, 研究開発成果にも重要な影響を及ぼすと考えられる。今後の検証が必要となろう。

V 日本企業の研究開発プロセスにおいてリーダーシップの発揮を阻害する要因

研究開発プロセスにおいてリーダーシップを発揮する際に, どのような要因がその効果を阻害するのであろうか。これまで, 多くの先行研究がリーダーシップの阻害要因について明らかにしてきた。しかし, ここで全てに言及することはできない。そこで, 以下では, 日本企業に特有の問題に焦点を絞って言及する。具体的には, 過剰な年齢意識, コミュニケーション頻度の少なさ, 組織内同形化圧力に焦点を当てる。

1 過剰な年齢意識

日本の研究開発者は, 海外の研究開発者と比較して, 年齢意識が強いと考えられる。ここでいう年齢意識とは, 「ある程度の年齢になったら一線の研究から退くべき」とか「年齢に相応の仕事をするべき」などといった年齢に応じた役割分担意識である。McCormick (1995) は, 日・米・英・独の国際比較から, 日本の研究開発者が他国の研究開発者に比べて, 仕事をする上で年齢を強く意識していることを指摘している。具体的には, 一線の研究開発者として活躍できる限界の年齢を研究開発者自身に尋ねたところ, 米・英・独の研究開発者の70%以上は, “研究開発者としての限界は年齢とは関係ない”と回答しているのに対して, 日本の場合, 同様に回答した研究開発者は15%弱しかいなかった。ところが, 内田 (1993) が日本の研究開発者が年齢限界を感じる理由について日本の研究開発者に尋ねたところ, “管理的業務が多忙である”ことと“雑務が多忙であること”をあげる研究開発者が多く, 集中力低下や発想力低下, チャレンジ精神低下など能力面をあげる研究開発者は少なかった。このことから, 日本企業では, 研究開発者であっても, 年齢に応じた役割分担が行われていることが窺える。

このような年齢意識は, 2つの点でリーダーシップの発揮を阻害する。第1に, 若年層にリーダー的な仕事が回ってこない点である。Sato (1995) は, 日・米・英・独の比較から, 20代でプロジェクト・リーダーを任せられる研究開発者が, 米国では41.5%, 英国では62.1%, ドイツで33.8%であるのに対して, 日本では10.5%と非常に少ないことを明らかにしている。つまり, 日本では, 若い研究者がリーダー的な仕事に就く機会が少ないのである。しかし, Owens and Schoenfeldt (1979) や Bettin and Kennedy (1991) も指摘している通り, キャリアの初期でのリーダー経験がその後のリーダーシップ育成につながる。それにもかかわらず, 年齢意識の影響で若年層にリーダー的な仕事が回ってこなければ, 効果的なリーダーシップ育成が損なわれることになる。

2点目は, 年齢とともに一線の研究から離れる

傾向が強い点である。先述したとおり、日本の研究開発者は、年齢に応じて、管理業務やその他の雑務が課されるようになる。このため、優秀な研究開発者が、年齢に関係なく、一線の研究開発者として活躍することが難しくなっている。

このような問題を回避するために、多くの企業が専門職制度を取り入れている。しかし、福谷(2007)によると、専門職制度がうまく機能していないケースが多い。その理由の1つとして、「優秀な人は、ある程度の年齢になったら、管理職となって、部下を指導・育成するのが当たり前」という社会的な役割期待がある可能性は高い。

しかし、効果的なリーダーシップを発揮するためには、フォロワーからの信頼が必要となる(John, Simon, and Ann 2011; Yang and Mossholder 2010)。一般に、リーダーがフォロワーから信頼を得るための必要な要件の1つが能力の高さである(Mayer, Davis, and Schoorman 1995)。研究開発者の場合、リーダーが、研究開発者として有能であることが重要なのである。それにもかかわらず、有能な研究開発者が、年齢を理由に現場を離れると、現場で有能なリーダーシップを発揮する研究開発者を確保することが難しくなる。

年齢意識による影響は、日本に独自の問題であるとは限らない。例えば、石川・石田(2002)は、日・英・仏・独・印・韓・台の国際比較から、日本だけでなく、韓国においても特定の年齢による限界を感じている研究開発者が多いことを明らかにしている。また、Kearney(2008)は、ドイツの研究開発チームを対象とした研究において、チーム・リーダーの年齢が、他のメンバーと比較して高い方が、変革型リーダーシップを効果的に発揮する傾向が強いことを明らかにしている。しかし、日本では年齢意識が過剰で、それが、効果的なリーダーシップの発揮・育成を阻害している可能性が高い。

2 コミュニケーション頻度の低さ

先行研究から明らかなおと、研究開発成果を高めるためには、チーム内外のコミュニケーションを活発に行うことが重要である(Kivimaki and Lansisalmi 2000)。しかし、日本企業の研究開発者

は、相対的に、コミュニケーションの頻度が低い可能性がある。先述した石川・石田(2002)は、コミュニケーション頻度の国際比較を行っている。その結果、会社外の専門家集団とのコミュニケーションは、比較した国の中で最も頻度が低かった。また、従来、日本の研究開発者が得意であると考えられていた会社内他部門とのコミュニケーションについても、最低頻度であった。

同研究では、研究開発部門の管理職のコミュニケーションについても比較を行っている。その結果によると、管理職についても、日本企業の管理職は最低レベルであるが、一線の研究開発者と比較した場合、その差は大きい。特に、会社外の専門家集団とのコミュニケーションについては、一線の研究開発者と管理職の差は、各国の中で最大であった。この結果、日本企業の研究開発部門では、一線の研究開発者がコミュニケーションを活発に行っておらず、情報取得を管理職に依存している可能性があることを示唆している。

このことは、日本企業の一線の研究開発者の場合、チーム外部とのコミュニケーションを頻繁に行う機会が少なく、管理職になり、一線の仕事から少し離れてから会社内外とのコミュニケーションを行う機会が増えてくることを意味している。一線の研究開発者の間、特に、キャリアの初期段階でコミュニケーションを活発に行う機会が少なければ、チーム・リーダーになっても、コミュニケーションを自ら行うことも、また、チーム・メンバーに奨励することも難しくなる。つまり、GK型リーダーシップを発揮しづらくなると考えられる。

3 組織内同形化圧力

榊原(1995)は、日米の比較から、日本企業の研究開発部門は、相対的に、組織内同形化の圧力が強いことを指摘している。組織内同形化圧力とは、組織内部の構成要素間の同質化を促す圧力で、具体的には、組織内の構造やプロセス、文化、メンバー間の均質化を促す圧力である。

研究開発チームの中でも、メンバー間の均質化圧力が強まれば、他のメンバーと異なる新しいアイデアや、全く異なる価値観を発言しづらくなり、

チームの創造的成果に負の影響を及ぼすと考えられる。

この均質化圧力は、リーダーシップの効果にも影響を及ぼすと考えられる。先述した通り、石川(2009a)とIshikawa(2012a)は、日本の研究開発チームでは、変革型リーダーシップが、成果に対して正の効果を持つだけでなく、チームのコンセンサス維持規範を高めることで負の影響も持つことを明らかにしている。これらの研究は国際比較ではない。しかし、変革型リーダーシップが研究成果に負の影響を及ぼすことを確認した研究は、アジアを含めて世界で例を見ない。このことは、変革型リーダーシップが、日本において顕著にコンセンサス維持規範を高めている可能性があることを示している。元々均質化圧力が強い日本企業では、変革型リーダーシップのような強烈なリーダーシップが発揮されると、コンセンサス規範が高まりすぎてしまい、チーム内での多様な意見や考え方が抑圧されてしまうのであろう。

このことは、変革型リーダーシップに代表されるように、海外で効果的であることが明らかになっているリーダーシップ・スタイルが、組織内やチーム内の同質化圧力が強い日本の研究開発チームでは、効果を発揮しづらかったり、時には負の効果を発揮したりすることを指摘している。このため、このような圧力を与えづらい、日本企業に特有のリーダーシップ・スタイルを明らかにすることが必要になる。しかし、一方で、そもそも組織内同形化圧力が創造的成果に負の影響を及ぼすことを考えれば、この圧力を低減していくことが本質的には重要となる。

VI 今後の展望——新しいリーダーシップ研究の必要性

最後に、研究の蓄積はそれほど多くないものの、今後、研究開発者を対象としたリーダーシップを検討する際に考慮すべきリーダーシップ研究に言及する。1つはシェアド・リーダーシップでもう1つは多様性とリーダーシップである。

1 シェアド・リーダーシップ

これまで行われてきたリーダーシップ研究の多くは、1人のリーダーにだけ焦点を当てている(Kozlowski and Bell 2003; Stewart and Manz 1995)。つまり、1人のリーダーだけが他のメンバーに影響を及ぼす、という前提のもと、有効なリーダーシップを探索しているのである。しかし、実際のチームに目を向けてみると、メンバーに影響を及ぼしているのは、必ずしもリーダーだけではない。リーダー以外のメンバーも、他のメンバーに影響を及ぼすことはあるし、時には、リーダーに影響を及ぼすことさえある。特に、研究開発チームの場合、活動プロセスにおける複雑性や曖昧性が高いため、1人のリーダーがチームに対して及ぼす影響に限界がある。このため、フォーマルなリーダーだけでなく、他のチーム・メンバーもそれぞれリーダーシップを発揮しているようなチーム状態を作っていく必要がある(Pearce 2004)。グローバル化が進展している今日、扱う事象やチーム環境の複雑性・曖昧性がさらに高まっており、リーダーだけでなく、チーム・メンバーもリーダーシップを発揮する必要性がますます高まっていると考えられる。

フォーマルなリーダーだけでなく、チーム・メンバー間でもリーダーシップが共有されているチーム状態をシェアド・リーダーシップという(Carson, Tesluk, and Marrone 2007; Perry, Pearce, and Sims Jr. 1999)。これまで、シェアド・リーダーシップについていくつかの先行研究が行われてきており、シェアド・リーダーシップとチーム成果の間に一定の肯定的な関係が見られることが明らかにされている(Avolio, et al. 1996; Carson, Tesluk, and Marrone 2007; Ensley, Hmieleski, and Pearce 2006; Klein, et al. 2006; Kline and O'Grady 2009; Mehra, et al. 2006; Pearce and Sims 2002; Siv-subramaniam, et al. 2002)。

これに加えて、シェアド・リーダーシップは、研究開発チームの成果にも正の影響を及ぼすことが明らかにされている。Lindgren and Packendorff(2011)は、スウェーデンのバイオ企業の研究開発者を対象にインタビューを実施し、シェア

ド・リーダーシップがチームの成果を上げるために有効であることを明らかにしている²⁾。また、Ishikawa (2012b) と石川 (2013) は、日本の研究開発チームにおいて、シェアド・リーダーシップがチームの成果に正の影響を及ぼすことを定量的に明らかにしている。

チーム・メンバーがリーダーシップを発揮する機会が増えれば、チームの意思決定に関わる機会も増え、結果的に、メンバーのモチベーションを高める (Mitchell 1973; Searfoss and Monczka 1973)。また、リーダーシップを発揮する機会が増えれば、自律的に活動することについての喜びを感じ、内発的モチベーションの向上につながると考えられる (Deci and Ryan 1985; Hackman and Oldham 1980)。

一方、シェアド・リーダーシップは、チームとしてのスキルや資源にも正の影響を及ぼすと考えられる。それぞれのチーム・メンバーが、必要な時に必要なスキルを発揮したり、必要な情報を提供したりすることができれば、チームとしての専門的スキル・情報のレベルは高くなると考えられる。なぜなら、自らが保持しているスキル・情報がどのような場面でどのように役立つのかは、本人が一番知っているからである。本人が必要な場面において自ら主体的にスキル・情報を提供することができれば、1人のリーダーに従ってスキル・情報を提供している場合よりも、豊富で的確なスキル・情報がチームに供給されるであろう。

このように、研究開発チームにおいても、シェアド・リーダーシップは有効であると考えられる。一方で、どのような要因がチームをシェアド・リーダーシップの状態にするのかについては、Carson, Tesluk, and Marrone (2007) を除いて、一般的なチームを含めてほとんど行われていない。実務的なインプリケーションを得るためには、シェアド・リーダーシップの規定要因を明らかにすることが重要な課題となる。

2 多様性とリーダーシップ

グローバル化の進展に伴い、研究開発チームの多様性は、今後ますます高まって行くと考えられる。しかし、多様性は、諸刃の剣である。いくつ

かの研究は、チームの多様性がイノベーションにつながることを示している (Ancona and Caldwell 1992b; Bantel and Jackson 1989)。一方で、多様性がチーム内のコンフリクトを高めたり (Greer, Jehn, and Mannix 2008; Hobman, Bordia, and Gallois 2003; Jehn, Chadwick, and Thatcher 1997; Jehn, Northcraft, and Neale 1999; Pelled, Eisenhardt, and Xin 1999)、チーム内の協調・連携を損なったり (Harrison, et al., 2002; Smith, et al., 1994) することを明らかにしている研究も見られる。このため、多様性が高いチームから、創造的成果を引き出すために有効なリーダーシップを明らかにする必要がある。

研究開発チームを対象とした研究では、Shin and Zhou (2007) が、最終学歴の専門分野の多様性と変革型リーダーシップの関係を明らかにしている。Shin and Zhou (2007) によると、変革型リーダーシップが発揮されている場合、最終学歴の専門分野の多様性が高いチームの方が、創造性が高い成果を発揮する傾向がある。また、Kearney and Gebert (2009) は、最終学歴の専門分野に加えて、年齢と国籍の多様性についても、変革型リーダーシップとの関係を明らかにしている。具体的には、変革型リーダーシップが発揮されている場合、年齢の多様性はチーム成果に影響を及ぼさないが、変革型リーダーシップが発揮されていない場合、負の影響を及ぼす。また、最終学歴と国籍の多様性については、変革型リーダーシップが発揮されている場合、チーム成果に正の影響を及ぼすが、発揮されていない場合は、有意な影響を及ぼさない。

このように、一部の例外はあるものの、研究開発者を対象とした研究は非常に少ない。しかし、研究開発分野は、他部門以上にグローバル化が求められている。国や地域によって、技術的に発展している分野が異なるからである。また、国ごとのニーズや規制に合わせた製品開発を行う必要があることも理由の1つである。このため、海外の拠点と連携しながら、研究開発を進める必要に迫られる。実際に、IT技術の発達により、国境を越えたバーチャル・チームが稼働している例も見られる。このため、研究開発チームにとって、国

籍が多様なチームから創造的成果をどのように引き出すのが重要な課題となる。

従って、国籍も含めた多様性の高いチームから創造的成果を引き出すために、どのようなリーダーシップが適切であるかについて明らかにしていく必要がある。そのためには、以下の2点が必要になる。第1に、多様性の根底にある要因を明らかにすることである。例えば、国籍の多様性を考えた場合、国籍そのものが多様であることが影響を及ぼすわけではない。むしろ、国籍が違うことで仕事に対する考え方や価値観が違っていたり、持っている情報が違っていたりする。これまでの国籍の多様性に関わる研究では、国籍の違いそのものに焦点を当てていた (Ishikawa 2014a)。しかし、今後は、国籍がもたらす本質的な違いに着目し、その違いが創造的成果にどのような影響を及ぼすのか、また、両者の関係にリーダーシップがどのようなモデレート効果を発揮するのかを明らかにしていく必要がある。

第2に、多様性と創造的成果の関係を媒介する要因を明らかにすることである。多様性に関わる先行研究の多くは、両者を媒介する要因のうち、ポジティブなものとして情報の多様性や精緻化、ネガティブなものとして、社会的アイデンティティの対立をあげている (Ishikawa 2014a)。しかし、これらの研究の多くは、研究開発チームを対象としたものではない。従って、これらの媒介変数が研究開発チームにおいて成果にどのような影響を及ぼすのかを明らかにする必要がある。さらに、これらの媒介変数に、リーダーシップがどのような影響を及ぼすのかも明らかにする必要がある。

Ⅶ まとめ

1 得られた知見

研究開発プロセスを対象とした先行研究をレビューすることで、これまで、リーダーシップと成果の関係についてどのような研究が行われてきたのか、また、両者を媒介する変数としてどのようなものが扱われてきたのかを明らかにすること

ができた。また、レビューの結果、今後の研究の課題として5点が残されていることが明らかになった。国際比較の必要性、モデレート変数を探求する必要性、マルチ・レベル研究の必要性、リーダーシップの逆機能を探求する必要性、そして、変革型リーダーシップとGK型リーダーシップ以外のリーダーシップの効果を明らかにする必要性である。

これに加えて本研究では、日本企業に特有な課題として、過剰な年齢意識、コミュニケーションの少なさ、そして、組織内同形化圧力を取り上げた。日本の研究開発プロセスにおいて効果的なリーダーシップを発揮するために、これらが大きな阻害要因となっていることを指摘した。

最後に、今後のリーダーシップ研究として、シェアード・リーダーシップと多様性が高いチームのリーダーシップについて焦点を当てる必要があることを指摘した。今後、ますますグローバル化が進んでいく環境の中で、研究開発チームの創造的な成果を促進するために、これらの事項を検討することが必要となる。

この研究は、次の2点で学術的貢献な貢献をしていると言える。第1に、Elkins and Keller (2003)以降の研究開発プロセスにおけるリーダーシップ研究の流れを体系的にレビューしたことである。これにより、これまでの研究で明らかになったことが整理されたと同時に、今後の研究開発プロセスにおけるリーダーシップ研究の課題を明らかにすることができた。第2に、日本企業の研究開発プロセスにおいて、リーダーシップの効果を阻害する要因を明らかにした点である。これまで、日本企業の研究開発プロセスを対象としたリーダーシップ研究は非常に少なかった。このため、日本企業に特有の課題が明確化されてこなかった。本研究では、数少ないリーダーシップ研究と、これに関連する研究をレビューすることで、日本企業に特有の問題を明らかにすることができた。これにより、今後の研究において検討すべき課題を明確化することができた。

2 実務へのインプリケーション

日本企業の研究開発プロセスにおいて、効果的

なリーダーシップを発揮するためには、以下の4点が重要であることが明らかになった。第1に、若年層のリーダーシップ開発である。一般に、リーダーシップは、リーダー的な職位に就いている人にとって必要であり、一般職のように、そのような職位にいない人には必要ではないと考えられている。このため、リーダーシップ研修も、管理職を始め、リーダー的な職位に就いている人、もしくは就く予定のある人を対象に行われることが多い。

しかし、リーダーシップ開発は若年層にとっても重要である。なぜなら、リーダーシップの開発は、キャリアの早い段階で行った方が効果が大きいからである(Avolio and Vogelgesang 2111; Gardner 2011)。また、チームをシェアド・リーダーシップの状態にするためにも、若年層のリーダーシップ開発は必要となる。本研究で言及したとおり、研究開発チームの成果を高めるために、フォーマルなリーダーだけでなく、メンバーのリーダーシップを発揮することが必要となる。このため、リーダー的な職位に就いているかどうかに関係なく、早い段階から、リーダーシップを開発することが必要となる。

なお、最近のリーダーシップ研究の多くは、リーダーシップを、訓練次第で身につくものと考えている(例えば Avolio 2005; Conger and Benjamin 1990 など)。従って、若年層のうちから、意図的にリーダーシップ開発を行っていく必要がある。そのためには、若年層にも、リーダーシップ開発のための教育訓練を受ける機会を提供する必要がある。これまで、様々なリーダーシップ開発のための訓練方法が開発されてきた(例えば Avolio and Bass 1991; Blanchard 2009; Conger and Kanungo 1988; Kouzes and Posner 2003 など)。これらの機会を、若年層の研究開発者にも提供することが重要である。

しかし、リーダーシップ開発のためには、教育訓練以上に実際の経験が重要な影響を及ぼすと考えられる。このため、若くても、優秀でモチベーションが高い研究開発者には、積極的にリーダー的な役割を任せることが必要となる。先述したとおり、日本企業では、年齢意識が過剰で、若年層

にリーダー的な役割が回ってくるのが海外の企業と比較して遅い。しかし、年齢に関係なく、積極的にリーダー的な役割を任せることが、その後のリーダーシップ開発に重要な影響を及ぼす。

その際には、単に任せただけでなく、支援をしたりフィードバックをしたりするなど、若いリーダーが効果的なリーダーシップを発揮しやすい環境を整えることが必要である。また、失敗をしても、それが許される環境を整えることも必要である。若い故に、経験豊富なリーダーが犯さないような失敗を犯すこともあり得る。しかし、それによって、賃金が大幅に減額されたり、昇進しづらくなったりしてしまうのであれば、若年研究開発者はリーダー的な役割を取りたがらないであろうし、また、取ったとしても、思い切って力を発揮することができない。研究開発プロセスで成果を出すためには試行錯誤が求められる。このため、失敗できる環境を整備することも必要となる。

第2に、優秀な研究開発者に、一線の研究を続けることができる仕組み作りが必要である。若年層の研究開発者がリーダーシップを発揮することも重要であるが、経験豊富で優秀なベテランの研究開発者がリーダーシップを発揮することも重要である。研究開発者は、プロフェッショナル意識が強く、自己の専門性に対するプライドが高い。このため、研究開発者として優秀であることが、リーダーシップの効果に重要な影響を及ぼすのである。従って、優秀な研究開発者が、研究の現場でリーダーシップを取ることができるような人事制度を整備する必要がある。そのためには、管理職としてではなく、一線の研究開発者のままで昇進・昇格できるような人事制度を設けるべきである。

しかし、現在のような専門職制度では、このような役割を果たすことはできない。なぜなら、管理職コースの方が社内ステータスが高く、結果的に、管理職として向いていない研究開発者を処遇する制度になってしまっているからである。

このため、専門職制度に本来の機能を果たさせるためには、専門職の社内ステータスを高める必要がある。具体的には、マネジメント業務に向いていない研究開発者を処遇するのではなく、最も

優秀な研究開発者を、マネジメント業務への向き・不向きに関係なく専門職として処遇する必要がある。また、専門職そのものの処遇も重要である。賃金や権限なども含めて、管理職と同等以上の処遇を行う必要がある。特に、研究開発職の場合、賃金だけでなく、非金銭的な報酬が重要であることが指摘されている(石川 2009b)。非金銭的な報酬とは、研究予算や研究スタッフ、研究テーマ設定の自由裁量度などである。優秀な専門職を、非金銭的な報酬も含めて適切に処遇していくことが必要となる。

さらに、制度だけでなく、社内文化も変える必要がある。年齢に関係なく、能力と熱意に応じた仕事に就くことが当然のような文化が必要である。特に、年齢とともに管理的な仕事に就くことが当然であったり、そちらの方がステータスが強く感じられたりするような文化は変える必要がある。加齢とともに管理的な仕事を好むようになる傾向は、日本だけでは無いことが指摘されている(Allen and Katz 1992)。しかし、年齢意識が強い日本企業では、とりわけ、管理職を志向する文化が強いと考えられる。そのような文化を変えていくことも、優秀な研究開発者が、年齢に関係なく現場でリーダーシップを発揮するために必要となる。

第3に、多様性が高いチームにおいても効果的なリーダーシップを開発することが必要である。そもそも、どのようなリーダーシップ・スタイルが多様性の高いチームにおいて効果的であるのか、また、そのようなリーダーシップを開発するために、どのようなことが必要となるのかについて、まだ十分な研究が行われておらず、明確にされていない。

しかし、多様性への対応は待ったなしである。グローバル化が進むにつれ、研究開発プロセスに関わる人たちの多様性を高めることの社会的要求がこれまで以上に高くなる。また、グローバル競争に勝ち抜くために、多様性が高いチームによって、これまで以上に創造性が高い成果を生み出すことが求められる。Ishikawa (2014a) が指摘するとおり、多様性に伴うデメリットを克服することができれば、多様性が高いチームは創造的な成

果を生み出す可能性が高いからである。

従って、将来のリーダー候補生に、多様性が高いチームで活動できる経験を提供することが必要となる。どのようなリーダーシップ・スタイルが必要であるか明確になっていない現段階では、実際の経験によって身につけていったり、実際に、効果的なリーダーシップを発揮している人を観察したりすることで身につけていくしか無いからである。海外での研究開発プロジェクトに参加するか、複数の国にまたがるバーチャルなグローバル・チームに参加するか、様々な国に存在するチームのコーディネーター役を経験することなどが有効であろう。

これに加えて、研究開発部門のコミュニケーションを低コンテキスト化することも必要である。コンテキストに依存してコミュニケーションをとる高コンテキスト・コミュニケーションでは、コンテキストを共有していない人同士で協働することが難しい。しかし、多様性が高いチームでは、各メンバーが、コミュニケーションの土台となるコンテキストを共有していない可能性が高い。このため、チーム・メンバーが協働するためには、低コンテキスト・コミュニケーションを取ることが求められる。もともと、研究開発プロセスは、自然科学を対象としていることもあり、他の業務プロセスと比較して低コンテキスト・コミュニケーションが通用しやすい面がある。多様性が高いチームでも有効なリーダーシップを発揮するためには、職場全体で低コンテキスト・コミュニケーションを実践していくことが必要となる。

第4に、GK型リーダーシップを開発することが重要となる。研究成果を高めるためには、必要な情報の獲得が求められる。会社全体の経営戦略やマーケット情報、製造プロセスに関わる情報を取得するためには、会社内の他部門とのコミュニケーションが必要となる。また、専門技術に関わる情報の取得には、専門家集団とのコミュニケーションが必要となる。ところが、これらのコミュニケーションを行うためには、チーム内コミュニケーションとは異なるコンテキストが必要となる。しかし、通常は、異なるコンテキストのコミュニケーションを頻繁に行うことは難しい。このた

め、チーム・リーダーがGK型リーダーシップを発揮することで、必要な情報を他のチーム・メンバーに伝えることが必要となる。

しかし、GK型リーダーシップの効能はこれだけではない。GK型リーダーシップは、フォロワーであるチーム・メンバーのコミュニケーションも促進する。チーム・メンバーは、リーダーから必要な情報を取得することで、異なるコンテキストのコミュニケーションを行いやすくなるのであろう。また、積極的にコミュニケーションを取っているリーダーに感化される面もあるかも知れない。日本企業の研究開発者のチーム外コミュニケーション頻度が低いことを考えると、日本企業の研究開発プロセスにおいて、GK型リーダーシップの必要性は高いといえよう。

GK型リーダーシップは、日本の組織に特有の組織内同形化圧力の削減にも影響を及ぼす可能性がある。GK型リーダーシップは、チーム内のコンセンサス維持規範を下げる効果をもつ (Ishikawa 2012a)。このことは、GK型リーダーシップの影響で、チーム内に様々な情報や、考え方、価値観を重視する風土が作られていることを示唆している。つまり、GK型リーダーシップは、同形化を迫る風土の影響を和らげたり、多様性を重視する風土を創り上げたりする可能性があるのである。組織内同形化圧力が高い日本企業にとって、研究開発プロセスにおいてGK型リーダーシップが発揮させることの重要性は高いといえる。

それでは、GK型リーダーシップをどのように育成すればよいのであろうか。GK型リーダーシップは、他のリーダーシップ・スタイルと違って、研究の蓄積が浅い。このため、GK型リーダーシップの開発方法までは、明らかにされていない。しかし、研修等でコミュニケーションの重要性を強調したり、学会出張や社外との研究交流を推進したりすることで、会社外の専門家集団とのコミュニケーションを促進することはできる。また、部門横断型チームへの参加機会を提供したり、部門を越えた会議への出席機会を提供したりすることで、会社内の他部門とのコミュニケーションを促進することができる。特に、若手研究開発者のコミュニケーション機会を増やすことで、GK型

リーダーシップの育成を図ることができると考えられる。

3 本研究の限界

上述したとおり、本研究は、研究開発プロセスのリーダーシップについて、学術的にも実務的にも、一定の貢献を行ったと考えられる。一方で、いくつかの限界も抱えている。第1に、リーダーシップの規定要因についてのレビューが行われていない点である。リーダーシップの規定要因を明らかにした研究は少ないが、それでも、性格やキャリア、職場環境などが影響を及ぼすことが明らかにされている (Barbuto, Gottfredson, and Searle 2014; Bommer, Rubin, and Baldwin 2004; Bono and Judge 2004; Owens and Schoenfeldt 1979; Rowe, 2014)。これらの研究は、必ずしも研究開発プロセスを対象としたものではない。しかし、その知見は、研究開発プロセスのリーダーシップ開発にも役立つものがあるはずである。

第2に、リーダーシップの発揮を阻害する要因について、日本企業に特有の要因に焦点を絞っている点である。リーダーシップの発揮を阻害する要因については、これまで多くの研究が行われ、様々な要因が明らかになってきている (例えば Avolio, Howell, and Sosik 1999; de Vries, Roe, and Taillieu 2002; Kearney 2008; Rank, et al. 2009 など)。これらは、日本に特有の問題ではない。しかし、当然のことながら、これらの要因が、日本企業の研究開発プロセスにおいても影響を及ぼす可能性は十分にある。リーダーシップの発揮を阻害する要因について包括的にレビューを行った上で、日本企業でマネジメントしていく上で重要な要因を明確化する必要がある。

このように、いくつかの限界はあるものの、本研究で明らかにされた知見は、今後のリーダーシップ研究および現場でのリーダーシップ発揮や開発に貢献すると考えられる。日本では、リーダーシップ研究、とりわけ研究開発プロセスを対象としたリーダーシップ研究が非常に少ない。このため、既存の研究の多くは、海外で生み出された概念をもとに行われている。しかし、水面下の交渉によって必要な資源を獲得するような日本企業に

特有のリーダーシップ・スタイルもあるはずである。これらの中には、日本だけでなく、世界に通用するものもあると考えられる。さらなるリーダーシップ研究が日本において必要となろう。

- 1) Michaelis, Stegmaier, and Sonntag (2009) は、カリスマ型リーダーシップという概念を用いている。しかし、実際に用いている測定項目は、変革型リーダーシップの「理想化された影響」とほぼ同じであるため、ここでは、「理想化された影響」を用いている。
- 2) Lindgren and Packendorff (2011) は、実際には、Distributed Leadership という概念を用いている。ただし、Lindgren and Packendorff (2011) は、Distributed Leadership をシェアド・リーダーシップとほぼ同義に用いているため、ここでは、シェアド・リーダーシップとして扱っている。

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ダイバーシティ・マネジメントの理論的考察

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I 明らかにされた課題

企業人によるエッセイからは、ダイバーシティ・マネジメントへの取組みがわが国では先進的とみなされている企業ですら、まだ多くの課題に直面していることが明らかになった。トップの経営層がダイバーシティ・マネジメントを優先度の高い経営課題として掲げていても、組織に十分に浸透しにくい。その描写の中で、何点かの興味深い観察があった。

第1に、ダイバーシティ・マネジメントの推進を全社的に進めているといっても、その実態はよくて試行錯誤、悪い場合は面従腹背状態の様子である。エッセイには、推進を担うべき中間管理職の男性の多くが、「女性は使えない」あるいは「手間がかかる」と思っていることが明らかにされた。他方で女性側にも、仕事の上で男性はより個人主義的で好戦的、女性は群れで守りに強いなど、男性と女性は異なる能力を持っていて、男性と同じように扱われても能力を発揮できないのではないかというコメントもあった。いずれも客観的な事実というより主観的な意見に近いようであるが、そのような考えが組織の中で少なからず浸透しており、それも人材の活躍を妨げる理由の1つとなっているようだ。

ダイバーシティ・マネジメントの推進で何を求められるか。それはなぜか。これらについて、社内理解が確立されているとは言い難い状況も明らかになった。中間管理職の抵抗や様子見の一端も、そのメリットが理解できないことにある。これま

で掲げられてきたメリットとして、ダイバーシティ・マネジメントの推進で育児休暇や時短勤務など女性に優しい福利厚生制度を整え、気持ちよく働けるようになる、というものがある。これで間接的に業績にも貢献するかもしれない。しかし本当にこのような理由だけで日本中が大騒ぎするだろうか。これが、多くの日本企業の経営者にとり、それほど優先的な課題なのか。

本稿では、ダイバーシティ・マネジメントをめぐる、経営者の主たる関心事として4つの質問をとりあげる。第1に、ダイバーシティ・マネジメントとは何か。第2に、それを実施すると、企業の業績があがるのか。次にアベノミクスと関連して、これは純粋な企業経営の問題ではないのか。なぜ国として取り上げる必要があるのか。最後に、どんな企業も簡単に手間をかけずに実施できるものなのか。

本稿は演繹的なアプローチを使い、企業経営をめぐる経済学（おもにミクロ経済学、組織の経済学、新制度派経済学）を使って、これらの質問をめぐる理論的に何をどこまで明らかにできるかを示したい。本特集の冒頭でこれまでの研究を概観したように、もともとダイバーシティ・マネジメントをめぐるのは、ジェンダー論や差別をめぐる社会学、人権をめぐる法学、それらを踏まえた人事管理論からの考察が進んできた。しかし経済学や経営学に根ざす研究は一部に偏っており、しかも近年の経営者の関心である戦略的意義については、それほど多くない。ダイバーシティ・マネジメントについての経営層の関心の広がりにも鑑みても、まずは基礎的な理解を確認することは意義があると考えられる。

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以下に、経済学の理論から導かれる考察のうち、理論と実証研究の蓄積により、一般化された定理とみなせるものを「命題」として示す。また、理論を踏まえ成立することが推論されるが、これからの実証が待たれるものについては「仮説」として提起したい。

II 2種類のダイバーシティ・マネジメント

最初に、ダイバーシティ・マネジメントの定義を、「組織において、多様な人材を適材適所で活用して生産活動を行うこと」とする。そして、ダイバーシティ・マネジメントを実施するために必要な組織能力を、「ダイバーシティ・マネジメント能力」とする。ダイバーシティ・マネジメントとダイバーシティ・マネジメント能力を、わざわざ分けて定義するのは、前者は状態であり、後者はそのような状態を実現するための経営者の意思や戦略、組織としての遂行力として、分けて考える必要があるからである。どんな企業でも多様な人材を集めることはできる。しかし、多様な人材の活用（ダイバーシティ・マネジメント）を行って業績の向上を実現するためには、組織としてのダイバーシティ・マネジメント能力（ケイパビリティ）が求められる。能力の問題は、分析の中で改めて触れる。また大前提だが資本主義における企業の目的を利潤の追求におく。そこからダイバーシティ・マネジメントも、利潤の追求という企業組織の大きな目的に間接的または直接的に資するものと位置づけられる。

次に「多様な人材の活用」には2種類ある。1つは、たとえば性別、人種、学歴、国籍、宗教など何らかの生まれながらの、あるいは後天的なグループに分類されながらも、実際には同程度の能力を持つ人材を、企業が区別（あるいは差別）せずに活用することである。経済学的にいえば同一財を区別（差別）して取引することの効率性を問う問題である。もう1つは、たとえば各人がリーダーシップ、チームワーク、研究能力、対人関係能力、語学力など異なる能力を持ち、企業がそれら異なる能力を組み合わせることで財を生産できるとき、企業が人材の配置を工夫し、異なる能力を上手に組み合わせることでより効率的に生産すること

である。これは経済学的には、組織として多数財をいかに効率的に組み合わせ、投入して、より多くの生産を行うことができるかを問う、生産関数の効率性をめぐる問題である。

III 企業活動の前提

ここで経済学を使った分析に入る前に、重要な前提を確認しておきたい。企業は生産を行い、それを市場で取引して利潤をあげるという点で経済的な活動だが、社会の中でこれを担うという点で社会的な活動でもある。社会の定める法律や規範などのルールのもとで企業の活動が行われるのであり、社会的に許されていない方法で利潤をあげることは許されない。

わが国を含む民主国家では、重要な社会の規範は法律として定められている。企業が法を守って事業を行うというコンプライアンス（法令遵守）は本考察の大前提である。法律として明文化されていない社会の規範も、企業の社会的な責任として配慮をする必要がある。この点を踏まえると、企業における人材の差別（区別）的な扱いは、法律上許されないことはできないだけでなく、明文化されていない社会的な規範についても、十分な配慮が必要だといえる。

日本の状況については、長谷川（2013）の研究が示すように、複数の法律で雇用に関する差別が明示的に禁止されている。代表的なものとして次のようなものがある。

- 憲法第14条：人種、信条、性別、社会的身分又は門地による差別の禁止
- 労働基準法第3条：国籍、信条又は社会的身分による労働条件差別の禁止
- 同第4条：性別による賃金差別の禁止

これ以外にも、男女雇用機会均等法、雇用対策法、パートタイム労働法、障害者基本法、労働組合法などにより、性別、年齢、非正規労働者、障害者、労働組合員などを根拠とした募集、採用、昇進、その他の処遇の差別が禁じられている。昨今の「ブラック企業」をめぐる議論では、労働者に対する違法または違法すれすれの処遇が問題とされているが、以下の議論では企業は法的にも社会規範上も許されない「差別」は行わないものと

し、それ以外の何らかの人材の「区別」について議論を行うこととするが、これまでの研究の経緯から「区別」に加え「差別」も使う。

IV 業績があがるのか

ダイバーシティ・マネジメントが社員を差別から守るコンプライアンスや、健全な労使関係の構築の一環となる人事施策とされてきたことはすでに見た。しかしそれだけなのか。それともそれ以上に直接、企業の業績に寄与できるものなのか。どのようなダイバーシティ・マネジメントであれば、それが可能か。

同一財としての労働をどう扱うかという、ダイバーシティ・マネジメントの1つ目の定義から考える。労働者と企業は、労働というサービス財を取引している。労働者が財を供給し、企業がそれを需要する。人材は、たとえば性別や人種、既婚や未婚、出身地、出身大学、宗教、性的志向など、いくつかの異なるグループに分類される。国によっては、生まれつきの身分や階級などもある。

同じ能力であれば、企業は差別（区別）なく登用したほうが合理的なことは、直感的にわかる。能力が同じであれば、男女や国籍などにかかわらず分け隔てなく登用し、活用することは、「区別や差別のない人材の活用」というダイバーシティ・マネジメントの第1の定義の実現でもある。

V 同一財を区別する実態

日本を始め多くの国で、同じ能力を持った人材であれば区別なしに登用する、という第1のダイバーシティ・マネジメントが長く実現していなかったのは事実である。日本での状況については、本稿に先立つ企業人によるエピソードだけでなく、授業の中でも明らかにされてきた。多くの大企業は、同じ程度に能力のある人材であれば、男性主体で新卒採用し、時間をかけて組織の中核を担う社員として育てるといった人事施策を展開してきたからである。これは、企業の中核を担う人材として、日本人の大卒男性以外（たとえば女性や外国人など）に属する人材の登用が進んでいないこと

を意味する。

1 一物一価をめぐる理論的考察

ここで性別を例に、労働をめぐる区別について考える。冒頭に示したように、同程度の生産性を持つ人材は、経済学的には「同一財」とみなせる。同一財は市場では同一価格で取引される。隣りのコンビニで、同じ商品が安く売られていれば、高い値段で売っているコンビニは売れないので値下げをし、安い値段で売っているコンビニは売れすぎるので値上げする。このようにして同一財であれば同一価格という均等価格が生まれる。これが「一物一価の法則」である。

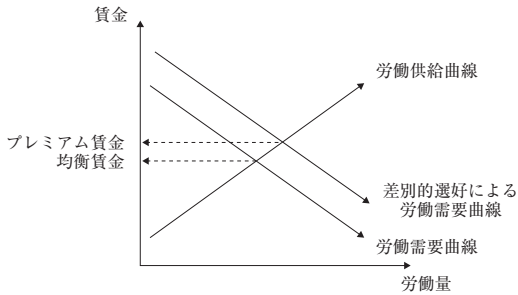
市場で取引される労働にも、基本的には一物一価の法則があてはまる。同じ程度の能力を持つ2人の労働者のうち、1人は安い給与に甘んじ、もう1人は高い給与を求めていた場合、企業は最も安い賃金で同じ成果をだしてくれる労働者を雇ったほうがよい。少ないコストでより多くの生産ができ、限界価値生産性を高くして企業の業績向上に貢献できる。労働市場が競争的なら、労働者も同じ仕事でも条件のよい企業があれば転職しようとする。この両方の動きの結果、一物一価の法則が実現する。そこでは、同一財であれば労働者を区別する経済的な意味はないのである。

2 差別的選好

それにもかかわらず、企業が男性を女性よりも、大卒を高卒や大学院卒よりも、日本人を外国人よりも優遇しているとしたら、それはなぜか。これをめぐる1つの考えが、Becker (1971) らによる「企業の差別的選好」である。次の前提から始まる。まず賃金（1単位の労働の価格）は自由で競争的な市場で決まる。次に、企業の目的は利潤の最大化である。賃金は労働をめぐる需要と供給で決まるが、それは労働者の機会費用と限界価値生産性が一致する均衡点を意味する。また男女とも同じ能力を持ち、これを使って1単位の労働という同一財を供給できる、という前提も置く。そうであれば、男女に均衡価格の違いが生まれることはない。

現実には日本を始め各国で、男女や人種などをもとに、同程度の人材でも登用や処遇で区別してきたことが知られている（山口, 2008）。そこで

図1 差別的選好



Becker は、たとえば性別や人種で賃金格差があることを説明できる論理的な可能性は、企業が労働者の側の限界価値生産性とは別の理由で、一部の労働者を区別・差別し、彼らにプレミアムを支払って雇用していることを導く。これは次のように図示できる。

3 プレミアムの根拠

ここで重要なのは、同じ程度の能力を持った人材の中から、男性や白人などあるグループの人材を優先的に登用するには、プレミアム（余計なコスト）がかかるという事実である。そのようなコストをかけても労働者の限界価値生産性が高いわけではなく、企業はより多くの生産をあげられるわけでもない点で、経済学的には何のメリットもない。

ではなぜ企業は、たとえば男性労働者など特定のグループの人材に、わざわざプレミアムを支払うのか。Becker は「好み（選好）」という概念を使った仮説を提起した。経済学では、ある消費者にとってコーラ2本とビール1本とがともに同じ程度の効用を持つ、というように異なる財を消費する際の消費者の「選好」について、「効用関数」という概念を使ってモデル化している。そのような「選好」の本質は、経済学的には説明のつかない外生的なもの、所与のものとされる¹。この場合、次の命題が成立する。

命題1：企業にとって利潤を犠牲にしても得られる限界効用が大きい限り、企業はプレミアムを払って差別的選好を続ける。

この命題は3つの考察からなっている。第1に、同じ能力を持つ人材から特定のグループを優遇して登用するためには、余計なコストがかかる。たとえば企業が男性を優遇すれば、男性の平均給与

は同じ能力を持っている女性のそれより高くなる。企業はそれでもプレミアムを払ってまで男性を雇用することで得られる（経済性以外の）効用が続く限り、そのような優遇を続ける。次に、このような差別的選好は効率的ではなく競争力を殺ぐ。同じ能力を持つのであれば、平均賃金の安い女性労働者を使ったほうが生産性は上がり企業の業績は向上する。

最後に、企業の選好は具体的には経営者や人事担当者、部門長など、登用のルールを作ったり意思決定に関与したりする組織人を中心に形成される。彼らが組織として得ていると信じる何らかの経済性以外の効用（命題1にある「利潤を犠牲にしても得られる限界効用」）が少なくなったと組織レベルで認識されたとき（たとえば、「ばかばかしい」とか「無駄」とか「好ましくない」と気づいたとき）、このような人材の登用は終わる。

4 競争と淘汰

Becker の考察から導かれるこのような命題には、日本企業の経営者や人事担当者の多くは違和感を持つだろう。授業内でも、企業関係者の中に、日本企業による男性社員の活用がコスト上昇に繋がっているという意識はほぼ皆無であった。命題は日本企業にはあてはまらないのだろうか。企業の差別的選好に関する検討を、もう少し続けてみる。

命題のように、男性を優遇するのは各企業の「選好」であり、そのような「選好」を企業が持つのは、利潤を犠牲にしても得られる限界効用が大きいからだとする。そのような選好を続けることで企業は利潤を犠牲にしているわけだから、そのような選好を持たないライバル企業が登場すれば、市場での競争を通して淘汰の圧力にさらされることになる。男女で生産性に違いがなければ、区別（差別）を続ける企業よりも区別しない企業組織のほうが、より安い人件費で同じだけの生産をできる。したがって、男性優遇という企業の差別的選好の持続可能性については、一物一価の法則から次のような命題が導ける。

命題1B：競争的な市場において、同じ限界価値生産性を持つ労働への企業による差別的選好は、長期的には持続可能ではない
これは経済学的には「淘汰」とみなされる過程

だが、経営学的には、経営の巧拙が発揮される過程でもある。この点からは、次のような仮説が提起できる。

仮説1：命題1Bのもと、差別的選好が経済合理性に欠けることをいち早く認め、是正し、多様なグループに所属する同じような能力を持った人材を区別（差別）なく活用できる経営能力（ダイバーシティ・マネジメント能力）を構築した企業は、そうでない企業よりも競争優位を発揮できる

5 淘汰が起こりにくい日本

人材活用をめぐる区別や差別は、わが国の企業に特有の現象ではない。実証研究からも、多くの国で性別や人種、国籍や宗教などで採用、配置、給与、昇進などで違いがある。日本は、特に性別による人材の差別（区別）的登用で際立っている。国税庁の「民間給与実態統計調査結果」では、2013年の正社員の平均年収は、男性が511万円なのに対し、女性が271万円であった。多くの先進国で男女間の給与格差は縮まってきているにもかかわらず、日本ではその差はここ10年ほど縮まっていない²。

日本では、就職先の業界や企業規模、担当する職務、総合職と一般職などのコース制採用、フルタイムとパートタイムなどの違いが男女の雇用と密接に関係していることから、給与の男女格差の背景として、これらの影響を指摘するものは多い。しかし少なからぬ実証研究で、それらの影響を考慮した上でなお、合理的な説明のつきにくい処遇の差が明らかにされている。

たとえば山口（2008）による研究は、男女の賃金格差を、①男女の雇用形態の構成比の違い、②フルタイムで正規雇用者内での男女の賃金格差、③フルタイムで非正規雇用者内での男女の賃金格差、④パートタイムで正規雇用者内での男女の賃金格差、⑤パートタイムで非正規雇用者内での男女の賃金格差、⑥就業者の年齢分布の男女差による格差、の6要素に分解してなお合理的に説明できない大きな格差があることを明らかにした。そのため、日本では男女の給与格差が依然として続き、収斂の兆しが見られないという。

これは日本に限って命題1Bの、「競争市場における差別的選好の淘汰」が成立しにくいことを

意味するのだろうか。あるいは仮説1の、「淘汰を先導できる、ダイバーシティ・マネジメント能力を構築した企業」が少ないからだろうか。3つの可能性が考えられる。これを仮説2, 3, 4として以下に示す。

仮説2：企業の生産した財を交換する市場が競争的でない場合、同じ限界価値生産性を持つ人材でも、企業のレベルでの差別的な選好は、かなり長く持続できる可能性がある

もしも欧米のほうが日本よりも、より競争的な市場だと示すことができれば、欧米では日本よりも早く男女の賃金格差が縮小していることをこの仮説で説明できる可能性がある。

仮説2B：生産財の市場がある程度は競争的であっても、人事に関する決定が、そのような市場の競争から十分に隔てられている場合、同じ限界価値生産性を持つ人材でも、企業のレベルでの差別的な選好は、かなり長く持続できる可能性がある

たとえば電力や金融など、規制によって保護され、競争が比較的穏やかな産業では、そうでない企業に比べ、人材を含む経営資源をあまり効率的に使わなくても十分に利益をだしていける可能性がある。また競争がある程度であっても、たとえば財閥系の大企業などで、人事に関する決定が昔ながらのルールに従って行われている場合、市場からの淘汰の圧力が人事に直接およびにくく、差別的選好が続くかもしれない。

6 文化や規範に遡る差別的選好

2つ目の可能性は、企業の差別的選好は企業独自のものではなく、社会の差別的な選好を反映しているというものである。先の企業人によるエピソードでも、授業内のケースでも、中間管理職の言動が企業を超えて共通しているものが多くみられた。Hofstede (1997) らに代表される異文化経営の研究や、青木 (2001) や松井 (2002) らのゲーム理論を取り込んだ市場制度の研究が示すように、企業の意思決定は、それをを行う者の法律や文化、社会の規範を反映する。

そうであれば、多くの日本企業で続く差別的な選好は、日本に根づく文化や社会的規範を反映している可能性がある。なお、このような可能性には、たとえば男女の役割分担についての強固な社

会規範といった、企業の差別（区別）的な人材登用のあり方を直接に規定するものだけでなく、意思決定で慎重さ（リスク回避）や右倣え（模倣的行動）を好むような規範も、企業の差別的選好の持続に間接的な影響を与える。いずれの場合でも、市場が仮に競争的でも、社会的な規範に基づいて多くの企業で同じような意思決定が続くため淘汰がおこりにくく、企業の差別的な選好が温存される可能性がある。

仮説3：市場が競争的であっても、企業の差別的選好が文化や規範に根づいたものであればあるほど、そのような企業の差別的選好は淘汰されにくく、社会的に温存されやすい。

もし、企業の差別的選好が、文化や規範などによる社会的選好に根づいており、社会的に温存されているとすると、次の仮説も成立する。淘汰が行われないことで、社会全体で資源の無駄遣いが温存されるからである。

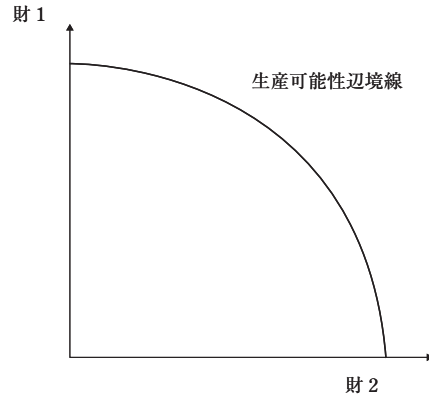
仮説3B：仮説3が成立している場合、国民経済の次元で非効率な資源配分が行われていることになる

国民総生産（GNP）は、労働、資本、資源、技術など、その国の持てる資源を生産に投入して実現する。その際、最も効率的に資源配分が行われると、生産可能性境界線（Production Possibility Curve）上で生産ができる。他方、差別的選好による企業の非効率な資源配分が国民経済の次元で集積すると、同曲線の内側で生産が行われていることになる。

通常、国民総生産の水準が生産可能性境界線の内側で停滞する理由の代表的なものとして、規制や政府介入などによる市場の歪みが想定されている。しかしここまでの考察からは、文化や社会規範を背景にダイバーシティ・マネジメントができないような企業行動が集積すると、社会全体として人材という希少資源の無駄遣いが行われ、それによっても国民経済の次元で資源の非効率な配分が続くことが示唆される。これは、政府が「適切」な政策を通して市場に介入し、国民経済の次元で非効率な資源配分を是正する根拠ともなる。

仮説3C：企業の差別的選好が、文化や規範などによる社会的選好に根づいたものである場合、国民経済の次元での非効率な資源配分の是正のため、企業がダイバーシティ・マネジ

図2 生産可能性境界線



メントを促す政策介入の余地がある

7 変化は起こる

変化のトリガーは政策以外にもあと2つ存在する。1つはイノベーションで、もう1つは国際競争である。競争的な市場のもとでは、企業はイノベーションを起こそうと努力する。イノベーションにより、他社よりも優れた競争状況を作ろうと試みるのである。そのような努力の1つが、文化や規範を含む「既成概念」を打破し、常識に捕らわれない新しい組織マネジメントを模索するものである。

イノベーションというと、製品や製造技術などに目が向きがちである。しかし仮に日本で「男性は外で働き、女性は家庭を守ることが好ましい」という社会的な規範が成立し、そのために企業が余計なコストを払っても男性社員を優遇していたとする。そのような常識（規範）を疑い、能力があれば男女に関係なく人材を登用する努力を組織的に重ね、それに成功することのできる企業は、マネジメント上のイノベーションを起こし、余計なプレミアムを払わずに生産することを実現できていることにほかならない。それにより、他社より少ない経営資源でより多くを生産でき、単位あたりの自社のコストを下げることで競争優位を実現しているからである。

仮説3D：企業の差別的選好が、文化や規範などによる社会的選好に根づいたものである場合、人事に関するイノベーションを起こすことができた企業が短期的な競争優位を持てる。そのようなイノベーションをトリガーとして、

文化や規範に根ざした選好の変化の圧力が高まる。

国際競争も変化を促す。国内市場が保護されて海外との競争がない場合や、国内の人件費が国際比較で十分に安く、国際競争力がある場合、企業が経済合理性を持たない差別を続けることは可能である。

しかし国内でも海外でも本格的な競争にさらされると、文化や規範のために余計なプレミアムを払って特定のグループを優遇する必要のない海外の企業に対して、国内の企業は海外の企業に対してコスト的に不利な状況となり国際的な競争劣位が生まれる。

仮説 3E：企業の差別的選好が、文化や規範などによる社会的選好に根づいたものである場合、参入障壁が低く対外開放度が高い産業ほど、そのような選好をもたない海外の企業が参入しやすく、競争優位を持てる。そのような海外企業の参入をトリガーとして、文化や規範に根ざした選好の変化の圧力が高まる。

ここに至り、ダイバーシティ・マネジメントをめぐる問題が、純粋な企業経営の問題にとどまらず、アベノミクスなどで国全体として取り上げる必要がある問題でもあることの一部が窺える。これまでの男性中心の人材登用の背景には、文化や社会的な規範に関係する面が存在する。しかもそれを放置したままでは、グローバル化や技術革新により、わが国の企業が厳しい国際競争に巻き込まれ、少子高齢化の中で従来からの男性労働力の供給が先細り、これまでのような資源の無駄使いをこのまま放置し続けられなくなってきている。早期の是正には、たとえば女性管理職比率を政策的に掲げるなど、政府による「積極的格差是正措置 (affirmative action)」の可能性も検討されるのである。

VI 統計的差別

わが国で淘汰がおこりにくいことを説明する3つ目の仮説は、これら2つの仮説とは大きく異なる。それは Becker の命題の成立に必要な前提条件が成立しておらず、したがって命題も成立しないというものである。

仮説 4：Becker の考察の前提が成立していない場合、企業の差別的選好は経済合理性を持つ場合がある

改めて Becker の考察の前提を再検討すると、仮説 4 は2つの可能性に分けられる。

仮説 4B：労働を同一財として扱うという前提が崩れると、企業の差別的選好は経済合理性を持つ場合がある

仮説 4C：労働市場が完全競争的という前提が崩れると、企業の差別的選好は経済合理性を持つ場合がある

エッセイや授業の中での企業人によるスピーチからも、多くの日本企業は、男性中心の組織運営を続けるために余計なコストをかけていると認識している企業はほぼ皆無であった。むしろ、男性社員を優遇することに一定の合理性があると考えていた。たとえば、結婚や出産などのライフ・イベントのある女性は、男性と同程度の能力があっても、同じようには働いてもらえない可能性が高い。言葉が拙く、日本的な仕事の仕方もわからない外国人は、能力があっても使いにくい。一般職やパートに応募してくる人材は、いくら能力があっても能力を「ほどほど」にしか発揮してくれない。

だから同じ程度の能力を持っているのであれば、男性を優先して総合職として採用し、同期の中で競争と協力をさせ、切磋琢磨して仕事のできる能力を開発しながら組織への忠誠も養成し、長く企業に貢献してもらったほうが、社員の能力を長期的により多く活用でき、企業の業績向上につながる。その点で、男性を優先して採用することには合理性があり、利潤を犠牲にしてまでの経済合理性を持たないえり好みなどではない、というものである。

このような企業からの反論の多くは、Phelps (1972) らによる「統計に基づく合理的な区別」という考察によって説明できる可能性がある。統計的な根拠に依拠する差別の本質は、次の2点に集約できる。まず、労働を同一財として扱うことは、現実には困難である (仮説 4B)。また、人材をめぐる市場は、完全競争的ではない (仮説 4C)。この2つは密接に関係している。前者に関しては、同じ程度の能力を持っていても、同じ成果をだせるとは限らない。一方はやる気があるのに他方は

あまりないなど、仕事への動機に差があるからである。また、労働者は時間の経過とともに熟練度を増し、創意工夫をし、歩留まりを上げたり品質を向上させたりして生産性を上げることができる。Becker (1993) らによる「人的資本論」が示すように、企業は設備や機械に投資を行うだけでなく、労働者に投資を行い研修や教育を提供することで、そのような労働者の能力開発を支援し、生産性を大きく向上させることができる。

問題は、当初、同程度の能力を持っているとみなされた人材が、時間が経つにつれ、そうではなくなっていく点である。ある労働者はより多くを経験や研修から学ぶ一方、他の労働者はあまり多くを学ばない。本人の熱意の問題もあれば、能力の違いもあるし、運もある。出産や育児などのライフ・イベントのおかげで、やりたくてもできない場合もある。こうして、時間的経過の中で能力の開発と生産性の向上に開きができる。入社試験の成績が同じ2人の労働者でも、企業にとっては同一財とはならない可能性のほうが大きい。

このような生産性の違いを労働者側が認識していない場合も、認識して隠す場合もある。企業側も、経験や教育を通じた生産性の向上をどこまで労働者に求めるか、そのためにどれほど投資をするつもりか、などを明確にしていない場合や、労働者に伝えない場合もある。その結果、労働者と企業の間、情報の非対称性が発生する。人材の取引では、りんごの売買に比べ、大きな駆け引きの余地があることを意味する。

なるべく失敗しないよう採用にコストをかけるとしたら、りんごの取引のような1回限りの取引ではなく、長期的な雇用関係として契約するほうが合理的となる。もちろん企業が長期雇用を提示しても、労働者はより条件のよい機会を見つければ転職するだろう。

Lazear (1998) が示したように、労働市場がとくに競争的でない場合、日本企業が取り入れたような年功賃金や退職金制度は、短期で転職すると労働者が損をするような長期雇用インセンティブとして有効となる。また、人的資本論が示すように、多くの場合、人材への投資で企業特殊な能力を開発したほうが、必要な能力ごとに人材を調達したり調整したりするよりも総人件費を抑えることができることも、人材の取引を長期的な雇用関

係とするほうが合理的な理由となる。このような長期的取引の観点からは、差別的選好の考察には含まれていなかった。

このような長期的雇用は、組織内部で人材を長期的に抱え、育成し、やりくりするという、いわゆる内部労働市場の活用で、市場での人材の取引をめぐる難しさを補うことができる。その一方で、組織の都合で転動や配置転換を行ったり、それを前提とした能力開発をしたりするなど、労働者の仕事や働き方に関する自由をかなり制限することにもなっている。

1 統計的差別から見る性別

このように、人材を市場で取引することは実に難しい。なるべく少ない手間と費用で望ましい人材を確保する手段が求められる。そこから、統計に基づいて人材を区別（差別）して登用する方法が着目されるようになる。それが、統計を使って、同じ程度の能力を持っている人材の中から実際に「使える」人材を探すという「統計的差別」である。

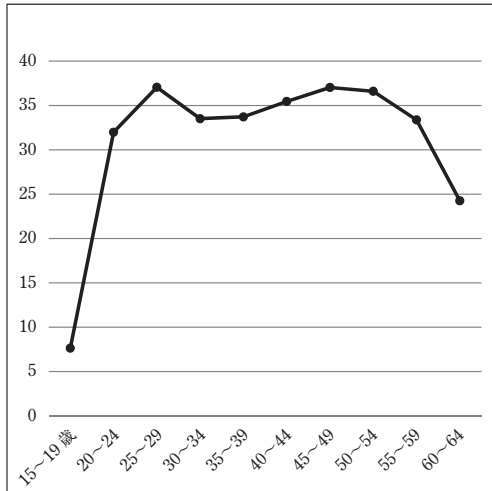
たとえば「大卒の男性」という括りを使うと、それを使わず、女性や外国人、高卒男子までを対象にして、その中から人材を探すのに比べ、比較的簡単に企業の求める同一財としての労働者のプールを絞り込むことができるかもしれない。そこで手間を省ける「大卒の男性」というグループで同一財の範囲を絞って人材を登用しようとすることは合理的だというものである。このことは、次のような定理として提起できる。

命題2：性別など統計的なグループごとに労働者の限界生産性の違いが明らかな場合、統計に基づく差別を行うことで、より高い限界生産性を持つ労働者の一群を見つけ、登用することができる

数ある人材グループの中でも、わが国では性別が特に重要な統計的差別の根拠となると考えられてきた。その1つがM字カーブである。これは、20代後半から30代前半にかけて、女性の就業率が一時的に男性のそれよりも下がることを統計的に示している。女性が結婚・出産などのライフ・イベントのために離職するからである。

同様によく知られたものに、「ダグラス＝有澤の法則」がある。これによれば、女性は配偶者の

図3 年齢別女性就業率 (2014年)



出所：総務省統計局「労働力調査」をもとに筆者作成。

所得が高いほど就業率が低くなるのが統計的に示される。所得の高い男性と結婚した女性が仕事を辞める可能性が高いというものである。

このように統計的に示される就業をめぐる男女の違いは、企業にとって2つの意味を持つ。第1に、女性社員の離職率が男性より高いということは、長期雇用を前提に採用やその後の研修にコストをかけても、女性は男性よりも平均してより低いリターンしか得られない。また男性よりも女性のほうが、手間と費用をかけても回収できないリスクも高い。

このような統計的差別は、性別や人種などの生まれつきのものに加え、学歴、部活、配偶者の有無など後天的なグループ分けを使っても行われてきた。学歴を使えば優秀さが、部活を使えば、動機や責任感、チームワークなどに関する能力の有無が、配偶者の有無では離職率の違いが把握できる。このように、グループとその後の働き方や生産性を相関できる統計データを使えば、履歴書や面接などではわかりにくい、企業と労働者とを隔てる「情報の非対称性」をかなり解消し、「同一財」ではない可能性のある労働者を事前に見分ける手段として使うことができる。そこで、以下のような仮説が提起される。これが Phelps の「統計的差別」である。

仮説 4D：労働を同一財として扱うことが難しい場合や、労働市場が競争的ではないとき、企業が性別や学歴などのグループごとに労働

者の限界生産性の違いの存在することを統計的に把握できれば、企業が人材の登用で統計的差別を行うことには経済合理性がある

2 統計的差別の妥当性

問題は、企業が性別などの統計上のグループごとに、労働者の限界生産性の違いを正確に把握しているかどうかである。この点をめぐり、多くの実証研究が行われてきた。これらを一言でまとめると、統計的なグループごとの労働者の限界生産性の違いの多くは、一見したほど強固なものではない、というものである (山口, 2008)。

たとえば男女で生産性の違いがあったとして、男女で大学進学率に差がある場合、それを考慮せずに取り上げることはできない。また男女で離職率の違いがあったとして、それを根拠に企業が男性社員に研修機会を与え続ければ、結果として男女には、生来、大きな生産性の違いがあるかのように見える。それだけでなく女性の側も、企業の人的資本をめぐるそのような行動のもと、どれだけ仕事をしても報われにくいというキャリア観が定着するだろう。そうすると、統計的には限界生産性の差が歴然とするように見えるかもしれない。しかし実際は、企業の行動が、もともとはなかった男女の間の限界生産性の差を結果的に作り出し、定着させている可能性があるのだ。

命題 2B：企業が統計的差別を行うことに経済合理性が認められるのは、企業のそのような労働者の登用とは関係なく独立して、労働者グループの間に限界生産性の違いが存在する場合だけである。企業が統計的差別を行う場合には、統計上の有意をつねに検証する必要がある

時代や嗜好の変化を含むさまざまな理由によって、統計的グループとして人材を括る意義も変化する。それにもかかわらず企業がそのような変化に対応せず、従前の統計的差別を続ける場合がある。統計を根拠に合理的な差別を行っているのではなく、根拠がそれほど強くないにもかかわらず、合理的とはいえない差別が漫然と続くことになるという「自己成就の予言 (self-fulfilling prophecy)」の状況の可能性が強い。そのような企業行動によって、合理性を持たない差別が持続する。根拠の薄弱な統計的差別が差別を助長し永続させてい

るのである。

仮説 4E：経済合理性を持つ統計的差別を行えるほど、企業は常に優れた統計に基づく情報を持っているわけではない

Ⅶ 第 2 の定義——多様な能力の活用

統計的差別の考察から明らかになったことの 1 つは、企業はそう簡単には同一財としての人材を見分けられない、という点である。そこで統計を使い、同一財として扱える人材の範囲をある程度絞り込もうとしてきた。性別、人種、学歴、国籍、宗教などのグループは、Becker らが示唆するような、同程度の能力を持っているにもかかわらずそれを覆い隠すマスク、ではなく、労働者の限界生産性の違いを、従って同一財かどうかを実際に見極める有意義な方法だというものである。

それに対して近年の実証研究は、これらの統計的な分類と労働者の限界生産性の違いはそれほど明確でないこと、逆に企業の差別（区別）を通して人為的に違いが作り出されている面もあることを示していた。これは別の観点から見ると、もう 1 つのダイバーシティ・マネジメントの重要性を示しているともいえる。同一財とみなせる労働力はそれほど多くないということは、多数財としての労働力をうまく采配することの重要性を意味していることでもあるからである。

たしかに、あらゆることに秀でた人材などめったにいないものではない。我々は生まれつき、能力の違いがある。その上で、自分の持っている能力の中から、その一部を開発する一方で、それ以外は優れていないことに甘んじる。その結果、社会には異なるさまざまな能力を持った人材で満ちている。企業が、リーダーシップ、チームワーク、研究能力、対人関係能力、語学力など、異なる能力を持つ人材を采配し、配置を工夫し、それらの異なる能力を上手に組み合わせることで、社会が求める価値を生み出せる。これが、ダイバーシティ・マネジメントの 2 番目の分野における組織能力である。

この 2 番目のダイバーシティ・マネジメントは、経済学的には、企業組織として異なる財（多数財）を効率的に組み合わせ、投入することを通して、

より多くの生産を行うことをめぐるものである。たとえばレストランを運営するための料理と給仕や、メーカーの研究開発と営業のように、明らかに異なる能力を組み合わせることで生産が行われる場合、どちらかの能力で他方を代替することはできない。また、両方の能力を持つ人材を探すよりも、それぞれの能力がより秀でた人材を組み合わせたほうが、より効率的である。労働という生産要素のサブカテゴリとして、これらの能力を異なる生産要素とみなせば、多数財の投入における生産関数をめぐる問題として考察できる。これを踏まえると、経済学の理論から、これらの人材の登用と組織の業績との関係について、ただちに次の 2 つの命題が示せる。

命題 3：企業が上手に異なる能力を持つ人材を組み合わせれば活用できれば、静的成長を実現でき、それを通して業績の向上につなげることができる。

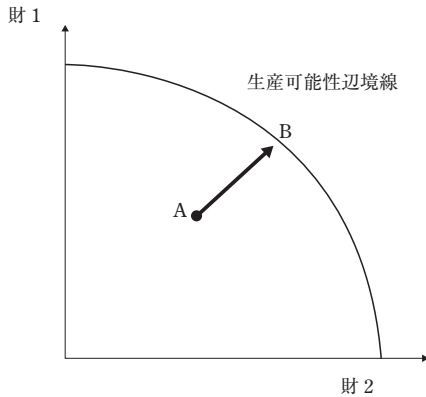
命題 4：企業が上手に異なる能力を持つ人材を組み合わせれば活用できれば、動的成長を実現でき、それを通して業績の向上につなげることができる。

1 静的成長

命題 3 と 4 の違いは、成長のあり方をめぐるものである。すでに見たように、国民総生産の考察では、生産可能性境界線という概念を使って、ある国の持つさまざまな資源が生産に投入された結果としての国民経済の水準の可能性を示している。技術が一定のもと、限られた資源を最も効率的に投入できれば、生産可能性境界線上で生産が行われる。逆に何らかの理由で、持てる資源を効率的に使わなかった場合、生産は同曲線の内側のどこかにとどまり、同曲線上で行われる生産よりも量が少ないことになる。同じ概念を組織にあてはめて考察することが可能である。

たとえば、料理が得意だが給仕が下手な労働者 A と、料理が下手だが給仕が得意な同 B の 2 人からなるレストランがあるとすると（もちろん、研究開発が得意だが営業が苦手な A と、営業が得意だが研究開発が苦手な B からなるメーカーでも構わない）。組織として最も多くの価値を生み出せる組み合わせは、A が料理を、B がサービスを担当することは直感的にもわかる。他方で B が料理を、

図4 静的成長



Aがサービスを担当する組み合わせでは、同曲線の内側でしか生産されない。異なる能力を組み合わせると財が生産されるとき、異なる能力を持つ人材を適材適所で配し、最適の組み合わせで生産を行うことができるかどうかで、結果としての生産量が変わるのである。

今、ある組織が同曲線の内側で生産を行っていたとする。これは、組織として適材適所が行われておらず、人材を含む経営資源を非効率的に使って生産されている状態だが、もしも采配を工夫し、効率的な資源配分ができれば、生産可能境界線まで生産を拡大できることでもある。そこで各人材の能力を見極め、仕事の配分を改め、資源配分の効率を高めることで、生産水準を高め、同じ量の資源の投入でより多くを生産できるようになる。これが静的成長の実現である。技術が一定でも、同じ人材の配置を変えるだけで成長できる。

どのような能力をどう組み合わせればよいかについては、生産関数を使って明らかにできる。さまざまな職務の中で最も高い生産性を発揮できるものが、その労働者にとって最も能力を発揮できる仕事である。それ以外の仕事をすれば機会費用が発生する。そこで機会費用を最小にする組み合わせを見つければよい。その見つけ方は2つある。1つは市場メカニズムを通じた資源配分である。適材適所ができず、機会費用が発生するような能力の無駄な使い方をすれば、コストが高くなり、市場で淘汰される。なお、これが実現するためには、インプット(生産要素)とアウトプット(生産財)の双方の市場が十分に競争的でなくてはならない。もし、労働市場があまり競争的でな

い場合、どのような能力を持った人材がどこにどのくらい存在し、いくらで仕事を引き受けてくれるか、賃金は適正か、などがよくわからない。もし生産したものが寡占的な市場で取引されるのであれば、言い値で売れるので資源の浪費もチェックされないだろう。

どんな市場でも資源配分を効率的にできるわけではない。Yeager (1998)は市場が機能する条件として、需要、供給、情報、通貨、所有権、そして取引をめぐる司法制度、の6つが機能する必要があることを明らかにした。貧しい途上国や成長が鈍化している経済では、これらの条件のどこかが欠けており、資源配分が最適な水準で行われていないことも明らかとなっている。市場メカニズムが働くよう、これらの条件を整備することで、静的成長を実現することが可能である。

もう1つは組織の采配を通じた資源配分である。経営学者のChandler (1977)は、管理職を含む経営層を「見える手」と呼び、アダム・スミスが「神の見えざる手」と称した市場を通じた資源配分と対比し、組織を通じた資源配分メカニズムの意味を示した。先のレストランの例からも明らかなように、経営者が各人材の異なる能力を見抜き、采配を通して適材適所を行わなければ、組織としての生産は生産可能境界線が示す最大可能な生産量よりも少なくしか生産できない。

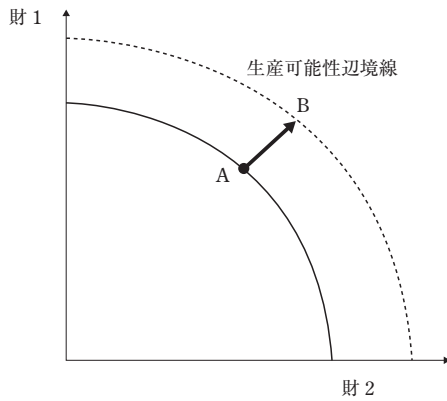
他方で采配を工夫し、適材適所を進めることで、同じ人数の組織であっても生産量を拡大できる。もちろん、組織として異なる財(多数財)を効率的に組み合わせ、適材適所で投入するための采配が巧くできなければ、生産量を拡大することもできない。ダイバーシティ・マネジメントの巧拙が、業績の向上に直結するのである。

命題3B: 組織として、多様な人材を組み合わせることで静的成長を実現し、それを通して業績の向上につなげるためには、組織がすぐれたダイバーシティ・マネジメント能力を発揮する必要がある

2 動的成長

静的成長には限界がある。ひとたび生産可能境界線上で生産が行われるようになったら、その段階で成長が止まり、それ以上の成長は望めない。技術が一定のもとであれば、限られた生産要素の

図 5 動的成長



投入で実現できる生産量が決まるからである。それに対して動的成長は、生産可能性境界線自体を外側に広げ、それを通して生産の拡大を実現することを意味する。

動的成長は2つの方法で実現される。1つは技術一定のもと、投入の増加を通じたもので、「外延的 (extensive)」な成長とも呼ばれる。もう1つは技術進歩による生産性の向上で、「集約的 (intensive)」な成長とも呼ばれる。国民経済の次元では、外延的成長は出生率が増えたり、移民を受け入れるようになったり、それまで労働市場に参加していなかった女性や高齢者が何らかの理由で労働市場に参加することになったりして労働者が増えると実現する。領土を拡張したり、新たに天然資源が発見されたりしても同様である。企業組織の次元でも、投入する生産要素を増やせば、同じように外延的成長を実現できる。先のレストランの例では、料理人とサービス要員を2倍にすれば、2倍の顧客へ対応でき、売上げも2倍に増える。ただしここで求められるダイバーシティ・マネジメントは、同一財である料理人やサービス要員を増やす際に求められる人材登用能力という点で、すでに見た第1のカテゴリーをめぐる問題である。

それに対し、第2のカテゴリーのダイバーシティ・マネジメントが重要な課題となるのは、集約的な成長である。集約的な成長は技術革新によって実現する。労働と資本が一定のもとでも、技術革新を通して労働と資本の双方の生産性を上げ、それを通して生産可能性境界線を外側へ拡大できる。先のレストランの例では、同じ料理人が

料理方法を工夫して同じ調理時間でも2倍の料理を作ることができるになれば、料理人を増やすことなく、生産量を増やせる。サービス要員が手順や動線を工夫できれば、同じ要員数でもより多くの客に接客できるようになる。

どうすれば、生産の拡大につながる技術革新がおこるか。Yeager は、市場や組織が新しいアイデアにオープンなだけでなく、それを試みる自由とインセンティブを与える必要があること、その上でアイデアを事業化するためのリスクをとる資本市場の存在と、競争を通じた創造的破壊のプロセスが機能していることを挙げた。多様な参加者の存在を前提としている市場では、規制を排し、参入と撤退を容易にし、情報の流れを円滑にして、より競争的な条件を整備することでこのような状況を作り出すことができる。

ところが組織においては、そもそも、組織を構成する人材が同じような能力に偏っていると、いくら競争的な状況を作り出しても、小さなコップの中の競争になってしまう。そこで、組織でこのような集約的な動的成長を実現するために、前提として組織が多様な能力を持った人材を擁することが必要となる。その上で、新しいアイデアの構想は、多様な能力を持った人材が競争と協調の均衡の上で切磋琢磨する中で、技術革新を生み出す可能性を広げる。そのようなアイデアに組織がオープンであるためには、多様性への寛容と感受性が必要である。さらにアイデアを構想する人材、リスクをとって資本を提供する人材、アイデアを事業化する人材など、さまざまな異なる能力を持った人材が組み合わせられる必要がある。

そのような多様な能力の組み合わせは、市場でも組織でも、また市場と組織の組み合わせでも実現するが、それぞれに特徴がある。Williamson (1985) は取引費用の理論をもとに、市場は組織よりも機会主義的で短期的な取引が起りやすく、情報の非対称性や調整の必要が少ない場合に機能しやすいのに対し、組織はその逆で、情報の非対称性が大きく、調整が必要で、長期的に協力を行うことが求められる場合に適していると示唆した。Hall and Soskice (2001) は、アメリカのような、より競争的な市場環境で革新的な新規のイノベーションが起りやすいのに対し、ドイツや日本のような、より調整的な市場で漸進的な改良型イノ

ベーションが起りやすいことを実証的に示し、そこから帰納的に異なる市場制度のもとで異なるイノベーションのパターンを示唆している。これは市場の類型とイノベーションの関係を示唆するだけでなく、市場と組織では技術革新について異なる強みを持っており、その上で組織がその強みを活かすためには、異なる財（多数財）を効率的に組み合わせ、適材適所で投入するための采配が巧くできる必要があることも示唆している。

多数財としての多様な能力を持った人材の効率的な組み合わせでは、今までの仕事の仕方を見直し、今までとは異なる能力の組み合わせで同じ成果をより効率的に上げるというイノベーションの重要性が明らかとなる。ダイバーシティ・マネジメントの巧拙が、この場合においても業績の向上に直結するのである。

命題 4B：組織として、多様な人材を組み合わせることで集約的な動的成長を実現し、それを通して業績の向上につなげるためには、組織としてすぐれたダイバーシティ・マネジメント能力を発揮する必要がある

VIII おわりに代えて——組織能力

このように見ると、同一財としての人材を区別（差別）なく活用するためのダイバーシティ・マネジメントも、多数財としての人材を采配し、適材適所で使いこなすためのダイバーシティ・マネジメントも、「マネジメント能力」次第でその効果が大きく変化することがわかる。単に女性や外国人をはじめさまざまな人材をかき集めるだけで「マネジメント」なしに「ダイバーシティ」を実現しても、業績への貢献はあまり期待できない。

同一財をめぐるダイバーシティ・マネジメントでは、さまざまなレッテルがはられ、統計的にも裏付けられていると思いついていた異なるグループに属する人材が、実は同じ程度の能力を持っていることを見抜いて登用することが必要であった。企業の側で既存の仕事のやり方や能力開発の方法を変更しないのであれば、これまで登用してきた日本人男性と同じように十分に長期的に働いてくれる女性や外国人を見つけ出し、登用し、能力開発を行うことにより積極的に踏み出せば、同一

財としての労働者の供給プールが広がる。そしてこの分野で、わが国の企業の努力の余地はあるだろう。

しかし、これまでの考察を踏まえると、多数財をめぐる第2のダイバーシティ・マネジメントの重要性が、それ以上に大きいのではないか。結婚、出産や育児といったライフ・イベントによって男性と同じような働き方をするのが難しい女性を、男性と同一財として扱うことは難しいかもしれない。文化や社会規範、言語の違いによって日本人と同じような働き方をするのが難しい外国人を、日本人男性と同一財として扱うことも難しいだろう。さらには、これまでのように家族を犠牲にして組織に貢献する働き方とは異なる価値観を持った若者が増えてくると、これから先、同一財とみなせる大卒男性の数が少なくなるかもしれない。多数財としての人材を活用するダイバーシティ・マネジメントの重要性は、ますます大きくなるはずである。

仮説 5：日本企業において、同一財としての人材への差別的選好を控えるという第1のダイバーシティ・マネジメント以上に、多数財としての人材を適材適所で采配するという第2のダイバーシティ・マネジメントの重要性が大きくなる

競争がグローバル化し、市場での競争がより厳しくなる中では、1人ひとりの人材がより高い限界生産性を実現することが求められる。だれもがどんな仕事もある程度こなせるという同一財としての人材を組織化することではなく、ある分野において高度な能力を持つという特定分野に特化したプロフェッショナルを多数財の組み合わせで組織化することを通して実現される。

わが国の企業の競合相手となる海外の主要企業で経営を担う人材が、MBAなど高度専門職業人教育を修めてプロ化を加速している。日本人男性をこれまでのように同一材として登用し、長い手間と時間をかけて企業特殊な人材へ開発するよりも、異なる高度な能力を持った多数財としての人材を採用し、その上でさらに育成と登用を行い、組織化することの重要性を示唆するものであろう（Chemmanur and Paeglis, 2005; Schlegelmilch and Thomas, 2011）。

そのような異なる能力を持つ人材を適材適所で

組み合わせ、経営資源を無駄なく使うことを通して静的成長を実現するとともに、イノベーションを促して動的成長を起すためには、「見える手」として優れた組織の采配が必要である。これまでのような、内部労働市場に依存した長期的な人材の登用と組織的な能力の構築だけでなく、短期や中期での登用を長期の登用と組み合わせたり、組織の内部からの登用と外部の市場からの登用を組み合わせたりして、多様な人材を多様な方法で採配し登用するという組織のダイバーシティ・マネジメント「能力」が求められる。

経済学では、個々の企業の特性を問わず、組織の内部をブラック・ボックス化し、同じ市場競争のもとではどの企業も同じように行動することを想定する。これに対し、Penrose (1959) に源を持ち、Rumelt (1984) や Barney (1991) らによって打ち立てられた資源ベース理論は、個々の企業の持つ企業特殊な資源や能力に着目してきた。その上に、Teece ら (1997) によって研究が進んできた、企業組織のダイナミック・ケイパビリティ理論は、Coase (1937) からの流れを汲み、Alchian and Demsetz (1972), Williamson (1981, 1985) らによって精緻化された取引費用理論を企業の組織能力の観点から再構築した。その中で市場など企業の外部にある資源と企業の内部に持つ資源をうまく組み合わせ、効果的に協調させることのできる企業特殊な能力を競争力の源泉と認めている。これは多様な能力を上手に活用するというダイバーシティ・マネジメントを実現する組織能力にあてはまる。

仮説 6：日本においても、ケイパビリティの高い企業ほど、ダイバーシティ・マネジメント能力を構築し、組織内部の多様な資源を活用し、これを外部資源と組み合わせ、国内、および海外で競争優位を実現する

新興国企業の台頭、グローバル競争の激化、人口動態の変化、価値観の多様化などのもと、わが国の企業の競争力の鈍化や、企業活動の集積としてのわが国経済の停滞が喧伝されて久しい。経営の中核を担う人材を、きわめて厳密な「同一財」のプールに求め、それを長期的に育成してきた日本の代表的な企業の多くが、このような環境の激変の中で苦勞しているように見える。ダイバーシティ・マネジメントと、その能力の構築について、

まず理論を改めて確認し、その上で、理論を踏まえた実証研究を行うことは、わが国企業の経営と結びついたダイバーシティ・マネジメントの今日的な意義と課題を考察する上でも欠かせない第一歩と考えられる。今後、企業のダイバーシティ・マネジメントの取組みが進展し、その能力の構築が進むことを期待するとともに、本稿で提起された仮説の検証を含め、そのような企業の取組みをめぐる研究のさらなる発展が待たれるものである。

注

- 1 この点についてはその後、制度経済学や心理経済学などの発展とともにかなり多くのことが明らかにされてきた。これによって、どこまでが経済学によって明らかにでき、どこから先が説明できないかについて、近年より明確になってきた。
- 2 国税庁「民間給与実態統計調査結果」第3表より筆者算出。http://www.nta.go.jp/kohyo/tokei/kokuzeicho/jikeiretsu/01_02.htm

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ダイバーシティ・マネジメント特集

井上 詔三*・尾崎 俊哉**

I はじめに

本号では、「ダイバーシティ・マネジメント」に焦点をあて、1本のエッセイと2本の論文で構成するミニ特集を組んだ。はじめに、経営学部で開講している「企業人セミナー——ダイバーシティ・マネジメント」を、2012年度から2年にわたり担当された講師チームをコアとした第一線の女性企業人が14年度に研究会を組織し、そこでまとめられた現場の声の紹介を行う。次に、そのような現場の動きを考察する上で有効と思われる組織の経済学の定理やそれに基づく仮説を紹介する。その上で、近年になって一部の先進的な日本企業が取り組んでいるダイバーシティ・マネジメントが業績の向上につながっているかどうかをめぐって1つの実証研究を提示する。

II 企業の動き

企業経営で、しばらく前から「ダイバーシティ・マネジメント」が関心を集めている。女性や外国人をはじめとするさまざまな人材の活用をめざすもので、その動きをさらに加速しているのがアベノミクスである。3本目の矢の1つとして、女性の社会進出の支援を掲げている。成長戦略の中に「女性が輝く日本」が含まれ、女性の活躍が日本経済の活性化の鍵の1つと位置づけられているのである¹。この方針のもと、政府は2015年2

月に「女性の職業生活における活躍の推進に関する法律案」を提出した。家庭と仕事の両立を支援するための環境整備を行うとともに、企業が女性の採用や昇進の機会を積極的に与えることを求めるものである。このような追い風もあって、最近、女性の活用やダイバーシティ・マネジメントを口にする企業経営者が増えてきた。

背景に、多くの国で最近まで、社会のマジョリティを占める男性グループが企業経営を担い、たとえば女性や少数派民族などそれ以外の人材が活躍してこなかった事実がある。企業における人材の多様性の尊重は、1964年に米国で雇用平等委員会（EEOC）が発足するなど、公民権運動とともに黒人や女性の差別的処遇が社会的かつ法的な問題となったことにルーツを持つ（尾崎、2007）。企業のコンプライアンス上の課題として始まったのである。

近年では多くの先進諸国で、このような差別の問題に加え、ダイバーシティ・マネジメントにより新たな企業価値を生み出そうという積極的な組織マネジメントの観点でも注目されるようになった（同）。

このような動きに対し、日本企業は遅れをとっているという指摘がある。たとえば世界経済フォーラムが各種のデータをもとにまとめている『グローバル・ジェンダーギャップ・レポート2014年』によると、日本は142カ国中、104位で先進国の中では最下位であった²。このようなもとで、グローバル競争の激化や少子高齢化のもとでの労働人口の減少、アベノミクスによる経済の活性化ともあいまって、わが国の企業経営者の中に

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も、ダイバーシティ・マネジメントへの関心が高まってきたのである。

Ⅲ 研究・教育の動き

企業のダイバーシティ・マネジメントの取り組みの広がりとともに、経営学における研究と教育も活発となってきた。初期のころはダイバーシティ・マネジメントをめぐる研究は社会学（ジェンダー論、マイノリティ論など）や法学（公民権、労働法など）からの議論が多かったが、1990年代に入ると、Cox (1993) や Adler and Izraeli (1994) に代表される異文化経営論の研究者たちが、女性を含むマイノリティの登用を、経営のグローバル化と異文化マネジメントの観点から考察しはじめた。その後、組織におけるダイバーシティ・マネジメントとはなにか、なぜ、誰を対象とするのか、どうやって行うのか、といった人事管理の考察に始まり（たとえば Kossek and Lobel, 1996）、どのようなダイバーシティ・マネジメントを通して、新たな知識が組織的に創造され、価値が提供でき、業績に貢献できるのか、といった組織の運営や行動、組織的な知識創造での多様な経営資源の活かし方を問うもの（たとえば Cummings, 2004）、そしてなぜ、どのようにダイバーシティ・マネジメントを企業経営に取り入れるのかという戦略をめぐるものに至るまで、従来のジェンダー論に加え、組織行動学、知識経営論、資源ベースの戦略論、異文化経営理論、組織経済学など、幅広い分野からの研究が進んでいる。

その結果、近年になって Trompenaars and Hampden-Turner (2004) のような、それまで主流だった人事管理論と異文化経営論からの考察に留まらず、Harvey and Allard (2009)、Hannum, McFeeters and Booyesen (2010)、Kirton and Greene (2010) など、より幅広い研究をまとめて教科書レベルで概観できるようになったものが出版されるようになった。なお、ダイバーシティ・マネジメントをめぐるのは、わが国でも谷口 (2005) らによって当該分野の研究が開拓されてきたものの、当レビューの前号で、Ishikawa (2014) がおもに米国で進むダイバーシティ・マネジメントと研究開発チームにおける知識創造の

関係をめぐる研究を概観したように、企業の取り組みや関心が米国を中心に展開してきたことを反映し、北米の研究者によるものが圧倒的に多い。

このような企業の動きや研究の進展と連動し、本学の経営学部でも、「企業人セミナー」の1つでダイバーシティ・マネジメントの実践について学ぶ機会を提供している。同セミナーが開講された2007年度から続いているもので、最初の3年間は、日本アイ・ピー・エム株式会社で初めての女性役員となり、政府の男女共同参画会議のメンバーを務め、女性の活躍推進を支援するNPO法人J-Winを立ち上げた内永ゆか子氏を客員教授として迎え、今回の特集を担当する井上がアドバイザーを、同じく尾崎が担当教員を務め、実施した。2010年度に井上が担当を引き継ぎ、本学の文学部を卒業し、株式会社商船三井に勤務しながら筑波大学大学院で研究を進めていた毛呂准子氏を兼任講師として迎えて継続された。井上が2012年3月に本学を定年退職し、茨城キリスト教大学へ移ったため、再び尾崎が担当し、今日に至っている。

授業では大きく2つの目的を掲げている。1つが、一部の企業で始まったダイバーシティ・マネジメントの取り組みや、その中で実際にキャリアを展開している第一線の企業人の声を通して、経営学の観点から、ダイバーシティ・マネジメントの意味を考えるものである。もう1つは、大学のキャリア教育の観点から、学生たちがそのような第一線の企業人の生の声に触れて自分のこれからのキャリアを考えてもらうというものである。これを踏まえ、日本の代表的な企業におけるダイバーシティ・マネジメントの現状と課題に焦点をあて、女性の登用に加え、外国人や障がい者の活用、ワークライフ・バランス、経営戦略、など多面的にテーマをとりあげ、1つのテーマについて1週目は企業人より直接、事例を紹介していただき、翌週はそれを踏まえて学生たちで具体的な課題を取り上げ、議論を行った。

Ⅳ 特集号の概観

その講師陣メンバーが中心になり、2014年度に研究会を立ち上げ、そこでの議論をふまえてま

とめられたのが、「企業におけるダイバーシティ推進を巡る現状——女性活躍を阻む28のエピソード」である。ここにまとめられた事例の多くは、授業の中でも紹介された。軽妙な筆致で簡潔に描かれた事例の数々は、本誌の通常の論文とは内容も文体も異なるが、経営学の対象は組織で実際に起こっていることであり、このような事例集は、併せて掲載される2本の論文にとっても重要な生の一次情報であり、これらを合わせて1つの特集が成立する。

エピソードから、わが国でダイバーシティ・マネジメントの取組みが先進的とみなされている企業においてすら多くの課題に直面していることが、まず明らかになる。これら先進的企業に共通するのは、トップレベルの経営層がダイバーシティ・マネジメントに高い優先度を置き、その実施をめざしていることである。しかしトップが旗を振ってもダイバーシティ・マネジメントがすぐに十分に組織に浸透できるわけではないことも明らかにされている。その理由や背景につながると思われる興味深いエピソードが続くが、その根本に、どのようなダイバーシティ・マネジメントを、何のために行っているか、という本質的な問いかけが不十分なことが浮かび上がる。

そこで、特集の2本目として、ダイバーシティ・マネジメントを行うことで企業は業績をあげることができるのかという問いを尾崎が取り上げ、組織の経済学に基づく演繹的な考察を行う。当該論文で触れられるように、ダイバーシティ・マネジメントにはコンプライアンス、CSR、福利厚生、企業の競争戦略など、さまざまな側面がある。そして企業人による現場からのエピソードでも示されているように、ここ最近、多くの企業で、トップ経営層がダイバーシティ・マネジメントを通じた競争力の向上に関心を持ち、その観点からダイバーシティ・マネジメントに取り組み始めている。

ダイバーシティ・マネジメントをめぐる考察は、論点が多面的なこともあり、基本的な意義や課題を見失いがちである。この論文から明らかにされる2つの理論的な考察、①ダイバーシティ・マネジメントを行うことで企業は業績をあげることができる可能性があること、②その可能性を実現するためには、企業に組織能力が必要であること、

は、企業の実践的な取組みだけでなく、研究や教育でも重要な出発点となると考えられる。

その上で、わが国の先進企業の取組みをめぐる井上による実証研究で、本特集を締め括る。日本において企業がどのようなダイバーシティ・マネジメントを行っているかについて概観し、それらの企業がダイバーシティ・マネジメントによって実際に成果をあげているかをデータに基づいて検証している。企業の業績はさまざまな要因の複雑な組み合わせによってもたらされるため、その中からダイバーシティ・マネジメントのような1つの分野に絞ってその業績との因果関係を特定することは難しい。その中で当論文は、先進的取組みを行っていると認められた企業への表彰制度に着目し、これをトリガーに客観的なデータで因果関係を示すことに成功したユニークな論文である。

ダイバーシティ・マネジメントの研究と教育は、日本においてはまだ緒に就いたところといえる。それは研究の対象となる企業の取組みが、わが国において比較的最近、本格化しはじめたことにもよる。実践、基礎理論、実証の3方面から概観することの意義を本特集で確認し、多くの研究や教育が本特集の後に続くことを期待したい。

注

- 1 <http://www.kantei.go.jp/jp/singi/keizaisaisei/pdf/honbun2JP.pdf>
- 2 <http://reports.weforum.org/global-gender-gap-report-2014/>

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DEVELOPMENT AND VALIDATION OF AN EMPLOYEE VOICE STRATEGY SCALE THROUGH FOUR STUDIES IN JAPAN

MASAKI MATSUNAGA

Employee voice is an important organizational behavior that affects work group performance, and many studies have explored its mechanism; nonetheless, the existing literature narrowly defines the construct and overlooks a variety of strategic approaches employees take as they engage in voice. Based on this problematization, the current research has developed and validated a scale of employee voice strategy through four studies in Japan (total N = 1,156). Employee voice strategy is defined as a set of direct and indirect communicative approaches that organizational members utilize to share ideas with intentions to exert constructive influence to their work group. Studies 1 and 2 analyzed interview narratives to develop an initial typology, which was refined in Study 3 into a six-factor scale. Study 4 replicated it through confirmatory factor analyses. Construct validity of the scale was also examined by testing the strategy factors' nomological network—as expected, proactive personality was positively associated with assertive strategies, while relationship maintenance goal orientation was linked to conciliatory, nonconfrontational strategies; negative emotion display showed negative associations with voice strategy use in general. These findings were discussed vis-à-vis culturally inclusive human resource management practices, as well as theoretical exploration of the employee voice phenomena from process-centered perspectives. © 2014 Wiley Periodicals, Inc.

Keywords: employee voice, exploratory and confirmatory factor analysis, Japan, measurement validation, process-centered perspectives, “Western” bias

Employees are a rich source of valuable ideas for organizations, but seizing their voice poses a challenge because employees communicate their ideas in a number of different ways. Research shows that the ability to tune in to employees' ideas is crucial for organizations to maintain competitiveness (Black & Lynch, 2004; Bryson, Charlwood, &

Forth, 2006). For example, leveraging employees' suggestions is indispensable to run decentralized systems, identify emerging issues, and solve unprecedented problems (Crant, 2000; Frese, Fay, Hilburger, Leng, & Tag, 1997). Respecting employee voice also has merits for human resource management, as employees who perceive their voice heard show less stress, greater satisfaction,

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stronger organizational commitment, and more trust in management (Harlos, 2001; Holland, Cooper, Pyman, & Teicher, 2012; Ng & Feldman, 2012). Involving employees in creative problem-solving processes by incorporating their ideas is known to boost intrinsic motivation (Zhang & Bartol, 2010) and lower quit rates (Batt, Colvin, & Keefe, 2002). Finally, recognition of voice behavior has impact on one's career success and leadership development (Claes & Ruiz-Quintanilla, 1998; Crant & Bateman, 2000).

Reflecting this importance, there is an extensive body of literature on employee voice (Detert & Burris, 2007; Van Dyne, Ang, & Botero, 2003). Nonetheless, I argue the scope of this literature is limited because the extant research only focuses on the act of directly speaking up in face-to-face settings. *Employee voice*, however, represents a broader concept, defined as "employees' expressions of constructive challenges to others in their work groups regarding issues of work efficiency,

The existing studies tend to focus on "speaking up" as the only form of voice, and there is little theorizing about the complexity of voice enactment patterns.

with intentions to improve rather than merely to criticize" (Van Dyne & LePine, 1998, p. 109). Note that there are diverse ways to express one's opinions or constructively challenge the status quo in the workplace; explicitly speaking up is no more valid as a form of voice than are other ways of communication. As discussed in greater detail later, voice provides a significant predicament for employees, and individuals typically utilize a variety of strategies to deal with significant work-related issues (Rahim, 2002). Thus, it seems reasonable to posit that

employees would use various strategies to manage the exigency of voicing their ideas. Yet, the existing studies tend to focus on "speaking up" as the only form of voice, and there is little theorizing about the complexity of voice enactment patterns (Morrison, Wheeler-Smith, & Kamdar, 2011).

Arguably, the predilection toward directness stems from the "Western" bias in the extant research (Kim, 2002). Most of the previous findings were obtained through the studies based on North American or western European samples (Gomez, Bryson, Kretschmer, & Willman, 2009; Greenberg & Edwards, 2009). As a result, assertive communication, which represents the unique standard of "Western" communication cultures (Kim, 2002) but not the quintessential aspect of the voice phenomenon, is highlighted excessively in the literature, whereas other voicing strategies have hardly received scholarly attention.

The current research undertakes the challenge to address this problem in the existing literature. To expand the scope of the voice research, I present an alternative perspective to theorize about employee voice phenomena. Based on this expanded scope, the current research explores the data collected in a non-"Western" culture, Japan, to establish a novel framework to accommodate diverse approaches—or, *voice strategies*—through which organizational members communicate their ideas in the workplace.

According to Hofstede (2001), Japan is characterized by moderate power distance, a cultural dimension that is highly relevant to voice phenomena (Botero & Van Dyne, 2009). This moderateness implies that employees in Japan face a range of circumstances. Sometimes they need to adapt to the pressure from the higher-ups, whereas at other times they are expected to make unique contributions in a bottom-up fashion (see Nonaka, 1988). Hence, they should show a greater repertoire of voice strategies. This speculation is in line with the findings from the cross-cultural literature that the Japanese utilize more diverse conflict management strategies and show greater adaptability across situations than do their "Western" counterparts (e.g., Oetzel et al., 2001). Such a behavioral variety is useful for the current research, which aims to map out the full spectrum of employee voice strategy dynamics.

Toward this end, a review of literature is presented next. First, the conceptualization of employee voice strategy and the contributions of the current research will be clarified. Following this review, a series of studies conducted in Japan are reported. Finally, the findings obtained through those studies and their implications will be discussed with reference to the related theories.

Employee Voice Strategy

Conceptualization

Employee voice is a distinct, proactive organizational behavior, and the current research focuses on upward voice, by which employees convey ideas to supervisors (Fuller, Marler, & Hester, 2006). Voice can be expressed in a promotive or prohibitive form (Liang, Farh, & Farh, 2012), and it can be construed as a challenging or supportive message by the recipient (Burris, 2012); nonetheless, its underlying tone is potentially provocative as it casts questions to the status quo (Brinsfield, Edwards, & Greenberg, 2009).

Numerous findings in the literature notwithstanding, still a lot needs to be learned about voice. In particular, the current research explores direct and indirect communicative approaches by which

employees share their ideas with supervisors with intentions to exert constructive influence to their work groups. Such approaches are referred to as *employee voice strategy* in the current research.

Strategic mind-set is integral to the conceptualization of voice strategy. Here, being strategic implies that individuals mindfully adapt their approaches to the given situational and relational needs, rather than following fixed and routinized response patterns (see Spitzberg & Cupach, 1984). I assume that employees will be strategic in this sense when they enact voice strategies.

The theoretical basis of this assumption is the high stakes involved in employee voice. On one hand, voice is a risky behavior; supervisors might regard voicing employees who challenge the status quo as troublemakers and such unwanted attentions could result in losing future career opportunities or even one's job itself (Detert & Burris, 2007; Detert & Edmondson, 2011). On the other hand, voice can be rewarding; because it is inherently proactive and also indicative of one's leadership, employees who aspire toward career success tend to engage in voice (Crant, 2000; Fuller, Barnett, Hester, Relyea, & Frey, 2007). Given such high risks and stakes, it seems reasonable to posit that individuals should attempt to be as strategic as possible and consciously select their behavioral path when they consider enacting voice.

Distinctiveness of Voice Strategy as a Construct

One might wonder if there is any construct that taps employees' strategic behaviors, potentially confounding the conceptual sphere of voice strategy. In fact, there is a considerable body of literature on a construct called influence tactics, or verbal behaviors enacted to persuade others at work (Yukl & Falbe, 1990). For example, individuals might make logical arguments, appeal to one's enthusiasm, or apply pressures to have the target person engage in or refrain from certain actions (see Yukl, Chavez, & Seifert, 2005, for further discussions of the conceptualization of influence tactics).

Those tactics are comparable in many ways to voice strategy highlighted in the current research; nonetheless, influence tactics and voice strategy concern different phases such that the latter structurally precedes the former. That is, the influence tactics construct presumes that the individuals who enact tactics and their target have already initiated a conversation in a mutually recognized fashion (otherwise, there is no way for them to use any rhetoric in the first place). In contrast, voice strategy concerns an earlier phase wherein individuals explore how to approach the target

person. Research indicates that the primary anxiety of organizational members who consider voicing actually stems from the uncertainty about what provides a safe yet effective way to express ideas and convey them to supervisors, rather than the rhetorical choice over specific persuasion tactics (Burris, Detert, & Chiaburu, 2008; Detert & Edmondson, 2011; Milliken, Morrison, & Hewlin, 2003). Thus, the communication process where employees approach supervisors and express work-related ideas, or how they utilize voice strategies, is conceptually distinct from the phenomenon covered by influence tactics and requires a scrutiny in its own light.

Contributions of the Current Research

By focusing on strategy-level dynamics, the current research expands the scope of the literature, which tends to equate voice to the act of explicitly speaking up in face-to-face settings. For example, Van Dyne and LePine (1998) operationalized voice in terms of direct, if not aggressive, behaviors such as "communicat[ing] his/her opinions ... even if his/her opinion is different and others in the group disagree with him/her" (p. 112). Although such behaviors that dare to highlight the difference between one's view and that of the group's majority certainly epitomize the notion of voice, they are not the only way for employees to express ideas or constructively challenge the status quo (Detert & Burris, 2007; Van Dyne et al., 2003). Stated differently, the extant research, rigorous and extensive as it surely is, might as well have overlooked a range of alternative—indirect, nonconfrontational, and tacit—forms of voice behaviors.

In fact, most of the existing studies only examined the degree to which employees directly speak up in face-to-face settings. For example, Parker, Williams, and Turner (2006) assessed whether employees expressed their ideas to a manager, supervisor, or others in the workplace with a yes/no question. Valid as it is, this methodological arrangement indicates that the authors regard directly conveying ideas as the *de facto* pattern of voice and the only meaningful data lie in its frequency (hence, the dichotomous yes/no question). Morrison et al. (2011) pointed out such a narrow scope, or a frequency-based paradigm, as an important limitation of the literature because it yields little insights into the breadth and complexity of voice phenomena. Naturally, Morrison et al. called for a study to explore *how* organizational

Because it is inherently proactive and also indicative of one's leadership, employees who aspire toward career success tend to engage in voice.

members communicate their voice, not just *whether* or *how often* they speak up. The current research responds to this call and addresses the limitation of the frequency-based paradigm by establishing a multidimensional scale of voice strategies based on the data collected from employees working in Japan.

The current research focuses on Japan; this focus brings a number of theoretical merits and enhances this article's contributions to the literature. First, Japan occupies a unique cultural "niche" on Hofstede's (2001) power distance dimension. *Power distance* (PD) refers to the degree to which members of a given culture accept uneven distributions of power and resources, and it is deemed highly relevant to voice (Botero & Van Dyne, 2009). Most studies on voice were conducted in either low- or high-PD cultures (Gomez et al., 2009; Liang et al., 2012). Examples of low-PD cultures include the United Kingdom and the United

Japan is known for its highly complex, unique, and sophisticated organizational cultures and, as such, employees working therein face diverse work situations.

States, with the PD levels of 35 and 40, respectively; however, cultures such as China, whose PD level is 80, are on a higher end (see Hofstede, Hofstede, & Minkov, 2010). Japan's PD level is 54, and this moderateness suggests that behavioral patterns of the Japanese would share certain common grounds with those found in both low- and high-PD cultures, yielding a greater variety of voice strategy use.

Second, as noted earlier, Japan is known for its markedly flexible communication patterns (Kim, 2002; Oetzel et al., 2001). Kitayama and Markus (1999) argue that the Japanese have a highly malleable,

interdependent sense of self and readily adjust their behaviors in accordance with the given social exigencies (see also Kanagawa, Cross, & Markus, 2001). This culturally grounded flexibility is important because it will manifest as a wider variety of voice strategy use, adding to the fullness of the framework to be established through the current research. Finally, Japan is known for its highly complex, unique, and sophisticated organizational cultures (e.g., Nonaka, 1988; Ralston, Holt, Terpstra, & Kai-Cheng, 2008) and, as such, employees working therein face diverse work situations. Together, it stands to reason that Japan provides a promising cultural context to explore employees' voice strategy use.

Study 1

To systematically scrutinize employees' voice strategy use, the current research conducts a series of

studies in Japan. First, because previous research has overlooked the strategy-level voice dynamics, an exploratory study is carried out. Formally, this first study draws on the following research question and explores firsthand accounts of organizational members working across diverse domains of workforce:

RQ1: What voice strategy do organizational members in Japan use to convey constructive yet challenging work-related ideas to their supervisors?

Method

Participants

For Study 1, a total of 116 full-time employees working in Japan were interviewed (age $M = 25.6$ years, $SD = 2.1$; female $n = 68$, or 58.6 percent). Their average tenure at the current organization was 3.1 years ($SD = 0.8$). All participants were Japanese. The interviewees were recruited from a variety of industries, comprising manufacturing, logistics, fashion/apparel retailers, information technology and communications (ITC), and telecommunications. The size of the affiliated organization also varied considerably from fewer than 10 to greater than 50,000. The average size of the work group or section the interviewees belonged to was 27.3 ($SD = 15.5$).

Procedure

Potential respondents for the study were identified and contacted on the convenience-sampling basis, and I interviewed those who had agreed to participate in face-to-face settings. The language used for the interview was Japanese, and the data presented in this article were translated into English through the back-translation method (Brislin, 1970). The interview format was semistructured. I first explained the concept of voice (Van Dyne & LePine, 1998), with an intensive clarification about the general scope of the notion of voice strategy, and then asked interviewees how they or their colleagues would proceed to share constructive yet potentially provoking ideas with supervisors. Upon receiving the initial response, further details of the described strategy were asked through probing questions.

Those interviews were conducted privately at convenient locations specified by each participant (e.g., café, university library, etc.). All interviews were audio-recorded with the participants' permission. Duration of an interview was about 15 to 20 minutes on average. Those interview narratives were transcribed by research assistants, who were blind to the current research's aims. The transcribed data amounted to be a 208-page text document, exceeding 300,000 words in Japanese.

The same research assistants coded the data through the constant-comparison method (Strauss & Corbin, 1998). To illustrate, first, they looked through the transcribed data several times to familiarize themselves with the narratives. Second, they scrutinized a given account and coded the voice strategy described therein by ascribing a simple label (e.g., *direct*, *incremental disclosure*, etc.; see later); if a given account included multiple distinct strategies, they were coded separately. Thus coded voice strategies were compared with the ones that appeared in a second account, and if they were deemed as qualitatively distinct, a new category was created. The research assistants independently repeated this coding and category-generating procedure for one third of the transcribed accounts. Next, they met with the author and compared the voice strategy category lists they each had developed. Cohen's kappa was computed and considered acceptable ($\kappa = 0.85$); disagreed cases were resolved via discussions among research assistants and the author. Finally, research assistants worked on the rest of the accounts; when they found a new category, they discussed among themselves to maintain coding consistency.

Results and Discussion

The analysis yielded eight broad categories of employee voice strategies (see Table I). Nearly 20 percent of the respondents indicated that they would take *direct* approaches and initiate face-to-face interactions with supervisors. Those who use *incremental disclosure* would reveal only partial information at first and expand if supervisors react positively. *Deniable* refers to conveying one's thought to the leader without revealing its source (e.g., leaving an anonymous memo on the supervisor's desk). *Third-party* was another popular strategy in which employees have their peer play a role of messenger; that is, they first identify the peer who has a close relationship with the target supervisor and then share their idea with that person, expecting she/he would eventually pass it on to the target. An interesting strategy found in Study 1 is *waiting*, in which individuals make preparations to demonstrate the utility of their idea and then patiently wait for an opportunity to voice. About 8.5 percent of the respondents noted that they would take a *rehearsal* approach, by which they discuss the suggestions in question with colleagues and refine the way they communicate ideas before voicing. *Humor/Joking* was mentioned as a useful strategy to mitigate the impact of voice. Finally, a small portion of the respondents indicated that, to express their opinions, they would use *computer-mediated communication* channels such as e-mail or social-network service.

These findings suggest that employees in Japan indeed utilize a variety of voice strategies to communicate their ideas in the workplace. As discussed earlier in the introduction, this strategy-level dynamics of voice behavior has long been overlooked in the literature, which focuses either on frequency (i.e., whether employees speak up or not) or on specific verbal tactics (see Milliken et al., 2003). Nonetheless, this study has revealed that organizational members in fact have a rich set of strategy repertoire. As such, Study 1 findings provide a promising start for the current research, demonstrating the fruitfulness to explore the strategy-level dynamics of employee voice behaviors.

At the same time, questions remained as to the findings' generalizability because the data were collected from a convenience sample. Thus, a follow-up study with a nonconvenience sample taken from a larger population was conducted based on the same research question as that which was set for Study 1.

Study 2

Method

Participants

For Study 2, a total of 264 full-time employees working in Japan participated (age $M = 27.1$ years, $SD = 4.8$; female $n = 132$, or 50.0 percent). The average tenure at the current organization was 4.3 years ($SD = 1.7$). All participants were Japanese. The participants were recruited from various industries, comprising manufacturing, ITC, public sectors, telecommunications, and data storage services. The size of the affiliated organization also varied considerably from fewer than 30 to greater than 50,000. The average size of the work group or section the interviewees belonged to was 40.5 ($SD = 16.5$).

Procedure

For Study 2 data collection, I collaborated with a marketing company that holds a panel of potential respondents. This panel includes more than eight million individuals residing all across Japan and covers almost all population segments in terms of age, sex, and occupation, and Study 2 participants were recruited through a random sampling within this pool. The selection criteria comprised: (1) they must be at a junior/assistant or associate rank, and (2) they must have a supervisor with whom they work and contact on a daily basis. The first criterion was set because junior/assistant- to associate-level employees are the main focus in the voice research (Detert & Burris, 2007; Greenberg & Edwards, 2009).

Thus identified participants took an online survey. After a brief explanation about the current

TABLE I Initial Typology of Employee Voice Strategies^a

Strategy	Example	Frequency (%) ^b	
		Study 1	Study 2
1. Direct	"I would tell my idea to the boss directly." "If I believe my suggestion should be of some value, I will not hesitate to throw it to the supervisor." "If I come up with a good idea, I share it with my boss immediately."	43 (22.8)	81 (18.3)
2. Incremental Disclosure	"I first mention the general framework of my idea to see if my boss is interested or not. If s/he shows interest, I'll give more detail; if not, I just stop there and don't talk about it." "Test the water first so that you won't shoot yourself in the foot."	39 (20.6)	85 (19.2)
3. Deniable	"I leave some notes on the supervisor's desk so that I can get my ideas through without being spotted." "I just mention the gist of the idea, deliberately leaving its source uncertain." "When I express ideas at my workplace, I will make sure the boss won't find out who come up with that idea, just to be safe."	30 (15.9)	59 (13.3)
4. Third-Party	"I'd ask someone in my section to convey the idea because our boss trusts that person." "There is a guy at my workplace who always challenges the boss, so I just install my idea to that person."	25 (13.2)	96 (21.7)
5. Waiting	"I will prepare documentation and other materials necessary to support my ideas and wait until the supervisor asks me for suggestions."	20 (10.6)	50 (11.3)
6. Rehearsal	"I'd talk about my idea to peers first; if they say it's good, then I will bring it up to the supervisor." "I would simulate how I should introduce the idea with my colleagues before talking to my boss."	16 (8.5)	11 (2.5)
7. Humor/Joking	"I will joke about the change I want at my workplace." "Make suggestions in a sarcastic way to see if the boss likes them or at least shows some interest."	10 (5.3)	22 (5.0)
8. Computer-Mediated Communication	"I'd send an e-mail, rather than talking face-to-face, to discuss my ideas with the supervisor." "I will share my suggestions through the company's intranet or closed social-network service system."	6 (3.2)	23 (5.2)
9. Grapevine	"I discussed my idea with colleagues, expecting it to spread around the workplace and eventually catch the supervisor's attention." "I have used the word-of-mouth network in my company to spread my ideas."	0 (0.0)	16 (3.6)

Note. Values in parentheses are the relative frequency (percentage) of a given strategy within each study.

^a*n* = 116 for Study 1 (face-to-face interviews) and *n* = 264 for Study 2 (an online survey).

^bRespondent's narratives oftentimes included multiple voice strategies, and thus, the frequency count does not match each study's sample size.

research and informed consent, the survey explained the concept of voice with an intensive clarification about the scope of voice strategy. Then, the participants were asked to recall their own voice episodes in the past and describe how they had approached supervisor. Data were back-translated for this article.

Collection of the recalled accounts amounted to a 321-page text document. Research assistants (different from those who served for Study 1) coded those narratives using the constant-comparison method (Strauss & Corbin, 1998). This coding was carried out independently of Study 1's results (i.e., the coders were unaware of Study 1

results) to avoid potential contamination of analysis results. The coders developed voice strategy categories individually through the same procedure as Study 1; they then met with the author and compared the findings to check for the coding consistency and reliability ($\kappa = 0.90$).

Results and Discussion

All except one voice strategy categories identified through the analysis of Study 2 were found conceptually equivalent to those extracted through Study 1; those common strategy categories were labeled to maintain the consistency across studies. The newly found strategy, named *grapevine*, refers to a set of behaviors to diffuse one's ideas and thoughts in the workplace through word-of-mouth networks and wait for thus spread voice to reach the target supervisor eventually. Overall, these findings provide support for the transferability of the voice strategy typology (Table I). Perhaps the strategies identified through the two studies represent a general behavioral repertoire utilized by the organizational members working in Japan as they try to communicate their ideas and thoughts to supervisor.

This idea of multiple strategies is in line with the existing literature and theories. The literature on conflict management suggests that individuals use a range of strategies to manage various needs in a conflict (Rahim, 2002). Similarly, the multiple goals theory suggests that individuals typically pursue several specific goals simultaneously within a given interaction by using different tactics (Ohbuchi, Fukushima, & Tedeschi, 1999; Ohbuchi & Tedeschi, 1997). The current findings are consistent with these literatures and theories; voice is a multifaceted phenomenon that involves multiple goals—conveying ideas to the target person without misunderstanding or distortion, minimizing negative repercussions on oneself, fulfilling one's responsibility as an organizational member, just to name a few—and it appears that employees utilize a variety of strategies adaptively to achieve those goals that are salient for them.

A closer look at the two studies' findings indicates that the majority of organizational members draw on some form of indirect communication strategies when they attempt to voice in the workplace. They "test the water" before speaking up to the boss, use humor to mitigate the aggressiveness associated with their overture, carefully maintain the deniability, or reduce personal risk by involving others in the workplace. Whereas approximately 20 percent of the respondents did report using the *direct* strategy, the variety and volume of indirect strategies was impressive (see Table I). As noted earlier, voice is a personally risky undertaking for

organizational members because it can be provocative and consequential in some cases; it might invite unwanted attention from supervisors and result in negative evaluations (Morrison et al., 2011; Van Dyne et al., 2003). Thus, it seems reasonable to posit that many organizational members use indirect strategies to avoid those risks associated with the challenging nature of voice.

Why, then, do employees not give up voicing altogether (cf. Milliken et al., 2003; Morrison & Milliken, 2000)? Arguably, it is because remaining silent poses another sort of professional and psychological dilemma. Research suggests that employees who engage in voice hold strong commitment and play a central role in the work flow (Tangirala & Ramanujam, 2008). Such committed and central employees keenly feel the needs or even responsibility to make meaningful contributions (Fuller et al., 2006; Parker et al., 2006; Venkataramani & Tangirala, 2010). The dominance of indirect strategies found in Studies 1 and 2 perhaps reflects this delicate dynamic. That is, those who see space for improvement or business opportunities in their organization feel the need to call for supervisors' attention to those issues. Yet, they also are aware of the risk to do so as organizational members (Burriss et al., 2008). Indirect strategies may provide a tactful solution in such Catch-22 situations. With indirect strategies, employees are able to convey their thoughts to the target leaders while minimizing their own personal risks.

To formally test those speculations on the underlying mechanisms in future studies, however, we need a tool to examine theoretical models of employees' voice strategy use. To establish such a methodological tool, an exploratory measurement study was conducted as the logical next step.

Study 3

Method

Participants

For Study 3, a total of 293 full-time employees working at the companies listed in the first and second sections of the Tokyo Stock Exchange in Japan took an online survey (age $M = 26.7$ years, $SD = 3.2$; female $n = 147$, or 50.2 percent). The average tenure was 3.7 years ($SD = 3.3$). All participants were Japanese. The participants were recruited from various industries, comprising

The newly found strategy, named grapevine, refers to a set of behaviors to diffuse one's ideas and thoughts in the workplace through word-of-mouth networks and wait for thus spread voice to reach the target supervisor eventually.

manufacturing, ITC, PR/advertisement, and general constructions. The size of the affiliated organization also varied considerably from fewer than 50 to greater than 50,000. The average size of the work group or section the interviewees belonged to was 61.1 ($SD = 24.2$).

Procedure

The Study 3 data were collected with the same marketing company that had helped Study 2. First, I designed the survey (see next), and then the company electronically forwarded it to 300 individuals. These individuals were randomly selected from the company's nationally representative respondent pool. The initial screening criterion was that they did not receive the invitation to participate in Study 2; this restriction was set to avoid potential confounds. After this initial screening, the same selection criteria as those set for Study 2 were applied to identify potential participants. The participants were asked to complete the survey within two weeks; seven did not complete it (response rate = 97.7 percent). Survey items and instructions were written in Japanese, and the data were back-translated (Brislin, 1970) for this article.

The survey first explained about the current research and informed consent. Next, it provided a definition of voice behavior, with an intensive clarification about the scope of voice strategy. It then asked the respondents to take a few moments to simulate how they would approach their supervisor if they were to voice in the workplace. Finally, a list of specific voice strategies was presented following the prompt, "If I were to communicate my 'voice' at workplace, I would ...," and the respondents were asked to rate each item in terms of the likelihood of use on a 7-point Likert-type scale (1 = "very unlikely to use" to 7 = "very likely to use"). It took the respondents about 20 to 25 minutes on average to complete the survey.

Those voice strategy items were developed based on the narratives collected through Studies 1 and 2. First, I reviewed all the narratives several times to refamiliarize myself with the texts. Next, behaviors that were deemed characteristic to the given voice strategy were identified (e.g., "tell my idea to the boss directly" or "go to my boss and talk with her/him about my suggestions face-to-face" for the *Direct* strategy). Finally, after developing a list of such characteristic behaviors for the nine strategies, I consulted two PhD-holding experts of communication in organizational settings and had them examine the list independently; they were asked to scrutinize whether the listed items indeed had face validity to tap the voice strategy construct they were purported to

measure. Where questions arose, the experts and I discussed and modified the item statements based on the conceptualization of the voice strategy in question and the original narratives. This item-development procedure resulted in an initial scale of employee voice strategies with 51 items (5 to 7 items for each category).

Results and Discussion

To empirically establish the scale of employee voice strategy use, a series of exploratory factor analyses (EFAs) was performed. EFAs, rather than confirmatory factor analysis, were deemed appropriate at this point because, as noted repeatedly in this article, voice strategy has received little attention in previous studies (Milliken et al., 2003), and thus its underlying factor structure is hard to specify a priori.

Following Fabrigar, Wegener, MacCallum, and Strahan (1999), the principal-axis method with the promax rotation was used. Further, to determine the number of underlying latent factors, a parallel analysis (PA) was applied. PA runs EFA on a set of "parallel data," which consist of the same number of variables with the same sample size as the data in question, but all those "data" are random numbers. PA repeats generating such parallel data and running EFA on them to compute average eigenvalues for each of the extracted factors; those average values therefore represent the threshold between random variables and statistically meaningful, substantive factors. Research indicates that PA is more accurate than other widely accepted methods, such as the Kaiser criterion (aka the eigenvalue-greater-than-1.0 rule), to estimate the number of latent factors (for reviews of PA, see Hayton, Allen, & Scarpello, 2004).

The final results pointed to a six-factor solution, retaining 22 items. The top six factors had eigenvalues of 8.54, 5.66, 2.96, 2.93, 2.62, and 1.85, in order, accounting for 59.2 percent of the total variance. Although the seventh through ninth factors had eigenvalues greater than 1.00, those values were smaller than the corresponding values computed by the parallel analysis (see Table II). Thus, the decision was made to retain only the top six factors. Further, the decision to retain or drop items was made based on (1) which factor they primarily loaded, and (2) the balance between the primary and secondary factor loadings. To illustrate, first, items that loaded primarily on to a factor other than the top-six factors noted earlier were dropped. In addition, the items that did not meet Henson and Roberts's (2006) 0.6/0.3 rule—that is, the items whose primary factor loading score after rotations was smaller than 0.6 (even if they primarily loaded onto one of

TABLE II Parallel Analysis Results on the Top-10 EFA-Extracted Factors from Study 3 Data^a

Factor	Average Eigenvalue Computed by Parallel Analysis	EFA-Extracted Eigenvalue Based on Study 3 Data
1	1.902	8.544
2	1.810	5.662
3	1.737	2.964
4	1.682	2.931
5	1.633	2.617
6	1.583	1.846
7	1.541	1.347
8	1.496	1.109
9	1.453	1.016
10	1.416	0.899

^a*n* = 293; the total number of items subjected to PA and EFA was 51.

the top-six factors) or secondary factor score was greater than 0.3—were dropped.

Table III provides a summary of the developed scale. The first factor, labeled *direct overture*, contained items such as “tell my idea to the boss directly.” A second factor consisted of the items that were originally developed for strategy categories of *incremental disclosure* and *humor/joking* (e.g., “talk about my thoughts only briefly and expand if the supervisor is interested,” and “make suggestions in a sarcastic fashion to see if my boss shows any interest”); given the cautiousness inherent to those items, this factor was labeled *cautious disclosure*. Third, items that had been originally developed for the *waiting* strategy loaded on to one factor (e.g., “get ready to demonstrate the validity of my thoughts and wait until my boss asks me for suggestions”); the label of *waiting* was retained for this factor.

A fourth factor integrated *third-party, rehearsal*, and *grapevine* (e.g., “ask someone in the work group to convey my idea to the boss,” “tell my thoughts to the colleagues first to see how they would respond,” and “use the word-of-mouth networks in the workplace to spread my ideas”). A common feature among those items was the reliance on others in the workplace to carry one’s ideas to the supervisor; thus, this factor was labeled *peer-mediated communication*. The fifth factor seemed to tap the *deniable* strategy (e.g., “leave some notes on the supervisor’s desk to convey my thoughts without revealing its source”); accordingly, it was labeled *deniable*. Finally, a sixth factor included items tapping the *computer-mediated communication* strategy (e.g., “send an e-mail, rather than talking face-to-face, to discuss my ideas” and “share my suggestions using social-network service”), and this factor was labeled as such.

This six-factor scale should provide a useful tool to capture a variety of employee voice behaviors. Because it covers various behaviors ranging from direct overture to more indirect and/or mediated forms of communication, the scale will help identify nuanced differences among distinct strategies and thereby scrutinize the complex set of correlates associated with employee voice behaviors.

Nonetheless, it should be noted that this was just an initial step to establish the scale of voice strategy use. That is, the current research still needs to reexamine the scale’s overall structure empirically through formal confirmatory factor analyses, as well as the construct validity of strategy factors vis-à-vis conceptually related constructs. Additionally, although the sample of Study 3 was good in terms of generalizability because it had been randomly selected from a nationally representative pool, the sample size smaller than 300 posed some concerns (Fan, Thompson, & Wang, 1999).

Study 4

Given Study 3’s limitations noted earlier, this study set two goals: (1) replicate the six-factor structure of the voice strategy scale through confirmatory factor analyses, and (2) examine the construct validity of thus confirmed voice strategy factors vis-à-vis conceptually relevant constructs.

For the latter purpose, this study examines three constructs: proactive personality, relationship

Because it covers various behaviors ranging from direct overture to more indirect and/or mediated forms of communication, the scale will help identify nuanced differences among distinct strategies and thereby scrutinize the complex set of correlates associated with employee voice behaviors.

TABLE III Exploratory and Confirmatory Factor Analysis Results for Employee Voice Strategy Use^a

Factor/Item	Factor Loading	
	Study 3	Study 4
If I were to communicate my “voice” at the workplace, I would ...		
Direct Overture ($\alpha_{\text{Study 3}} = 0.87$; $\alpha_{\text{Study 4}} = 0.90$)		
tell my idea to the boss directly.	0.91	0.90
share my thoughts immediately with my supervisor.	0.84	0.85
go to my boss and talk with her/him about my suggestions face-to-face.	0.81	0.77
bring up my ideas to the supervisor and directly ask for her/his consideration.	0.76	0.80
Cautious Disclosure ($\alpha_{\text{Study 3}} = 0.91$; $\alpha_{\text{Study 4}} = 0.93$)		
talk about my thoughts only briefly and expand if the supervisor is interested.	0.85	0.91
toss up bits and pieces of my ideas and elaborate only if my supervisor looks interested.	0.73	0.84
make suggestions in a sarcastic fashion to see if my boss shows any interest.	0.72	0.70
mention my ideas casually to “test the water” before initiating any serious talk with the supervisor.	0.64	0.76
Waiting ($\alpha_{\text{Study 3}} = 0.90$; $\alpha_{\text{Study 4}} = 0.84$)		
get ready to demonstrate the validity of my thoughts and wait until my boss asks me for suggestions.	0.77	0.80
make sure everything’s “ready” to implement my suggestions and then wait for a good chance to come to discuss them with my supervisor.	0.71	0.81
look for chances to discuss my idea with the boss while making necessary preparations to back it up.	0.66	0.71
wait until I find a good chance to bring up my thoughts to the supervisor.	0.61	0.78
Peer-Mediated Communication ($\alpha_{\text{Study 3}} = 0.81$; $\alpha_{\text{Study 4}} = 0.85$)		
ask someone in the work group to pass my idea on to the boss.	0.72	0.92
discuss my idea within the circle of peers so that somebody will eventually bring it up to the supervisor.	0.69	0.88
use the word-of-mouth networks in the workplace to spread my ideas.	0.68	0.76
tell my thoughts to the colleagues first to see how they would respond.	0.60	0.77
Deniable ($\alpha_{\text{Study 3}} = 0.79$; $\alpha_{\text{Study 4}} = 0.77$)		
leave some notes on the supervisor’s desk to convey my thoughts without revealing its source.	0.71	0.74
talk about my ideas as though they originated from someone else.	0.68	0.66
talk about the framework of my ideas while concealing its source.	0.64	0.77
Computer-Mediated Communication ($\alpha_{\text{Study 3}} = 0.77$; $\alpha_{\text{Study 4}} = 0.79$)		
send an e-mail, rather than talking face-to-face, to discuss my ideas.	0.65	0.83
share my suggestions through my company/organization’s intranet.	0.62	0.68
share my suggestions using social-network service.	0.61	0.62

^a $n = 293$ for Study 3, and $n = 483$ for Study 4.

maintenance goal orientation, and negative emotional display. *Proactive personality* refers to individuals’ traitlike disposition of being active, rather than passive or reactive (Seibert, Kraimer, & Crant, 2001); individuals with strong proactive personality tend to “take it upon themselves to have an

impact upon the world around them” (Seibert, Crant, & Kraimer, 1999, p. 417). As such, proactive personality should be positively associated with assertive voice strategies such as *direct overture* and *computer-mediated communication*. Because behaviors such as directly speaking up or expressing

one's opinions with enduring digital footprints are particularly risky, they would be enacted chiefly by those who are proactive enough to overcome the fear of those risks. Hence, the first hypothesis:

Hypothesis 1: Employees' proactive personality is positively associated with their use of direct overture and computer-mediated communication.

Relationship maintenance goal is one of the primary goals that individuals pursue during social interactions; individuals who pursue relationship maintenance try to establish mutual regards and uphold a positive relationship with their interactional counterpart (Ohbuchi et al., 1999; Ohbuchi & Tedeschi, 1997). It seems reasonable to posit that those with strong relationship maintenance goal orientation are likely to use indirect, nonconfrontational strategies such as *cautious disclosure*, *waiting*, *peer-mediated communication*, and *deniable*, whereas they would avoid using aggressive strategies, namely *direct overture* and *computer-mediated communication*. Thus, the following hypothesis is set forth:

Hypothesis 2a: Employees' relationship maintenance goal orientation is positively associated with their use of cautious disclosure, waiting, peer-mediated communication, and deniable.

Hypothesis 2b: Employees' relationship maintenance goal orientation is negatively associated with their use of direct overture and computer-mediated communication.

Strategic display of negative emotions refers to a destructive behavior of expressing discontent in the workplace (Ashkanasy & Daus, 2002; Kopelman & Rosette, 2008). Organizational members, for one reason or another, use such displays as a communicative means to reduce stress, exert control over others, or express dissatisfaction with their work situations (Pizer & Härtel, 2005). Because the conceptualization of employee voice excludes destructive behaviors (Van Dyne et al., 2003), strategic display of negative emotions should provide a useful point of comparison; that is, whereas both constructs reflect one's dissatisfaction regarding work, voice is underpinned by constructive intentions to improve work situations, whereas strategic display of negative emotions is devoid of such pro-organizational and proactive intent. Thus, the two constructs tap distinct organizational behavior phenomena and they perhaps should be weakly negatively related to each other. To test this surmise, the following hypothesis is set forth:

Hypothesis 3: Employees' use of the strategic display of negative emotions in the workplace is negatively associated with their voice strategy use.

Together, the three constructs examined in Study 4 represent an initial set of elements of the nomological net surrounding employee voice strategy use. Conceptually, proactive personality and relationship maintenance goal orientation provide trait-dispositional and situation-specific antecedents of voice behavior, respectively; on the other hand, strategic display of negative emotions is a useful reference point against which the distinctiveness of the voice strategy construct can be gauged empirically.

Method

Participants

For Study 4, a total of 483 full-time employees working at the companies listed in the first and second sections of the Tokyo Stock Exchange in Japan took an online survey (age $M = 28.9$ years, $SD = 5.4$; female $n = 258$, or 53.4 percent). The average tenure was 6.0 years ($SD = 4.8$). All participants were Japanese. The participants were recruited from various industries, comprising ITC, general construction, international trade, manufacturing, and PR/advertisement. The size of the affiliated organization also varied considerably from fewer than 30 to greater than 50,000. The average size of the work group or section the interviewees belonged to was 38.7 ($SD = 26.9$).

Procedure

This study was part of a larger research project (only the data relevant to the current research are reported here). Data were collected with the same company that had helped Studies 2 and 3, but there was no overlap between Study 4 participants and those in the preceding studies. The company first sent the survey electronically to 500 potential respondents randomly selected from within their nationally representative panel. Seventeen individuals did not complete the survey, hence the response rate of 96.6 percent.

The respondents first completed measures of proactive personality, goal orientation, and strategic display of negative emotions at work (see later) after the brief explanation of the research and informed consent. The voice strategy assessment part of the survey design was equivalent to that of Study 3. The survey presented a definition and examples of voice behavior. Next, the respondents were asked to simulate how they would approach the supervisor if they were to initiate voice in the workplace. After this step, they were presented

with the list of 22 voice strategy items (Table III) and asked to rate each item on a 7-point Likert-type scale in terms of their likelihood of use (1 = “very unlikely to use” to 7 = “very likely to use”). It took the respondents approximately 30 minutes to complete the entire survey.

Measures

Proactive Personality. Employees’ proactive personality was measured using six items taken from the existing proactive personality scale (e.g., “If I see something I don’t like, I fix it,” or “I enjoy facing and overcoming obstacles to my ideas”) (Bateman & Crant, 1993; Claes, Beheydt, & Lemmens, 2005). The respondents rated each item on a 7-point Likert-type scale in terms of how well the given statement represented their general tendency (1 = “strongly disagree” to 7 = “strongly agree”; $\alpha = 0.88$).

Relationship Maintenance Goal Orientation. Relationship maintenance goal orientation was measured using four items used by Ohbuchi et al. (1999). First, the respondents were asked to reflect over their relationship with the target supervisor; then, they rated the extent to which they would like to maintain a positive relationship with her or him (e.g., “I want to maintain

a good relationship with her/him”) on a 7-point Likert-type scale (1 = “strongly disagree” to 7 = “strongly agree”; $\alpha = 0.79$).

Strategic Display of Negative Emotions. Following Kopelman and Rosette’s (2008) procedure, the respondents’ strategic display of negative emotions at work was assessed using the 4-item measure of emotional display. The respondents used a 7-point Likert-type scale to rate the extent to which they show particular emotions in the workplace (1 = “strongly disagree” to 7 = “strongly agree”; $\alpha = 0.80$); those emotions included *aggressive, angry, annoyed, and irritated* (Kopelman & Rosette, 2008).

Results and Discussion

Table IV provides a summary of the results of the confirmatory factor analyses (CFAs) and the correlational analyses of the six voice strategies with proactive personality, relationship maintenance goal orientation, and strategic display of negative emotions. First, a series of CFAs were run using *Mplus 4.2* (Muthén & Muthén, 2007) to examine the underlying factor structure of the employee voice strategy scale. Models were considered adequate if its root mean square error of approximation (RMSEA) and standardized root mean square

TABLE IV Results of the Confirmatory Factor Analyses and Correlations Among the Six Voice Strategies, Proactive Personality, Relationship Maintenance Goal, and Strategic Display of Negative Emotions^a

CFA Model	χ^2	df	$\Delta\chi^2$	Δdf	RMSEA	CFI	SRMR	
One-factor model	1039.72**	187	N/A	N/A	0.14	0.68	0.17	
Six-factor model	472.16**	172	567.56**	15	0.05	0.95	0.04	
Factor	M	SD	1	2	3	4	5	6
Voice Strategy								
1. Direct Overture	4.41	1.09	0.90					
2. Cautious Disclosure	5.54	1.31	0.12**	0.93				
3. Waiting	5.27	0.87	-0.42**	0.29**	0.84			
4. Peer-Mediated Communication	3.83	1.26	-0.20**	0.45**	0.40**	0.85		
5. Deniable	4.03	1.07	-0.57**	0.61**	0.58**	0.19**	0.77	
6. Computer-Mediated Communication	2.74	1.48	0.34**	-0.31**	-0.47**	-0.07	-0.42**	0.79
H1–H3 Constructs								
Proactive Personality	4.52	1.16	0.33**	0.10*	0.13**	0.02	-0.20**	0.25**
Relationship Maintenance Goal Orientation	4.81	1.47	0.08	0.30**	0.21**	0.10*	0.18**	-0.20**
Strategic Display of Negative Emotions	3.47	1.39	-0.05	-0.27**	-0.04	0.18**	-0.13**	-0.11*

Note. Diagonal elements for the voice strategy factors are Cronbach’s α reliability coefficients. All voice strategy factors, proactive personality, relationship maintenance goal orientation, and strategic display of negative emotions were assessed on a 7-point Likert-type scale.

^a $n = 483$.

* $p < 0.05$, ** $p < 0.01$.

residual (SRMR) values were smaller than 0.08 and also the comparative fit index (CFI) was greater than 0.90 (Hu & Bentler, 1999). The chi-square statistic and the results of its null-hypothesis significance test would be reported but not used to evaluate a model's goodness of fit, because they are overly sensitive when the given sample size is large (i.e., $N > 400$; Satorra & Saris, 1985) (for reviews of model goodness-of-fit indices, see also O'Boyle & Williams, 2011).

First, as a baseline model, only one latent factor was specified and all 22 items were set to load onto this general factor. This model did not fit the data adequately: $\chi^2(187) = 1039.72$, $p < 0.01$, RMSEA = 0.14 (90% confidence interval [CI] = 0.12–0.17), CFI = 0.68, SRMR = 0.17.

Second, a six-factor model was tested; the items were modeled to load onto the respective factors, and the six latent factors were allowed to correlate freely with one another. This modified model not only fit the data well [$\chi^2(172) = 472.16$, $p < 0.01$, RMSEA = 0.05 (90% CI = 0.02–0.07), CFI = 0.95, SRMR = 0.04], but also its goodness of fit significantly improved as compared with that of the one-factor solution [$\Delta\chi^2(15) = 567.56$, $p < 0.01$]. In addition, all the 22 items had substantial factor loading scores on the specified factors (completely standardized λ s ranging from 0.62 to 0.92, all $ps < 0.01$; see Table III).

Next, a series of multiple regression analyses were performed to examine the hypotheses (see Table V). Preliminary analyses indicated that

organizational members' sex, tenure, and the size of work group were associated with their voice strategy use. Hence, those factors were entered first into each model as covariates; then, the three constructs were entered at Step 2 to examine Hypotheses 1 through 3.

Hypothesis 1 predicted that employees' proactive personality would be positively associated with their use of *direct overture* and *computer-mediated communication* (CMC). This hypothesis was supported; after removing the effects of covariates, proactive personality was positively associated with both *direct overture* ($\beta = 0.28$, $p < 0.01$) and CMC ($\beta = 0.33$, $p < 0.01$).

Hypothesis 2 predicted that relationship maintenance should have positive associations with *cautious disclosure*, *waiting*, *peer-mediated communication* (PMC), and *deniable*, whereas it should be related negatively with *direct overture* and CMC. The link between relationship maintenance and PMC was not significant ($\beta = 0.01$, *n.s.*); in addition, relationship maintenance showed a positive, instead of negative, association with *direct overture* ($\beta = 0.16$, $p < 0.01$). Nonetheless, the other associations postulated in Hypothesis 2 were significant and in the expected direction (Table V). Thus, Hypothesis 2 was partially supported.

Preliminary analyses indicated that organizational members' sex, tenure, and the size of work group were associated with their voice strategy use.

TABLE V Multiple Regression Model Predicting the Voice Strategy Use by Employees in Japan^a

Regression Model	Voice Strategy					
	Direct Overture	Cautious Disclosure	Waiting	PMC	Deniable	CMC
Step 1: Covariate						
Sex	-0.25**	0.17**	-0.12**	0.25**	-0.21**	-0.05
Tenure	0.25**	-0.18**	-0.09*	0.05	-0.09*	-0.20**
Group Size	-0.26**	0.21**	0.06	0.11*	-0.12**	0.17**
Adj. R^2 by Covariates Only	0.20	0.10	0.02	0.07	0.06	0.06
Step 2: H1–H3 Predictor						
Proactive Personality	0.28**	-0.03	0.03	0.19**	-0.19**	0.33**
Relationship Maintenance Goal Orientation	0.16**	0.24**	0.27**	0.01	0.19**	-0.35**
Strategic Display of Negative Emotions	0.04	-0.24**	-0.02	0.31**	-0.14**	-0.02
Adj. R^2 by Predictors Only	0.10	0.06	0.07	0.13	0.08	0.21
Adj. R^2 by Full Model	0.30	0.16	0.09	0.20	0.14	0.27

Note. Values indicate standardized regression coefficients or adjusted multiple correlation coefficients.

Sex was dummy coded; 0 = Male, 1 = Female. PMC = peer-mediated communication. CMC = computer-mediated communication.

^a $n = 483$.

* $p < 0.05$, ** $p < 0.01$.

Hypothesis 3 stated that the strategic display of negative emotions and voice strategy use should be negatively associated. As expected, *cautious disclosure* and *deniable* were negatively related to negative emotional display (Table V). However, *direct overture*, *waiting*, and CMC did not show significant associations, and PMC had a positive association ($\beta = 0.31$, $p < 0.01$), which ran counter to the prediction. Thus, Hypothesis 3 was not fully supported.

Together, those results were mostly consistent with Study 4's hypotheses and, moreover, they are in line with extant findings. The linkage between proactive personality and *direct overture* is comparable to Parker et al.'s (2006) finding that proactive personality predicts active idea implementation (i.e., "taking charge of an idea for improving the workplace ... by voicing the idea to others," p.

The notion of voice is traditionally equated to overt and assertive expressions of ideas, and thus, conciliatory, nonconfrontational voice strategies have been largely left unrecognized.

637). Also, the ways in which relationship maintenance goal orientation was related to indirect voice strategies, such as *cautious disclosure* and *waiting*, were consistent with the multiple goals theory (Ohbuchi & Tedeschi, 1997). Ohbuchi et al. (1999) showed that the individuals who pursue relationship maintenance tend to rely on conciliatory tactics; this study's findings parallel Ohbuchi et al.'s because both studies found the positive associations between relationship maintenance and nonconfrontational behaviors. These results are encouraging because they not only help contextualize the current findings in the

existing literature but also provide initial evidence of the nomological net surrounding the construct of voice strategy.

At the same time, the few results that did not match the predictions need to be discussed. The positive association between organizational members' relationship maintenance goal orientation and their use of *direct overture* may be explained by the inherent goodwill and pro-organizational nature of voice behavior. The underpinning notion of voice is to go beyond one's prescribed vocational requirements and contribute to their work group (Van Dyne et al., 2003; Van Dyne & LePine, 1998). Individuals with strong felt responsibility for constructive change in the workplace (Fuller et al., 2007) might believe that the act of *direct overture* could not harm the relationship with the supervisor because its fundamental notion is to contribute to their work group. Also, the unexpected positive association between the display of negative emotions and *peer-mediated*

communication requires a separate discussion. Perhaps individuals use the display of negative emotions to naturally open the conversation with peers to discuss the problems of the status quo. Or they might strategically "whine" at first to avoid being seen as overly self-righteous and puritanical. To examine these nuances, future studies should explore how individuals initiate a conversation with colleagues to enact the peer-mediated communication as a voice strategy.

General Discussion

The current research has problematized the existing literature on voice behavior for its limited scope and attempted to enrich the conceptualization of employee voice phenomena. Results of the four studies revealed that employees in Japan utilize a variety of voice strategies, as opposed to showing a simplistic binary response pattern (i.e., "speak up or shut up"). This finding challenges the paradigmatic frequency-based approach of the extant research that presumes direct speak-up as the primary behavioral form of employee voice (Morrison et al., 2011). Additionally, the results of EFAs and CFAs have substantiated a solid six-factor scale with sound reliability and validity; the regression analyses yielded results that are consistent with the previous findings and theories, providing initial empirical evidence of the nomological net surrounding the employee voice strategy construct (Tables IV and V).

Implications for Human Resource Management Practices

The current findings yield a number of implications for human resource management practices. Most notably, the voice strategy scale established through the four studies will provide a valuable lens to identify voice behaviors that are formerly overlooked. The notion of voice is traditionally equated to overt and assertive expressions of ideas, and thus, conciliatory, nonconfrontational voice strategies have been largely left unrecognized (Morrison et al., 2011; but see also Burris, 2012). This is imperative because managers' recognition of proactive behavior, in general, and voice, in particular, is known to impact one's career success (Claes & Ruiz-Quintanilla, 1998; Seibert et al., 2001) and the evaluation of their leadership (Crant & Bateman, 2000). Stated differently, the existing paradigm might have resulted in promoting outspoken individuals over others, even if the two were comparable in terms of proactivity. Voice strategy scale should help address this issue by assisting managers to widely recognize employees' contributions.

Further, broadening of scope is particularly important to manage culturally diversified workforces. Importance of leveraging diversity in management has been increasingly recognized (Alcázar, Fernández, & Gardey, 2013). To exploit the benefits of workforce diversification, however, an inclusive scope to recognize a wide range of unique working styles is indispensable (Childs, 2005; Roberge & van Dick, 2010). Nonetheless, as discussed earlier, the existing literature on voice behavior seems biased by “Western” perspectives, which give special weight to assertive communication styles and favor explicit approach behaviors as a sign of confidence and competence (see Kim, 2002, for a discussion of the “Western” biases). Organizations need to rectify such narrowness and cultural exclusivity to make full use of workforce diversity. On this front, the multidimensionality of the voice strategy scale should prove useful because it will help managers identify subtle, if significant, contributions made by employees.

At the same time, caution should be taken to interpret the current findings and their implications because they are culturally bound to the Japanese context. To address this limitation, future research needs to examine the cross-cultural applicability of the findings obtained through the current studies.

Theoretical Contributions to the Employee Voice Research

Besides the practical implications discussed just now, the current research has made notable contributions on several theoretical fronts. First, the current research has demonstrated that employees take various approaches as they attempt to communicate their voice in the workplace. At a glance, this finding may be interpreted as a support for the notion that voice is an essentially provocative behavior and employees use various approaches to mitigate its aggressiveness. But is voice really provoking? A recent study found that voice can be expressed either in challenging or supportive ways, and supervisors who receive the latter type of message actually tend to appreciate it (Burris, 2012). Thus, it seems worthwhile to take a moment and discuss if it is theoretically viable to conceptualize voice as a provocative behavior.

In fact, it seems likely that supervisors often regard employee voice as a welcome input, rather than uninvited interference (Burris, 2012). Nonetheless, I argue that, regardless of supervisors’ receptivity or openness to suggestions, many employees perceive voice as a risky undertaking and seek ways to avoid upsetting the supervisor by directly expressing opinions. This claim is based

on previous findings, which suggest that organizational members hold implicit theories about voice—subjective beliefs about what will happen if they express their opinions explicitly in the workplace—and those beliefs typically lead to self-censorship (Detert & Edmondson, 2011; Harlos, 2001). In other words, although voice *can* be welcomed in some cases, enacting voice in open fashion nonetheless involves great fear and uncertainty from employees’ perspectives. The current findings suggest that organizational members utilize various indirect strategies to minimize such risks associated with open expression of ideas in the workplace.

This process-centered perspective on voice strategy which has guided the current research (as opposed to the frequency-based perspective on whether employees speak up or not) directs attentions to the psychological, relational, and communicative dynamics underlying voice phenomena, and thereby evokes a number of theoretical questions that should be explored in future studies. For example, how do individuals with different dispositions and personality traits differentiate their use of voice strategies? What is the role of individuals’ metacognitive ability (e.g., situational judgment effectiveness; Chan, 2006)? Do the same employees use the same set of strategies across contexts, or do situational factors (e.g., leader-member exchange, or LMX, with the target or the topic to be voiced) have greater impact? Which strategy is more effective? These are just a part of the questions that readily come to mind along with the voice strategy typology developed in the current research, and they present stimulating frontiers for the future studies.

Or given that voice is an interactive process where not only employees but also managers play key roles, scrutinizing how the latter strategically solicits the former’s ideas should help expand the scope of voice studies (Tangirala & Ramanujam, 2012). That is, how is managers’ leadership or communication style related to their work group members’ voice strategy use? On this front, the literature on interpersonal communication theories should prove useful, as it provides a rich repository of insights into the complex interactive mechanisms of mutual influence and group dynamics (see, e.g., Knapp & Daly, 2011).

Another way to build on the current findings is methodological extension. It seems safe to assume that employees would utilize various voice strategies in combination, rather than just one strategy (e.g., use *waiting* or *peer-mediated communication* at first, and then shift to *cautious disclosure*); thus, exploring the complexity of voice strategy use through methods such as cluster analysis or latent

class analysis (Collins & Lanza, 2010) should provide a fruitful approach for future studies on employee voice.

Second of all, the current research has demonstrated the theoretical utility of a “non-Western” (i.e., Japanese) perspective to scrutinize voice phenomena. Most previous studies on employee voice are carried out in “Western” cultures. Arguably, this predominance by the Western perspectives is partly responsible for the narrow conceptualization of the voice construct. Kitayama and Markus (1999) posit that, for the Westerners, expressing oneself unwaveringly across contexts is deemed a proof of integrity, whereas what gauges one’s social competence for the Japanese is the ability to act adaptively for a given context (see also Kanagawa et al., 2001; Kim, 2002). This suggests

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that the existing literature’s focus on direct and assertive expressions might reflect the unique value orientations of the “Western” cultures. Thus, to expand the scope of the voice research, future studies should examine the linkage between employees’ cultural backgrounds and their voice strategy use. Such studies will clarify how culture is reflected on organizational members’ voice behavior (cf. Botero & Van Dyne, 2009). At the same time, they also will help identify culturally sensitive and effective ways to promote voice in a given organization.

Third, the current findings point to some theories that traditionally have not been associated with voice. For example, exploring employee voice from social network perspectives

(Bowler & Brass, 2006) seems promising as peers are found to play a remarkable role; individuals rehearse voice pitch with colleagues or implant their ideas to a peer who will eventually convey it to the target supervisor. Whereas the issue of peer influence does appear in the existing literature (e.g., Venkataramani & Tangirala, 2010), it is typically discussed as one of the antecedents, not an integral part of the voice process. Thus, integrating social network perspectives should help illuminate the previously unexplored aspects of voice phenomena. Or juxtaposing interpersonal and computer-mediated strategies might help inform media richness theory (MRT; Daft & Lengel, 1986). MRT suggests that interpersonal communication is more suitable for handling complex and socioemotional tasks, such as negotiations and conflict management. Intuitively, voice is a very complex and highly socioemotional undertaking

(Van Dyne et al., 2003). Why, then, do employees decide to use *computer-mediated communication* (CMC) for voicing? Exploring this anomaly seems an interesting path for further development of the literature on employee voice and MRT.

One may argue that the choice over computer-mediated versus interpersonal channels represents another dimension in the voice strategy dynamics, because individuals can use one channel or another to voice either assertively or cautiously. It should be noted, however, that the choice over channel per se is a strategic decision. Different channels entail different impressions and match given tasks differently (Rice, 1992). To the extent that such intangible differences of channels affect one’s considerations over how they should voice in the workplace and also impact how subsequent communication unfolds therein, CMC should be seen as qualitatively distinct from interpersonally enacted strategies. Future research should explore this issue of channel-approach interaction to further theorize about the voice strategy dynamics.

Limitations, Strengths, and Future Directions

Before concluding this article, limitations of the current research should be noted to qualify its contributions. First, the self-report methodology used throughout the four studies raises concern over the common-method bias (Podsakoff, MacKenzie, Lee, & Podsakoff, 2003). Such methodology is, however, typical for a measurement study. Thus, although cross-validation through other methods is certainly desirable, the use of self-report data per se should not be considered a fatal flaw. Further, to minimize the common-method variance, specific assessment methods to tap voice strategies were varied across studies (e.g., recall-based vs. hypothetical), and samples in each study were independently recruited.

Second, the current research collected data only in Japan. Although this provided a valuable non-“Western” backdrop (Kim, 2002), the cross-cultural generalizability of the findings needs to be tested in the future. Such examinations will not only help refine the voice strategy scale but also develop a more culturally inclusive theory of voice phenomena. Third, the current research only focused on “upward” voice behaviors. This limitation points to two distinct directions for future studies. On one hand, the future research should examine how individuals utilize voice strategies when they engage in lateral or downward voice (i.e., making constructive yet challenging suggestions to one’s peers or subordinate members). On the other hand, it will be fruitful to explore how the idea of voice strategy—that

employees utilize various strategies to enact voice in the workplace—fits the broader literature on upward communication.

In addition to those limitations, the current research had several strengths. First, the systematic multistudy design should be noted as an important strength of the current research. A second strength is the success in the initial corroboration of the nomological network. Study 4 examined three constructs representing a set of trait-dispositional antecedent, situation-specific predictor, and point-of-comparison construct. As such, the findings of Study 4 form a primitive framework that illuminates the psychological and behavioral dynamics related to voice strategy. Third, the wide variety of organizations and industries represented by the samples of the current research adds support for the generalizability of the findings.

Concluding Remarks

Employee voice has long attracted attentions as an essential mechanism for organizations to improve operation quality, gain edge for innovation

initiatives, and accomplish complex missions that require creative problem-solving (Bryson et al., 2006; Crant, 2000). The scope of the extant research is argued to be limited, however, because it narrowly defines voice from assertiveness-centered perspectives; consequently, it fails to recognize more subtle, nonconfrontational voice behaviors. The scale developed through the current research should help address this issue (Table III). It provides a useful typology for practitioners to identify a wide range of direct, indirect, and mediated voice approaches. It also marks a promising starting point for scholars to examine nuanced processes of the voice phenomena. As the world is becoming increasingly flat and the workforce culturally diversified, the ability to tune in to various notes of voice should distinguish excellent and thriving companies from the stalled and struggling. It is hoped that the current findings will stimulate practitioners and researchers in the future to use the voice strategy scale and explore the strategy-level voice dynamics from process-centered, culturally mindful perspectives.

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MBOとPM

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MBO (Management by Objectives) は、目標管理と呼ばれる経営管理の手法である。読んで字のごとく、目標によって業務を管理することがその役目である。

歴史をさかのぼれば、ピーター・ドラッカーが『現代の経営』(1954)で述べた「目標と自己統制による管理」に行き着く。はっきりした客観的な目標を立て、その達成に向けて計画を立て、担当者本人が自主的に実行し、その結果を評価するサイクルを回すこと。それは、ピエール・デュポン(デュポン社)やアルフレッド・スローン(ゼネラル・モーターズ社)が行ってきた、当時の新しい経営手法である。ドラッカーはそれを書籍にまとめ、目標管理(MBO)という名を与えた。

監督者の指示命令で管理するラインの統制があたりまえだった1950年代。その当時に、目標だけは組織の方針に合うように相談するが、あとは本人の裁量と自発性に委ねるという発想は画期的だった。現代では目新しさに欠けるが、担当者の自発性に頼り、責任と権限を委ねることは、経営哲学の転換を意味するものでもあった。

典型的な目標管理制度(MBO)では、①まず期首面談で、観察したり測定できる具体的な(数値)目標を、上司と担当者が相談して決める(目標設定面接)。②担当者本人は、合意した目標を達成するために、必要な行動計画を立て、自発的に実施に移すよう努力する(業務遂行)。③期中では、業務の進捗度をふまえ、上司はフィードバックと示唆・助言を与える(進捗確認・フィードバック)。

④期末になれば上司は、目標の達成度(達成率)の点から、担当者の成果や職務遂行の程度を評価する(目標達成度評価)。⑤その後、最終的にまとめられた評価結果を本人に通知したり、上司が面談を通して開示

する(結果の開示)。そして、⑥期末面談では、上司と本人が対面して、時期の取り組みに向けた指導と助言を与える(指導助言面接)。これが大まかな流れである(Odiorne 1979)。

目標管理制度(MBO)最大の利点は、目標を(相談のういで)自ら設定することによって、担当者が仕事の仕方を自分でコントロールし、その自己統制がモチベーションをもたらすことにある。スポーツの世界では、記録や勝敗の目標を立てれば、それに向けて選手が辛くて長い練習にも耐え、考えられないほどの努力をするというのあたりまえなことだから、納得できるだろう。

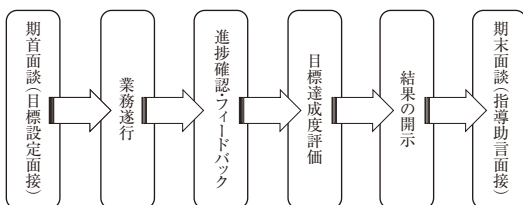
この制度は、成果主義の浸透に伴って普及してきた。仕事の成果に応じて処遇を決めるという方針を具体化するためには、労働時間や勤続の長さではなく、成果をベースにして管理を行うことが必要であり、それが目標管理の考え方にマッチしていたからである。ただし、多くの組織で導入されるようになると、評価の部分だけが独り歩きをしてしまい、マネジメントの施策というよりは、人事評価の役割だけが取りざたされるようになった。

一方、パフォーマンス・マネジメント(Performance Management: PM)は、組織やチームや個人の成果・業績を管理していく一連の活動をいう(Gruman and Saks 2011)。評価がその中心的な役割を担っているのは確かだが、その守備範囲はかなり広く、文字どおり、パフォーマンス(成果や業績)をマネジメントする方法の全体を指している(Armstrong 2000)。

ポスト成果主義にフィットした新しい人事評価の仕組みを模索するなかで、パフォーマンス・マネジメント(PM)が登場してきたので、人事評価制度の言い換えと感じられてしまう向きもある。しかし、もともと成果向上のための幅広いアクションを取り込んだものなので、評価の面だけを取り上げるのはまちがいだ。

パフォーマンス・マネジメント(PM)では、組織・チーム・個人のレベルで評価・測定されたデータや数字を重視する。バランス・スコアカードなどを使って組織全体の業績をコントロールする管理会計の影響を受けているため、「測定なしにはコントロールできな

図 目標管理制度(MBO)の標準的流れ



い」という会計的な発想が、ひとつの特長である。

チームや部下一人ひとりの成果（パフォーマンス）を高めるために、上司やプロジェクト・リーダーが管理（マネジメント）をする。そのとき、3つのキーワードに目を向けるのがよい。

第1は目標設定である。目標管理制度（MBO）とも共通するが、パフォーマンス・マネジメント（PM）もやはり、目標の設定から始まる。理想とするチームと個人のパフォーマンスは何か？ 達成すべき成果とは何なのか？「社訓」や「経営理念」などに示された組織全体の目標や方針に沿って、個人やチームの目標と成果基準を定め、上司と部下がそれを共有する。

第2はパフォーマンスをマネジメントするために、積極的にコーチングの技法を活用することである。管理職の責任といえ、部門全体の成果を達成することである。部門全体の成果が出なければ、いくら本人がいい人であっても、責任を取らなければならない。ただし、部門全体の成果を担っているのは、業務を担当しているチームメンバーなので、他者を通して全体の業務成果を達成しなければならないところに難しさがある。そこにマネジメントの意味がある。そのために、一人ひとりの部下が成果を出してくれるようにコーチングするのが、管理職としての役目なのだ。

サッカーの監督（コーチ）を思い浮かべるとわかりやすいだろう。チームとしての結果が出なければ、責任が問われる。チームの結果を握っているのは、現場（フィールド）で活躍する選手たちだが、結果の責任は監督の側にある。試合が始まってしまえば、ベンチワークが利く余地は少ない。だから、選手を通して結果を出すために、試合前日までに、裏方としてさまざまな努力を行うのが、監督の役目なのである。

第3は成果の測定とデータのフィードバックである。職務上のパフォーマンスについてのデータや数字を得て、それを対象者本人にフィードバックする。上司と部下の信頼関係は大切だが、データがなければ、指導助言という名のただの指摘となってしまう。相手を説得するには、しつけやモラルに頼るのではなく、エビデンス（証拠）がいる。属人的な能力や人間関係に頼らない、エビデンス・ベースの活動であることが特長なのである。

プレーヤーの課題をデータではっきりと示し、その対策を選手の身になって、一緒に考える。コーチとい

う職業は、チームメンバーに客観的データと情報を提供して、結果につなげるための努力と訓練を惜しまない。メンバーの能力を見極める評価者としての目も大事だが、コーチとして助言することのほうがより大切である。

サッカーでは、プレーの映像データが簡単に手に入る。映像を見ながらコーチングを行うのは、とても効果的である。一方、ふつうの仕事では、評価データがものをいう。そのために、目標管理（MBO）や360度多面評価など、すでにこれまで行っている評価を使い、本人にデータをフィードバックするのがよい。

いうまでもなく、パフォーマンス・マネジメント（PM）のカギは、管理職が握っている。管理職としてのスタンスは、部下の仕事ぶりや能力を評価するこれまでの立場から、エビデンスをベースにしたコーチングによって、本人に成果を出させるためにサポートする役割へと変わる。いわゆる評価者としての立場から、パフォーマンス・コーチへと、その役目を変えていかなければならないところがミソである。

目標設定とエビデンスとコーチング。「パフォーマンス・マネジメント（PM）の関数」は、この3つの変数を含んでいる。組織とチームと個人のパフォーマンスを決めるのが、PM関数である。だから、働きやすい職場や満足できる働き方のためのマネジメントではなく、肝心な仕事の成果を高めるためのマネジメントであることを、忘れてはならない。

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CONTEXTUALIZING LEADERSHIP: A TYPOLOGY OF GLOBAL LEADERSHIP ROLES

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CONTEXTUALIZING LEADERSHIP: A TYPOLOGY OF GLOBAL LEADERSHIP ROLES

Abstract

While the global leadership literature has grown rapidly over recent years, the context in which global leadership occurs remains ill-defined and under-conceptualized. This lack of contextualization risks equating global leadership roles that are qualitatively very different and prevents sufficient clarity for empirical sampling. To foster more cohesive theoretical and empirical work, we develop a typology of global leadership roles that considers context as a critical contingency factor. Drawing on role and complexity leadership theories, we propose four ideal-typical global leadership roles (incremental, operational, connective, and integrative global leadership) that differ in their (1) *task complexity* – characterizing the variety and flux within the task context, and (2) *relationship complexity* – reflecting the boundaries and interdependencies within the relationship context. We further delineate how these contextual demands relate to specific sets of behaviors and actions that allow global leaders to fulfill the requirements of their corresponding ideal-typical global leadership roles. Our paper concludes with a discussion of implications the typology presents for global leadership research and practice, contextualization of the leadership construct more broadly, and the field of international business.

Key words: Global leadership roles; typology; theory; complexity; leadership context

INTRODUCTION

As organizations continue to expand and coordinate their activities abroad, a growing number of individuals engage in global, geographically distributed and virtual forms of work (Hinds, Liu, & Lyon, 2011). For example, a survey by the Economist Intelligence Unit (2009) revealed that nearly 80% of executives participated in virtual work arrangements of some kind, while industry surveys expect substantial increases in global work relocations (PWC, 2010). As a result, the global context is increasingly difficult to escape for any leader, highlighting the increased pressures that organizations face to identify, attract, develop and retain individuals with the ability and motivation to exercise global leadership (Beechler & Javidan, 2007; Caligiuri & Tarique, 2009). Not surprisingly, the question of what characterizes global leadership has received growing attention, both in the corporate arena (Ghemawat, 2012; Reiche 2015) and in academic research (Adler, 2001; Mendenhall, Reiche, Bird, & Osland, 2012).

At the same time, the global context in which leadership increasingly occurs has been insufficiently reflected in the traditional leadership and international business literatures. Specifically, few leadership scholars have explicitly taken into account the context of leadership (e.g., Antonakis, Avolio, & Sivasubramaniam, 2003; Liden & Antonakis, 2009). Instead, as House and Aditya (1997: 445) pointed out, “it is almost as though leadership scholars [...] have believed that leader-follower relationships exist in a vacuum.” Domestic leadership research that has considered wider aspects of context has primarily focused on cultural aspects and indigenous leadership, with a prominent example being Project Globe (House, Dorfman, Javidan, Hanges, & Sully de Luque, 2014; House, Hanges, Javidan, Dorfman, & Gupta, 2004). While this has resulted in useful research findings, simply expanding domestic leadership research to incorporate cultural considerations risks overlooking other crucial elements of the global leadership phenomenon, such as broader contextual requirements and boundary crossing activities (e.g., Osland, Bird, & Oddou, 2012). An insufficient specification of the context in which leadership occurs is also reflected in the international business literature. Of particular concern is that scholars tend to do little more than link global leadership to leadership beyond the domestic context, as illustrated in definitions of

global leaders as executives who are “in a job with some international scope” (Spreitzer, McCall, & Mahoney, 1997: 7), who “can guide organizations that span diverse countries, cultures and customers” (Gregersen, Morrison, & Black, 1998: 23), or who have “global integration responsibilities in global organizations” (Suutari, 2002: 229).

The lack of contextualization of global leadership is problematic for several reasons. First, deficiency in explicating the underlying construct dimensions risks equating global leadership roles that are qualitatively very different—and hence comparing apples with oranges. McCall and Hollenbeck (2002) cautioned that not all global leadership roles are similar. For example, is it sensible to treat primarily domestic executives whose job description includes a narrowly defined international task as conceptually similar to high-level professionals with global integration responsibilities? Do people qualify equally as global leaders if their work requires virtual, as opposed to physical, global mobility?

Second, insufficient specification of the content domain of the global leadership construct has also prevented global leadership scholars from providing clarity in their sampling criteria. For instance, some researchers have used relatively simple selection criteria in their sampling, operationalizing global leaders simply as “having a global position (working only with global teams) and being responsible for leading these teams” (Story, Youssef, Luthans, Barbuto, & Bovaird, 2013: 2542), as “business managers representing different cultures and having had different exposures to international work experiences” (Li, Mobley, & Kelly, 2013: 38), or as “leaders at a specified pay grade or higher [...] who were labeled global leaders [by the organization]” (Caligiuri & Tarique, 2009: 340). Others, however, have included more stringent criteria in an attempt to differentiate among global leaders, such as “documented success as a global change agent,” “at least ten years of experience as a leader in their field” and “demonstrated intercultural competence” (Osland et al., 2012). The lack of a shared conceptualization of what is a multifaceted construct of global leadership not only prevents scholars from drawing meaningful conclusions across qualitatively different global leadership roles but also risks further fragmentation, which is not only a sign of an immature research domain, but also a serious barrier to future scientific progress (Pfeffer, 1993).

To address these shortcomings, we develop a typology of global leadership roles. Typologies differ from traditional theories in that they do not specify relationships between independent and dependent variables that are assumed to be consistent across all observed units of analysis but instead conceptualize multiple configurations of constructs that can determine a dependent variable (Doty & Glick, 1994). Typologies and configurational approaches are particularly useful for novel, emerging phenomena (Delbridge & Fiss, 2013) and have been used to conceptualize related constructs such as leadership in virtual teams (Bell & Kozlowski, 2002), transformational leadership (Tichy & Devanna, 1986), and global talent management (Morris, Snell, & Björkman, forthcoming). Drawing on the notion that leadership is a social process (Uhl-Bien, Marion, & McKelvey, 2007; Zaccaro, Foti, & Kenny, 1991), we conceptualize global leadership as the processes and actions through which an individual influences a range of internal and external constituents from multiple national cultures and jurisdictions, and we consider context as a key contingency factor (Doty & Glick, 1994) that differentiates ideal-typical global leadership roles. In particular, we propose four ideal-typical roles that differ in their (1) *task complexity* – characterizing the variety and flux within the task context of a global leadership role, and (2) *relationship complexity* – reflecting the boundaries and interdependencies within the relationship context of a global leadership role. In the following sections, we theorize about the conceptual space of these ideal-types, their constituting constructs, and corresponding behaviors and activities. We conclude with a discussion of the theoretical, methodological and practical implications of our typology for the field of global leadership and beyond.

LEADERSHIP AS A META-LEVEL CONSTRUCT

Over the better part of the 20th century to the present, leadership scholars have spent a considerable amount of time attempting to define their focal construct of study. As Day and Antonakis (2011: 5) state, “leadership is often easy to identify in practice, but it is difficult to define precisely. Given the complex nature of leadership, a specific and widely accepted definition of leadership does not exist and might never be found.” Despite the wealth of different conceptualizations of leadership, scholars

seem to agree that leadership entails a process through which one person exerts influence over other individuals to guide, structure, and facilitate task completion and relationships in a collective (Yukl, 2006). In other words, the meta-level construct of leadership came to be viewed as a social process that involves certain activities and behaviors through which a leader can achieve external influence (Uhl-Bien et al., 2007; Zaccaro et al., 1991).

The social influence process inherent in the meta-level construct of leadership includes different internal constituents such as followers and peers, but also a range of external constituents (e.g., regulators, government agencies, customers, suppliers, business partners, government-community partnerships, NGOs, community leaders) for two reasons. First, evidence suggests that relationships with other constituents influence the nature of the relationship between leaders and their followers (Mehra, Dixon, Brass, & Robertson, 2006; Tangirala, Green, & Ramanujam, 2007). This is particularly important given the growing number of leadership roles that do not always involve face-to-face contact with followers (Hill & Bartol, 2016). Second, integral to the meta-level construct of leadership is that it involves influence on individuals, groups and even organizational units within and beyond the boundaries of the leader's own organization, for example by representing the organization in the wider community, building trusted relationships with external partners, or developing inter-organizational alliances (Balkundi & Kilduff, 2006). In fact, as work demands are shifting from primarily task or managerial duties to communicating vision, building community and leading change, more individuals across more levels of the organization find themselves engaged in leadership, despite lacking formal authority to do so (Bird & Mendenhall, 2016).

This conceptualization also allows for the differentiation of leadership from management. While the majority of the traditional leadership literature has studied leadership in formal, often managerial roles with a focus on administrating, coordinating and structuring organizational activities (Bedeian & Hunt, 2006), scholars have pointed to the importance of leadership activities that reach beyond a particular managerial role to entail influence and exchanges throughout and beyond the wider organization (Uhl-Bien et al., 2007). Management and leadership have also been viewed as being differentiated

behaviorally, despite controversy surrounding the degree of overlap between the two (Yukl, 2006). Leaders promote and cope with change, while managers focus on stability and the status quo (Zaleznik, 1977; Kotter, 1990; 2001). These are complementary but not interchangeable functions. Managers possess the legitimate authority to lead, but may lack leadership vision and skills; in contrast, not all leaders require a title, high-level position or formal authority to behave as a change agent (Kotter, 2013). Bennis (1989, p. 7) wrote: “Leaders conquer the context—the volatile, turbulent, ambiguous surrounding that sometimes seem to conspire against us and will surely suffocate us if we let them—while managers surrender to it.”

The difficulty in distinguishing and defining the construct of leadership and the varied perspectives that characterize the field bring to mind the Indian parable of the blind men and the elephant (Saxe, 1878). Like the blind men, the proliferation of leadership definitions may well have its roots in context—the physical and social environment in which leadership is observed (Liden & Antonakis, 2009). Context determines the boundary conditions and hence the suitability of specific behaviors and activities through which a leader can achieve external influence. Accordingly, while any form of leadership, e.g. whether purely domestic or global, entails an influence process of internal and external constituents, each will differ as a function of its specific contextual characteristics. In the following, we first review leadership research on the role of context and then offer a working definition of global leadership.

What Do We Talk About When We Talk About Global Leadership?

While it has been common to highlight the role of context for leadership since Fiedler’s (1967) contingency model of leadership effectiveness, the question of how exactly contextual conditions influence leadership remains under-researched. For example, in their review of 15 years of leadership research Porter and McLaughlin (2006) identify a lack of consistent, focused attempts to systematically examine the interplay of the organizational context and leadership. Similarly, in their introduction to a Special Issue in *Human Relations*, Liden and Antonakis (2009) lament the scarce consideration of context in the leadership domain. This may be partly due to the fact that leadership researchers primarily examine

specific contingencies such as disruptive events (Morgeson, 2005) rather than the broader contextual space. Leadership researchers who have begun to account for the global context in which leadership occurs have primarily adopted a cultural, comparative lens, applying a preferred leadership theory across cultural borders, or incorporating cultural dimensions into their research (e.g., House et al., 2014; Javidan & Carl, 2004; Koch, Koch, Menon, & Shenkar, 2016). Their emphasis tends to focus less on the broader global context and more on identifying indigenous theories of leadership or testing extant theory across cultures, which is a comparative leadership approach. Their findings are extremely useful in helping global leaders understand the expectations of their multicultural constituents. However, comparative leadership has not informed the development of the global leadership field because its use of context has been for purposes of highlighting differences without necessarily exploring the context-leader behavior relationship in and of itself. Based on reviews of global leadership research, Osland (2013a) frames comparative leadership as one of four multidisciplinary roots of global leadership (along with intercultural competence, expatriation, and global management). Leadership is missing from this list because the original scholars in this field were primarily international business researchers who approached global leadership as an emerging phenomenon. Their goal was to better understand the global context and how leaders navigated the challenges of that context than to explore extant theories of leadership in a newly emerging context. For example, Adler (2001) attempted to clarify the construct boundaries following the first global leadership research that appeared in the 1990s:

Global leaders, unlike domestic leaders, address people worldwide. Global leadership theory, unlike its domestic counterpart is concerned with the interaction of people and ideas among cultures rather than with either the efficacy of particular leadership styles within the leader's home country or with the comparison of leadership approaches among leaders from various countries—each of whose domain is limited to issues and people within their own cultural environment. A fundamental distinction is that global leadership is neither domestic nor multidomestic (Adler, 2001: 77).

Despite her efforts to specify what global leadership is and is not, current global leadership research samples still comprise a bewildering array of expatriates, global managers, people who do any type of global work, as well as nominated effective global leaders (Osland, Li & Wang, 2014). Taken together, the global leadership field has not yet convincingly answered the question of what is and is not global leadership (Mendenhall et al., 2012).

In the organizational behavior field more generally, it has been common to differentiate between task and relational (or social) components of context (e.g., Johns, 2006). While Johns (2006) also theorizes about the situational context, the leadership literature has predominantly distinguished between task and relationship elements as contexts for leadership (e.g., Blake & McCauley, 1991; Stogdill, 1974) and situational leadership as a behavioral response (e.g., Hersey & Blanchard, 1982). Specifically, we define the task context with respect to global leadership as the environmental conditions and elements that are relevant for leaders to conduct their specific responsibilities, including available resources, organizational and institutional structures, or relevant constituents. The relationship context, in turn, concerns the characteristics of specific exchanges with other constituents, such as social network structure or social density, for leaders to fulfill their responsibilities (Johns, 2006). Note that although the task elements may include constituents that have a bearing on a leader's responsibilities (e.g., different reporting lines in the organization), the task context, in contrast to the relationship context, does not concern attributes of specific relationships or actual exchanges with these individuals. The limited research that has considered the context in which traditional leadership occurs can be mapped onto these two broad categories of context. For example, previous studies have considered aspects of the task context including environmental risk or hierarchical level (Antonakis et al., 2003), disruptive events (Morgeson, 2005), and organizational culture (Erdogan, Liden, & Kraimer, 2006). Similarly, scholars have examined a few attributes of the relationship context such as the quality of leader-member exchanges (Graen & Uhl-Bien, 1995), centrality in friendship networks (Mehra et al., 2006), and the effect of leaders' upward relationships with their bosses on exchanges with their followers (Tangirala et al., 2007).

We propose that the task-relationship dichotomy of leadership context is also useful to conceptualize global leadership. From a task perspective, previous work has focused on increased task responsibilities (Suutari, 2002) and environmental variety (Beechler & Javidan, 2007) that global leaders confront. Scholars have also pointed to the increased levels of cognitive complexity that these features demand (Herman & Zaccaro, 2014; Osland, Oddou, Bird & Osland, 2013). More broadly, scholars seem to agree that global leaders encounter task conditions that are substantively different from those that domestic leaders face (Osland et al., 2012). This is a consequence of operating simultaneously in multiple environments that require continuous updating and integration of this contextual knowledge for decision-making (Levy, Beechler, Taylor, & Boyacigiller, 2007). For example, global leaders learn to master paradoxes (Holt & Seki, 2012) and dualities (Gregersen & Black, 1992) such as the global/local focus. Taken together, this suggests that global leadership is characterized by significant complexity in the task environment. We therefore refer to the first dimension of global leadership as *task complexity*, and define it as the demands emanating from the environmental conditions and elements relevant for global leaders to conduct their specific responsibilities.

From a relational perspective, research has begun to examine the specific characteristics of interactions in which global leaders engage. Scholars have broadly characterized such interactions as boundary spanning activities, which may involve the crossing of organizational, industry, market, cultural, national, economic and/or institutional boundaries (Beechler, Sondergaard, Miller, & Bird, 2004; Kostova & Roth, 2003). Such interactions often entail the sharing of leadership responsibilities with other constituents (Hill & Bartol, 2016) and the need to adapt communication media choice across interaction contexts (e.g., Tenzer & Pudelko, 2016). Similarly, Mendenhall et al. (2012) pointed to both the quantity and richness of information flows between a global leader and other constituents—often through multiple types of communication channels—as salient relational aspects. Global leadership hence also constitutes significant complexity in the relationship environment. We label this second dimension of global leadership *relationship complexity*, and define it as the demands emanating from the characteristics of the exchanges that global leaders maintain with other constituents to fulfill their specific responsibilities.

Global Leadership Defined

Conceptualizing global leadership as any form of leadership that reaches beyond the domestic context, as previous research has mainly done (e.g., Gregersen et al., 1998; Spreitzer et al., 1997; Suutari, 2002), leaves tremendous variability in the roles and responsibilities that global leadership encompasses. We contend that theorizing about the global context will enable greater conceptual precision in differentiating among global leadership roles and enable scholars to better position their own research sample within the global leadership domain through clearer framing of research questions and identification of more appropriate samples. Drawing on our previous arguments, we define global leadership as

the processes and actions through which an individual influences a range of internal and external constituents from multiple national cultures and jurisdictions in a context characterized by significant levels of task and relationship complexity.

Note that our definition goes beyond formal positions or job titles to include any person who influences a range of internal and external constituents from multiple national cultures and jurisdictions, reflecting an increase in the number of individuals across different organizational levels engaged in leadership activities (Bird & Mendenhall, 2016). Further, while the social influence process involves spanning national cultures and jurisdictions, global leadership does not necessarily entail the crossing of multiple continents (e.g., a leader who works across multiple cultures and jurisdictions within Asia, within Europe, or within the Americas is involved in global leadership). This, we argue, is rather a question of extent of range or scope of social influence processes. Finally, we recognize that global leadership likely differs according to the requisite levels of task and relationship complexity of a particular context, highlighting the need to differentiate between global leadership roles.

Our definition of global leadership further entails differences from purely domestic leadership in both degree and kind. From a task perspective, global leadership greatly increases the valence, intensity and complexity of key task contextual conditions given the larger number of, and more manifold, change

among relevant task elements (Osland & Bird, 2006). In their comparison of U.S. versus global executives, McCall and Hollenbeck (2002) found a difference in the extent to which global leaders need to approach their business environment, especially with respect to government and society. These differences in degree may also accumulate to a difference in kind, for example when exposure to complex task conditions produces new mental models and worldviews (Osland et al., 2012). From a relationship perspective, global leaders likely encounter a greater number of relevant constituents both internal and external to the organization and across borders, including different regulators, government agencies, customers or other business partners (Beechler & Javidan, 2007; Osland, Bird, Osland, & Oddou, 2007). Differences in kind exist because the structure and substance of relationships is likely distinct from purely domestic leaders. Structurally, global leaders cross a wide range of boundaries, including national locations, cultures, and institutional systems (Gregersen et al., 1998; Osland et al., 2013), which purely domestic leaders do not. Such border crossing may cause global leaders themselves to develop multiple identities (Shipilov, Gulati, Kilduff, Li, & Tsai, 2014), qualitatively different self-concepts (Herman & Zaccaro, 2014), and distinct intercultural competencies (Stevens, Bird, Mendenhall, & Oddou, 2014). Global leaders will also develop qualitatively different exchanges with relevant constituents given physical and temporal distance (Hill & Bartol, 2016).

Finally, our conceptualization of global leadership is related to, yet distinct from, other constructs. For example, the literature has discussed cognitive orientations such as a global mindset that help individuals to successfully navigate cross-border settings (e.g., Levy et al., 2007). Levy and colleagues (2007) conceptualize global mindset as a cognitive structure that enables an individual to balance different strategic realities and interact with cultural others at both global and local levels. In that regard, the strategic and cultural dimensions are similar to the distinction between task and relationship complexity of the global leadership context. However, while global leadership is an external influence process, global mindset is an intrapersonal capability. Another related construct is global identity, which concerns an individual's sense of belonging to a worldwide culture that transcends national cultural boundaries and varies from host- or home-country identities (Erez & Gati, 2004). Although self-concept-based leadership

theories (Shamir, House, & Arthur, 1993) emphasize the importance of social identification, global identity serves as a predictor or a consequence rather than a defining characteristic of global leadership.

TYPOLOGIES AS A MEANS FOR THEORY DEVELOPMENT

The main aim of classification systems is to organize units of study by generating overarching categories that share relevant similarities on a number of underlying dimensions. They are thus an essential intellectual strategy for generating theoretically meaningful categories (Biggart & Delbridge, 2004). In this regard, simple classification schemes and taxonomies order phenomena into mutually exclusive, independent and exhaustive categories and provide a number of discrete decision rules for classification. By contrast, typologies are more than simple classification systems. They are conceptually derived, interrelated sets of ideal-types, each of which constitutes a unique combination of attributes that will determine relevant outcomes. Instead of providing discrete decision rules for classification, typologies assess how the level of similarity of a particular case with an ideal-type relates to a given outcome. They are therefore actual theoretical statements that allow for empirical testing (Doty & Glick, 1994). Two of the most well-known typologies are Prahalad and Doz's (1987) differentiation of multinational corporation (MNC) strategies in the face of pressures for global integration and local responsiveness, and Miles and Snow's (1978) categorization of business-level strategies (prospector, defender, analyzer, and reactor), which have both triggered extensive research streams.

Specifically, typologies are an important tool for making theoretical distinctions between elements of complex phenomena. This is especially relevant for nascent academic disciplines or emerging phenomena, where a systematic classification of a phenomenon's core elements can deliver the building blocks for further theory development (Delbridge & Fiss, 2013; Snow & Ketchen, 2014). We contend that the global leadership field would benefit from such typological theorizing for two reasons. First, reviews of the global leadership literature consistently note that the field is theoretically underdeveloped and difficult to synthesize (Jokinen, 2005; Mendenhall et al., 2012). This may be partly due to the theoretical breadth of the leadership construct itself, which results in conceptual imprecision (Pierce & Newstrom,

2011). However, this is also a result of the wide range of roles that global leadership is thought to encompass as a function of contextual variation. The advantage of typologies over traditional theories is that they explicitly allow for equifinality, i.e., modeling multiple patterns through which constructs can determine a dependent variable of interest (e.g., effectiveness), rather than specifying relationships between independent and dependent variables that are assumed to be consistent across all observed units of analysis. For example, Miles and Snow (1978) identified three distinct ideal-types of organizations that are thought to entail maximal effectiveness. In addition, typologies usually involve contingency factors that restrict the choice of a particular ideal-type (Doty & Glick, 1994). In the case of global leadership, context is a critical contingency that affects the type of behaviors and activities necessary to influence others. Second, typologies do not develop hypotheses describing how unidimensional constructs relate to a particular dependent variable, but rather hypothesize relationships between the level of similarity of an actual unit of analysis to an ideal-type and the dependent variable (Doty & Glick, 1994). For example, the same set of behaviors of a global leader may have different outcomes depending on the particular role requirements a global leader confronts.

Below, we develop four ideal-types of global leadership roles by theorizing about a set of unidimensional, first-order constructs that form the building blocks used to characterize each ideal-typical role, and we articulate how the contextual demands relate to specific sets of behaviors and actions in delineating the four ideal-typical roles.

A TYPOLOGY OF GLOBAL LEADERSHIP ROLES

Drawing on the argument that leadership in general (Liden & Antonakis, 2009) and global leadership in particular (Osland et al., 2012; Mendenhall et al., 2012) depends on the context in which it occurs, we conceptualize context as a critical contingency factor that determines specific global leadership roles and their requirements. Our contention that context affects the requirements of global leadership roles is consistent with role theory (Kahn, Wolfe, Quinn, Snoek, & Rosenthal, 1964; Katz & Kahn, 1978). The core tenet of role theory is that individuals assume different roles as they participate in various social

structures (Biddle, 1986; Katz & Kahn, 1978). Within each role that a person takes on, there are role requirements that reflect characteristic behaviors that the role incumbent is expected to perform. These could be tasks, responsibilities, and activities that other constituents within the role expect the role-taker to perform (Katz & Kahn, 1978). For example, followers may expect their leaders to provide regular feedback and show concern in order for leaders to achieve their influence (Whitener, Brodt, Korsgaard, & Werner, 1998). Therefore, performing in a particular role entails not only accepting role tasks, but also successfully navigating relationships with other constituents within the role (e.g., followers, clients, etc.).

In line with role theory and our earlier differentiation between task and relationship dimensions of leadership context, we propose that global leadership roles vary as a function of the levels of task and relationship complexity. Central to typological theorizing are unidimensional constructs that are the building blocks of traditional theoretical statements (Delbridge & Fiss, 2013; Snow & Ketchen, 2014). As Doty and Glick (1994) argue, these first-order constructs serve to describe each ideal-type and need to be theoretically specified. In the following, we therefore conceptualize two first-order constructs each for both task complexity and relationship complexity to delineate our typology, before developing four ideal-typical global leadership roles and examples of their corresponding behaviors and actions.

First-Order Constructs

Complexity leadership theory (Uhl-Bien et al., 2007) provides a theoretical basis for our first-order constructs. It was developed to frame leadership as a complex interactive dynamic from which adaptive outcomes emerge. Specifically, it discusses the variable, changing, and interdependent demands that emanate from the context in which leadership occurs. It views leadership as an administrative function that responds to the *variable* demands of different task domains, an adaptive function that initiates and reacts to necessary *change*, and an enabling function that manages the interactions with and entanglement, or *interrelations*, among relevant constituents in the leadership context (Uhl-Bien et al., 2007). While the administrative and adaptive functions primarily focus on the task context within which leadership occurs, the enabling function reflects the specific relationship characteristics. Further, global

leadership scholars have highlighted that relationship complexity not only derives from the interdependencies among specific constituents but also involves a spatial dimension that represents the degree to which leaders need to cross *boundaries* in order to navigate relationships with relevant constituents (Mendenhall et al., 2012). We therefore conceptualize variety and flux as foundational constructs of task complexity, and boundaries and interdependence as foundational constructs of relationship complexity.

Variety refers to the diversity of models and manifestations of organizing, competing, and governing along with their attendant actors (Lane, Maznevski, & Mendenhall, 2004). It not only comprises the *number* of fundamental elements of the task environment, such as business units, competitors, customers, regulatory regimes, languages or religions but also the *degree of variation* within each element. For example, a global leader will face qualitatively different challenges in a multi-lingual environment as opposed to a bi-lingual setting. Variety thus reflects the combination of quantity and range of different task conditions that global leaders confront in a particular role.

Flux is the degree to which change in elements of the task environment is destabilizing, and includes three facets: the frequency with which it occurs, its intensity, and its degree of unpredictability. Specifically, changes occur at different times across different locations, often at different velocities and in different directions, making leadership of global change a balancing act (Lane et al., 2004). Scholars have also highlighted that perceptions of what constitutes change, especially destabilizing change, and the suitability of change interventions are not culturally universal (Osland, 2013c; Weick & Quinn, 1999), increasing the unpredictability of change. For example, individuals in less future-oriented cultures tend to be more averse to change, even incremental change (House et al., 2004). Similarly, the degree of local contextualization required in the roll-out of a global change initiative can be difficult to predict in advance.

Boundaries reflect a particular configuration of social structure. The literature has highlighted boundaries as a requisite characteristic of the relational context of global leadership (Beechler & Javidan, 2007; Osland et al., 2007). Specifically, the relationship complexity of a global leadership role may

derive from interactions that cross a number of different boundaries, including functional, organizational and geographic (Kostova & Roth, 2003). In addition to such physical boundaries, global leaders also face identity-based boundaries that reflect the social identifications attached to different local environments (Butler, Zander, Mockaitis, & Sutton, 2012; Herman & Zaccaro, 2014). For example, research suggests that subsidiary managers face pressures of dual identification with the local subsidiary and the wider MNC (Vora & Kostova, 2007). However, boundaries differ not only in terms of their *number* but also in terms of their degree of variation. Indeed, there is evidence that the travel time—rather than geographic distance per se—between two respective locations affects the cost of engaging in cross-border activities (Boeh & Beamish, 2012).

Interdependence concerns the worldwide movement and interconnectedness of constituents and their relevant resources such as information (Lane et al., 2004; Uhl-Bien et al., 2007). Similar to boundaries, interdependence not only refers to the number of interconnections among relevant constituents in a global leadership role, but also to their degree of interdependence. Specifically, greater levels of interdependence require more coordination and sharing of resources through interactions with constituents both in the organization's internal and external environment. For example, R&D activities in MNCs are increasingly located at the level of various subsidiaries and require close cross-unit collaboration (Mudambi & Navarra, 2004). Externally, this is reflected in MNCs facing multipoint competition and global clients who require strategic responses as an integrated whole (Prahalad & Doz, 1987).

Global Leadership Role Ideal-Types

Based on the two foundational dimensions of task and relationship complexity and their four first-order constructs, we develop a typology that distinguishes among four ideal-typical global leadership roles and their corresponding behaviors and actions (see Figure 1). For the sake of theoretical parsimony, we differentiate the four ideal-types according to low and high levels of task and relationship complexity. Further, although this is not a theoretical necessity in typological theorizing (Doty & Glick, 1994), we would expect the two first-order constructs that pertain to the same contextual dimension (e.g., variety and

flux for task complexity) to correlate and, hence, have similar requisite levels for each of the four ideal-types. For example, low levels of variety as reflected in a small number of and little variation among locations, competitors, and regulatory regimes will also limit the potential divergence of change efforts (flux). Further, the relationships among constructs between the task and relational dimensions depend on the particular ideal-type and, as we argue, are greatest for the integrative global leadership role.

In accordance with typological theorizing, we do not conceptualize relationships between individual independent and dependent variables. Instead, as noted previously and in line with role theory (Katz & Kahn, 1978), we consider that global leaders need to engage in particular behaviors and activities that are expected of them in order to fulfill the requirements and set of responsibilities of a particular global leadership role. Consistent with our task-relationship dichotomy of contextual demands, we broadly categorize leadership behaviors and actions into those concerned with task accomplishment (i.e., task-focused) and those that facilitate the development and maintenance of relationships (i.e., person-focused; Fleishman et al., 1991). While scholars have also suggested change-oriented and external behaviors as separate behavioral categories (Yukl, 2012), we subsume change-oriented behaviors under the task-oriented category based on our conceptualization of flux. Given our definition of global leadership as an influence process of both internal and external constituents, we would expect that external behaviors are necessary to meet any global leadership role requirements. Figure 1 lists example behavioral sets for each of the four ideal-typical roles, together with example roles.

-Insert Figure 1 about here-

Incremental global leadership role

The first ideal-typical role, *incremental global leadership*, is characterized by low levels of task and relationship complexity. This ideal-typical global leadership role occurs in a task and relationship context that is uncomplicated, transparent, stable, predictable, and socially bounded. Specifically, this role involves responsibilities that are primarily technical in nature, characterized by a high degree of specialization, and entail a limited number and scope of necessary interactions. In contrast to purely

domestic leadership, an incremental global leadership role reaches beyond to different national cultures and jurisdictions and is slightly more complex (hence the name, incremental). However, the task conditions are characterized by a relatively small number of elements (e.g., selling products internationally only through license agreements), and low variation within each element (e.g., international presence is limited to the same language region). In terms of flux, we consider the incremental global leadership role to occur in fairly stable environments with limited external demands for driving global change efforts, and where role requirements involve only a few different locations (thereby limiting the potential divergence of change efforts or their implementation in each location). Demands emanating from the relationship context are similarly limited. A global leader in the incremental global leadership role encounters cross-border interactions that are restricted to very few groups of constituents (e.g., franchisees with little global dispersion), which reduces the number and variation of physical and identity-based boundaries. Given the focus on technical responsibilities with a high degree of specialization, the number and degree of interdependencies will also be low. An example might be an export director in a company that sells its products internationally only through license agreements to a small number of foreign countries. This individual would be dealing with very few constituents abroad, the license agreements would limit the degree of flux encountered, and relevant interactions would involve few boundaries and relatively little interdependence. The incremental role may thus include global domestics as delineated in the literature (Shaffer, Kraimer, Chen, & Bolino, 2012) to the extent that these individuals engage in influencing internal (e.g., followers) and external (e.g., suppliers) constituents.

Global leaders in an incremental global leadership role are expected to perform certain behaviors and actions to fulfill their role requirements. However, given the relatively low demands emanating from the task and relationship contexts, individuals in this role should encounter a relatively narrow set of role requirements and hence require a relatively narrow behavioral repertoire. For example, given that the task context is limited to mainly technical responsibilities, global leaders in this role will engage in task-focused behaviors that set clear and measurable objectives, assess their level of achievement, and focus on technical innovation. They will also create visions that are narrow in scope. Because flux demands are

low, global leaders in this role will primarily lead incremental change efforts. Further, the limited number of boundaries and interactions that are socially bounded allow for ample personal contact with relevant constituents, which makes it less challenging to engage in person-focused behaviors that nurture relationships. Settings with low levels of interdependence can generally be led through structural arrangements such as designing and implementing formal reporting relationships and standard operating procedures (Kostova & Roth, 2003), thereby pointing to the use of more routinized and standardized forms of communication.

Operational global leadership role

We conceptualize the *operational global leadership role* as an ideal-type that involves high levels of task complexity and low levels of relationship complexity. This ideal-type faces high cognitive demands that arise from highly complex task conditions. This complexity may, for example, stem from substantial environmental variety, as reflected in a wide range of regulatory bodies distributed across different countries or a high number of different customers and high variation in customer needs. An operational global leadership role is also characterized by high levels of flux, for example, due to a rapid pace and divergence of regulatory change across markets. At the same time, the relationship complexity in this ideal-typical role is low. For instance, while a firm's production system may be interlinked with outsourced transportation companies and customers in different countries, integration systems that run smoothly have previously been established, reducing the need for a global leader to engage in continuous and frequent boundary spanning. This role also involves relatively fewer identity-based boundaries because constituents both internal and external to the focal organization may share common sources of identification, as in the case of inter-organizational alliances or because constituents have developed a shared language despite linguistic variation (Reiche, Harzing, & Pudelko, 2015). The number and degree of interdependencies will be similarly low, for example, because interdependencies occur primarily through contractual arrangements rather than personal exchanges, or because relationships with

constituents are relatively stable due to low attrition and turnover, despite high levels of flux in the task environment.

An example is a leader of product development in a firm providing financial services to global customers. The range of financial regulatory bodies in different countries, the number and variety of customers and customer needs, and the pace of regulatory change in this domain would render the tasks in this role highly complex. At the same time, financial services can be handled in a more standardized manner and hence involve relatively few physical boundaries and less frequent face-to-face interactions. The global scope of standardized financial products and similarity in investment motives would also reduce the number and variation of identity-based boundaries. As a result, relationship complexity would likely be low.

Global leaders in an operational global leadership role are expected to perform behaviors and actions that primarily concern fulfilling their task-related role requirements and therefore are mainly task-focused in nature. Specifically, given high levels of variety, global leaders need to deal with what Meyer and colleagues call multiple embeddedness across heterogeneous contexts (Meyer, Mudambi, & Narula, 2011). At the MNC level, this involves exploiting the differences and similarities of multiple host locations; at the subsidiary level, it entails balancing internal embeddedness within an MNC network vis-à-vis their external embeddedness in the host country context. This also involves handling potentially opposing interests (Beechler & Javidan, 2007; Osland et al., 2007), for example in the case of simultaneous competitive and collaborative arrangements between different organizational constituents (Tsai, 2002) that require different strategic responses. As a result, operational global leaders need to locally adapt task-focused leadership behaviors that Yukl (2012) identified for traditional leaders, including task prioritization, resource allocation, monitoring and problem solving. In addition, they need to scan, process and attend to disparate and often contradictory pieces of operational information and continuously update and analyze this information for decision-making purposes. Finally, while this global leadership role requires consideration of flux in more environments and greater unpredictability in change

results, relatively little interdependence reduces the need to adapt a given global change locally. Instead, it requires an allowance for and leading of different operationally-focused change efforts at local levels.

Connective global leadership role

We consider *connective global leadership* an ideal-typical role that is characterized by low task complexity and high relationship complexity. While leaders in this ideal-typical role operate in task contexts that are specialized and clearly bounded, they face high demands for social flexibility. This is because key constituents are geographically dispersed (e.g., distributed work), and culturally, linguistically, functionally, and institutionally diverse. In many cases, this ideal-typical global leadership role entails multiple physical boundaries—for example, when members of a cross-divisional project team are dispersed across different locations. In addition to physical boundaries, this ideal-typical role also involves identity-based boundaries, either because it involves distinct responsibilities across relationships with different groups of constituents (Friedman & Podolny, 1992) or because it requires dealing with different sources of identification held by relevant constituents (Vora & Kostova, 2007). Interdependencies are equally high given a relatively large number of relevant constituents, or because there is a need to interact with a changing range of constituents (e.g., fluctuating alliance partners, team members or suppliers across different markets).

By contrast, this ideal-typical role experiences low levels of task complexity. Even though specific exchange partners may be culturally, linguistically, functionally or institutionally diverse, the overall environmental variety is low; task conditions are focused, reducing the number of relevant elements (e.g., few business units, customer groups or regulatory bodies). The level of flux is also low because task requirements are recurring and/or stable (e.g., globally standardized products or services). An example is a leader of a globally distributed team that handles a company's back office. While this team's task is mainly internally focused, limiting the level of task complexity, the geographic dispersion of team members would require the global leader to engage in regular and close interactions across a wide

range of departmental, functional, cultural, linguistic and institutional boundaries, and maintain high levels of interdependencies with the constituents.

Global leaders in a connective global leadership role are expected to perform behaviors and actions that primarily concern fulfilling their relationship-related role requirements and therefore are mainly person-focused. Specifically, they need to familiarize themselves with distinct cultural, linguistic, functional, and organizational interaction contexts and continuously adapt and respond to different exchange partners' behaviors and expectations. They also need to develop and maintain both frequent and close interactions with their relevant constituents (Kostova & Roth, 2003). However, given the breadth and dispersion of their constituents, leaders need to use virtual communication technologies that include both synchronous means like telepresence and other asynchronous media (Miranda & Saunders, 2003). The latter is particularly important if contact time with each respective constituent is limited given wide geographical dispersion, and when cognitive resources are tied up with language processing in multilingual settings (Tenzer & Pudelko, 2016). Relationship maintenance demands may also elicit more face-to-face interactions, requiring more frequent travel. Existing challenges to develop and maintain frequent and close relationships with relevant constituents across boundaries further entail the potential for social frictions, which may reduce a leader's influence (Cramton, 2001; Gajendran & Joshi, 2012). Social frictions can, however, have both negative and positive effects (Shenkar, Luo, & Yeheskel, 2008). Indeed, distance has been shown to lead decision-makers to prepare and plan more extensively for foreign activities or to actively anticipate differences and potential misunderstandings (Evans & Mavondo, 2002). Global leaders in a connective role may similarly benefit from social friction. By crossing a wide array of boundaries, these individuals learn and become accustomed to continuously adapting their behavior, an activity called 'code-switching' (c.f., Molinsky, 2007) to exert culturally appropriate influence; they leverage cultural differences creatively in their influence attempts (Osland et al., 2013). Further, extrapolating from research on multicultural learning, previous boundary spanning may also increase creativity for effective problem solving (Maddux, Adam, & Galinsky, 2010).

Integrative global leadership role

Finally, we conceptualize the *integrative global leadership role* as involving high levels of both task complexity and relationship complexity. This ideal-typical role faces intense demands that arise from a need to respond to multifold, variable and changing task conditions while also constantly adjusting to exchange relationships across a wide and dispersed range of relevant constituents. As a result, the demands from the task and relationship contexts commingle to further raise the contextual embeddedness of this ideal-typical role. For example, an MNC may face a variety of institutional environments that encompass different regulations, cultural norms, labor standards and educational systems that each exert pressures for gaining local legitimacy. The potentially conflicting institutional pressures may exacerbate internal inconsistencies in the wider organization (Kostova & Zaheer, 1999). Global leaders in this role therefore need to reconcile and actively deal with potential tradeoffs between maintaining legitimacy with an MNC's respective external constituents, including customers, governments and other constituents, and internal legitimacy in terms of the acceptance and approval of an organizational unit by specific constituents in other parts of the organization. Similarly, high variation among the different elements in the task environment (e.g., followers, business units, countries, languages, suppliers, regulators, communities, etc.) may be reflected in necessary interactions with specific constituents related to each of these elements. For example, a global leader may need to maintain close personal contact with the same suppliers across different product categories and countries. At the same time, the breadth and dispersion of relevant constituents makes it more difficult to nurture such contact.

The integrative global leadership role will also experience higher levels of environmental flux and can be expected to operate across what Ancona, Okhuysen and Perlow (2001) refer to as different *types* of time. For example, the decision to search for a new supplier at the global level may coincide with different seasonal peak times across markets, different vacation times and staffing levels across local units, and different delivery bottlenecks on the supplier side. This will require increased and prolonged boundary crossing to search for and interact with potential new suppliers. Osland et al. (2013) also found

that expert global leaders emphasize boundary spanning to a large degree in describing critical incidents of global change efforts. The global leaders in their sample reported working across numerous boundaries, learning to influence multiple constituents, and engaging in continuous stakeholder dialogue. Examples of individuals in such a role are partners of global professional services firms or senior executives of global multi-unit firms, who regularly need to handle conflicting task conditions and coordinate across multiple and diverse groups of constituents.

Given their increased contextual embeddedness, leaders in an integrative global leadership role are expected to perform behaviors and actions that fulfill both their task- and relationship-related role requirements and therefore should entail both task- and person-focused behavioral sets. Compared to the other ideal-typical roles, global leaders in an integrative role need to constantly recognize and handle trade-offs in both task-oriented aspects (e.g., dealing with different needs for and pace of change across locations) and across different groups of constituents. This entails mediating conflict and finding synergistic solutions that address potentially opposing interests and needs. Specifically, while coordination and integration activities are important for any global leadership role, we would argue that they are particularly important for leaders in an integrative global leadership role for the following reason. Such behavioral sets help leaders to better respond to and leverage information from different task and relationship domains, for example when leading teams and supplier relations for different business units across geographic space and functional areas, or when leading cross-functional design teams that operate 24-7 around the world to develop a brand new technology in crisis mode while also handling a joint venture partner's cultural practice of close monitoring of progress. Moreover, global leaders in this role have to explicitly address resistance due to divergent expectations towards change across locations (Lane et al., 2004). This involves a greater need for contextualization in change implementation processes across settings, which refers to customizing aspects of the global change process to fit the local context, and requires knowledge and involvement of various local constituents (Osland, 2013b). Finally, the increased complexity demands, simultaneity of different task requirements, and limited opportunities for extensive direct contact with constituents in the integrative role also point to the need to actively share

responsibilities by way of empowering leadership (Bell & Kozlowski, 2002; Hill & Bartol, 2016) in different constituents such as followers, partners or suppliers.

SUMMARY AND CONTRIBUTIONS

Our typology has a number of implications for global leadership theory, modeling and testing, and practice.

Implications for Theory

First, our typology challenges scholars to more carefully define the independent variable of their study. In their multidisciplinary review of the global leadership literature that was published from 2010-2014, Mendenhall, Li and Osland (2016) located 181 journal articles, which represents a rapid increase in the publication rate from previous years. While research on global leadership is certainly fast growing and increasingly diverse, the global leadership construct is conceptually underdeveloped and theories of global leadership remain scarce (Osland et al., 2014). Specifically, the literature to date has lacked a coherent and agreed-upon classification scheme that helps scholars to clearly describe their research samples, compare and contrast their research contexts and findings with other studies, and contribute towards a cumulative and growing body of knowledge about the predictors, correlates and outcomes of global leadership. Our typology assists scholars in being more specific in their sampling criteria, thereby avoiding further fragmentation of construct operationalization and enabling future meta-analyses, as well as hopefully encouraging more scholars to engage with the global leadership field.

Second, we address calls for more typology-driven theorizing in the organization sciences that is particularly suitable for nascent academic fields (Delbridge & Fiss, 2013; Snow & Ketchen, 2014), as is the case for global leadership. Our theorizing suggests that task and relationship complexity serve as critical contingency factors along which global leadership roles differ. This, in turn, allows for making predictions about potential outcomes, and has implications for conceptualizing leadership effectiveness more broadly. Past research has used a wealth of different criteria to assess traditional leadership effectiveness (for a review see Hiller, DeChurch, Murase, & Doty, 2011), an approach reflected in the

global leadership field (e.g., Herman & Zaccaro, 2014). Our conceptualization of global leadership points to particular behaviors and activities that are expected of the individual in order to meet the requirements and set of responsibilities of a particular global leadership role (e.g., actions to achieve tangible performance objectives, social interaction frequency, specific developmental interventions regarding key constituents, etc.). Global leadership effectiveness should therefore involve an assessment of the extent to which leaders are able to influence different constituents given the particular contextual demands they face in their roles. For example, individuals in global leadership roles that face high demands from the task context and low demands from the relationship context will be less effective if they spend too much time and effort on activities related to nurturing constituent interactions across boundaries relative to addressing variable and changing task conditions.

Further, our theory of global leadership roles explicitly acknowledges variation within the focal construct and posits differing configurations of relationships among the four first-order constructs that can be empirically tested and blaze a trail for future research. For instance, to what extent does high task variety in the integrative ideal-typical role require more frequent or intense coordination and integration compared to the operational global leadership role, where relational demands are relatively lower? While both connective and integrative ideal-types entail a high number and variation of boundaries, how does increased task complexity change perceptions of these boundaries and their crossing, as an individual moves from a connective to an integrative global leadership role?

Third, our typology also helps to further conceptually unpack the process of engaging with the relevant global context. In this respect, the four first-order constructs of our typology provide several opportunities to theorize about the process of global leadership, which responds to recent calls for developing more process theories in the field of global leadership (Osland, 2013b) and international business more generally (e.g., Molinsky, 2013). It would be fruitful, for example, for research to conceptualize the relationship between identity-based boundaries (Butler et al., 2012; Herman & Zaccaro, 2014) and ideal-typical global leadership roles. Do the connective and integrative roles face the same potential identity threats from the multiple sources of identification they encounter and how do they

respond to these threats? It is also possible that the next generation of global leaders will be more comfortable with and skilled at geographically dispersed, technology-mediated interactions compared to previous generations. Given that leadership is a process that evolves and constitutes itself through interactions with other constituents (Uhl-Bien et al., 2007; Zaccaro et al., 1991), this will likely change the way in which individuals in particular global leadership roles engage with relevant contextual demands and may limit the generalizability of findings of prior research conducted in a less technologically-connected era with less technologically savvy leaders.¹

Fourth, we contribute to the international business literature in various potentially useful ways. Specifically, our typology provides meaningful categories for the expatriate literature, which surprisingly lacks more detailed typologies despite the many different forms of international staffing. Four decades of research have contributed to a deep understanding of the relevant factors characterizing the expatriate experience and have studied an increasing number of concepts such as adjustment, effectiveness, engagement, identity, well-being and embeddedness (e.g., Shaffer et al., 2012; Takeuchi, 2010). Yet only recently has the field acknowledged that the conceptual ways in which the expatriate construct may be delineated are many and varied. While studies have moved beyond differentiating expatriates solely according to their demographic characteristics, the majority continues to distinguish among assignment direction (e.g., expatriation vs. inpatriation), assignment duration (short-term vs. long-term), locus of assignment initiative (organization- vs. self-initiated), and assignment goals (technical, developmental, functional or strategic) (see Reiche & Harzing, 2015).

While scholars have recently added more specific dimensions to classify global work experiences, including physical mobility, cognitive flexibility and non-work disruption (Shaffer et al., 2012), the existing dimensions are unable to sufficiently reflect the many task and relationship context factors that influence international assignees. For example, how many different fundamental elements, including business units, competitors, customers, regulatory regimes, languages, religions, do international assignees

¹ We are indebted to an anonymous reviewer for making this point.

encounter and need to deal with in their environment, and how variable and changeable are they? While strategic and long-term assignments can be generally assumed to demonstrate greater levels of task variety and flux, this may not necessarily be the case for rotational or commuter assignments. However, the level of task complexity that assignees encounter in their context may arguably be more relevant for many of the expatriate-related concepts such as adjustment, effectiveness or well-being than assignment direction or duration per se. Similarly, we would expect assignees who frequently cross physical and identity-based boundaries, or who need to maintain regular interactions with their international counterparts, to have a qualitatively different assignment experience than assignees who fill a particular technical role in a foreign organizational unit. To that end, our distinction between task and relationship complexity and our role theoretical explication of various roles and corresponding behavior sets should assist with conceptualizing in greater depth meaningful categories of global work.

Our typology also helps explain challenges during the repatriation process. The literature has pointed to a host of challenges that assignees experience when returning from their international relocation (see Lazarova, 2015). Our typology would suggest that reintegration challenges are also the result of moving from a global leadership role with high demands emanating from the task and relationship context to one with lower contextual demands. If a repatriate reintegrates to a role that encounters lower levels of task and relationship complexity, yet the repatriate continues to operate according to higher complexity demands faced during the international relocation—for example by maintaining previous boundary spanning activities—this may lead to a greater mismatch between demonstrated actions and behaviors and actual global leadership role requirements, with negative implications for leadership effectiveness.

Further, our typology has implications for the global strategy literature by highlighting not only the environmental factors that influence cross-border expansion, foreign market entry or international alliances (e.g., Bartlett & Ghoshal, 1989), but also the relational needs underlying the interactions of those who drive and implement these strategic decisions. In doing so, we also contribute to the debate about how to manage the simultaneous pressures for local responsiveness and global integration. Specifically, rather than understanding the structural configurations for dealing with both pressures (Bartlett &

Ghoshal, 1989) or the conditions under which one pressure is relatively more salient (Rosenzweig & Singh, 1991), our typology offers specific constructs that help explain the role requirements and the processes through which the principal actors address these pressures.

Fifth, our typology contributes to the traditional leadership literature. By explicitly theorizing about the global context in which leadership occurs, we expand our understanding of how contextual conditions shape leadership (Liden & Antonakis, 2009). Specifically, our integration of role and complexity leadership theories provides a more fine-grained conceptualization of the various demands emanating from the task and relationship contexts of leadership and the resulting implications for effective leadership behavior. Further, while complexity leadership theory highlights that leadership reaches beyond the act of only one or a few individuals (Uhl-Bien et al., 2007), it is the emergence of global leadership research that has drawn specific attention to more broadly conceptualizing the context—in the form of geographically, culturally, institutionally, and economically diverse relationships or task environments—in which leadership occurs. Similarly, examining the context of global leadership allows traditional leadership scholars to test whether the assumptions and boundary conditions underlying our leadership theories remain valid or require further investigation and refinement. Hence, just like the increased heterogeneity and complexity inherent in the MNC context provides scholars with the opportunity to test, validate and expand existing organizational theories (Roth & Kostova, 2003), studying the global leadership context may equally advance traditional leadership theory. For example, our typology contributes to leader-member exchange theory (Graen & Uhl-Bien, 1995) by conceptualizing additional dimensions that characterize the quality of global leader-member exchanges, including the number and variation of physical and identity-based boundaries that a global leader-member exchange involves.

Recently, scholars have called for research that seeks synergies between the fields of traditional leadership and global leadership (Herman & Zaccaro, 2014; Osland et al., 2014). To date, there has been limited theoretical and empirical cross-fertilization between these fields. Our typology builds upon the role of context in traditional leadership and relies upon leadership research and theory for justification,

drawing the two fields closer together and demonstrating how they can enrich one another in the process.

Finally, while our typology simplifies complex contextual conditions into a heuristic model (Doty & Glick, 1994) that scholars and practitioners can use to differentiate among global leadership roles, our theorizing does not take into consideration all possible contextual factors that influence global leadership or capture the dynamic nature of the leadership process. Future global leadership research could benefit from traditional leadership lessons such as the following. Context and leadership influence one another, to a degree that is situationally determined (Liden & Antonakis, 2009). We would encourage scholars to acknowledge this bi-directional influence process and determine whether and to what extent global leadership roles influence the global context. Further, the global leadership roles in our typology might be impacted by contextual factors within organizations. Transformational leadership, for example, is influenced by organizational structures, modes of governance, an emphasis on efficiency versus adaptation, and the relative dominance of the technical core versus its boundary-spanning units (Pawar & Eastman, 1997).

Implications for Modeling and Testing

Our typology has several implications for empirical modeling and testing. Specifically, it provides a testable classification schema along which global leadership roles may differ. High or low levels of task and relationship complexity can each be determined by the two constructs they comprise. For example, the level of task complexity can be calculated by measuring the levels of variety and flux a global leader encounters. The level of relationship complexity, in turn, is calculated by measuring the respective number and degrees of variation in the boundaries and interdependencies a global leader confronts. We further propose that the first-order constructs are multiplicative in nature in determining the degree to which a global leader fits an ideal-typical role. The multiplicative character of the various constructs reflects the notion that they all form an integral part of the two foundational dimensions and will therefore affect global leadership roles and responsibilities. Thus, to be considered any type of global leader requires minimum levels of variety, flux, boundaries, and interdependence. Our theorizing of the

four ideal-types has also demonstrated how the first-order constructs may interrelate. Specifically, while the two constructs per complexity dimension can be expected to correlate, relationships among constructs between the task and relational dimensions depend on the ideal-typical role and are greatest for the integrative role.

There are various ways to operationalize our four first-order constructs. Scholars have developed self-report measures at the dimensional level. For example, in the case of the construct ‘complexity of a global role’ (Story, Barbuto, Luthans, & Bovaird, 2014), items such as “My job requires me to manage ambiguity and uncertainty frequently” could be adapted to match our two first-order constructs of task complexity. The level of environmental flux could be operationalized through the number of change initiatives at a global level over the past five years. It is also possible to measure the number of physical and identity-based boundaries that need to be crossed regularly. Further, the level of interdependence could be measured by asking respondents about the number of relevant constituent exchanges that affect the global leadership role. Other measures could be adapted to assess how different interdependencies are across constituents, for example by accounting for tie strength (e.g., Granovetter, 1973).

We would encourage future research to develop and validate a complete set of measures that capture our proposed first-order constructs. In doing so, it would be important to draw on a sample of individuals with diverse global leadership responsibilities and measure their perceived levels of task and relationship complexity. These perception-based measures could be triangulated through subject matter expert judgments used to place a given global leadership role according to its corresponding level across the four constructs. Ultimately, this should result in a standardized set of scales that global leadership scholars can include as part of their demographic questions to gauge potentially varying global leadership roles among their respondents and further homogenize their research samples. Finally, for simplicity’s sake we have assumed that the four constructs carry similar weights in defining a particular global leadership role. This is, however, an important empirical question for future research to clarify.

Implications for Practice

Our typology also has implications for global leadership development. Specifically, it provides a conceptual basis for the diagnosis of global leadership roles and developmental mandates. For example, global leadership roles expected to deal with low levels of task and relationship complexity arguably require less and different kinds of training than those at high levels of complexity. The competency sets required to match a particular global leadership role will therefore also differ. Research has derived a vast array of global leadership competencies (e.g., Black & Morrison, 2014; Bird, Mendenhall, Stevens, & Oddou, 2010; Caligiuri & Tarique, 2009). Although a discussion of each individual competency and its salience for the different ideal-typical roles is beyond our scope here, scholars' conceptualizations of these competencies appear to converge towards three overarching categories of competencies (Bird, 2013; Brake, 1997; Rosen, Digh, Phillips, & Rosen, 2000). These include (1) intrapersonal competencies directed at the internal psychological/emotional sphere of the leader, (2) interpersonal competencies associated with the management of people and relationships, and (3) business acumen competencies comprising both cognitive and behavioral abilities related to business and organizational realities.

Given that the competency domain has been largely delineated, our proposed typology provides competency scholars with the impetus to take the next step and study in more depth which competencies are relatively more salient to engage in behaviors thought to fulfill specific global leadership role requirements. For example, we might expect leaders in an incremental global leadership role (low task complexity/low relationship complexity) to primarily require competencies related to business acumen (e.g., technical expertise, results orientation). Leaders in an operational global leadership role (high task complexity/low relationship complexity) would mainly require competencies related to business acumen (e.g., responsiveness to change, environmental scanning) and intrapersonal domains (e.g., resilience, cognitive complexity), whereas those in a connective global leadership role (low task complexity/high relationship complexity) would focus relatively more on interpersonal competencies (e.g., intercultural communication, social flexibility) and intrapersonal competencies (e.g., open-mindedness, curiosity). Leaders in an integrative role (high task complexity/high relationship complexity) would require the full set of intrapersonal (e.g., thinking agility, tenacity, courage), interpersonal (e.g., cross-cultural negotiation,

sharing leadership), and business acumen (e.g., building partnerships, frame shifting) competencies. We would encourage future research to expand on and empirically test the differential value of competency sets for different global leadership ideal-types.

Further, as global leaders move from lower to higher levels of task and relationship complexity, it is possible to envision different developmental paths that would fruitfully accompany such movement. Depending on whether the growth in global leadership responsibilities occurs mainly through increased demands in the task context or requires more far-reaching, complex, and subtle interactions with manifold constituents, development interventions can be designed to selectively focus on one or another set of associated competencies (see Maznevski & Dhanaraj, 2014). In sum, the typology can provide conceptual guidance for fine-tuning global leadership training and measurement of training outcomes.

Conclusion

In this article we develop a typology of global leadership roles that advances this field of study. In line with the common differentiation between task and relationship context in traditional leadership and organizational behavior theory, our typology distinguishes among the significant and complex demands of the task and relationship contexts in which global leadership occurs. We further derive four ideal-types of global leadership roles by theorizing about a set of first-order constructs that form the building blocks used to characterize each ideal-type and articulate how the contextual demands relate to specific sets of leader behaviors and actions in delineating the four ideal-types. We believe that this typology has the potential to help global leadership scholars refine their theoretical propositions, match their operationalizations to their constructs, guide their sampling strategy, integrate their research findings, and enable further theory building in the global leadership domain.

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High-investment HR values and firm performance among local firms and U.S. MNCs' subsidiaries in South Asia: a comparative study

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High-investment HR values and firm performance among local firms and U.S. MNCs' subsidiaries in South Asia: a comparative study

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Grounded in institutional theory, this study investigates the differential adoption and internalization of high-investment human resource (HR) values by local companies and by subsidiaries of US firms located throughout South Asia; and the impact of these HR values on firms' performance. In line with our predictions, results suggest that US subsidiaries have a greater rate of adoption of high-investment HR values compared to local South Asian firms. Contrary to our predictions, however, both types of firms are similar in the level of internalization of their respective HR values. Finally, while greater levels of high-investment HR value adoption is associated with firm performance across the board, this relationship tends to be stronger for US MNCs' subsidiaries compared to local South Asian companies. Theoretical and practical implications for the transfer and diffusion of high-investment HR values in institutionally and culturally distant contexts are discussed.

Keywords: diffusion of HR practices; HR in South Asia; HR values; institutional theory; MNC subsidiary; strategic HRM; transfer of HR practices

Introduction

The notion that employees create value for firms and that they are a potential source of sustained competitive advantage is a relatively recent phenomenon in the history of management thought (Beer, Spector, Lawrence, Mills, & Walton, 1984; Fombrun, Tichy, & Devanna, 1984; Huselid, 1995; Pfeffer, 1994). As opposed to a management approach in which employees are treated like any other tangible resource; obtained cheaply, used sparingly and controlled and exploited as fully as possible (Sparrow & Hiltrop, 1994), this notion prescribes employers to view their employees as intangible and valuable assets and invest in them (Snell, Youndt, & Wright, 1996; Wright & McMahan, 1992). The logic underlying this thesis is that when companies treat their employees as valuable sources of competitive advantage, invest in their knowledge, skills and abilities (KSAs), and provide them with opportunities to use their KSAs, a talented, committed and motivated workforce will reciprocate by making significant contributions to firm effectiveness and performance (Huselid, 1995; Takeuchi, Lepak, Wang, & Takeuchi, 2007).

This employee-centered approach to profit-maximization is also traditionally celebrated as a US-based managerial paradigm (Brewster, 1995, 2007; Zhu, Warner, & Rowley, 2007), reflecting the organizational and cultural imperatives of American

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society (Appelbaum & Batt, 1993; Bae, Chen, David Wan, Lawler, & Walumbwa, 2003). According to Parry, Dickmann, and Morley (2008), for example, the defining feature of the US-based model of HRM is its emphasis on strategic HRM, suggesting bottom-line implications of human resource (HR) investments. Historically, the emergence of a more strategic orientation towards HRM in the USA can be traced back to the latter half of the twentieth century when US companies faced intensified competition due to increased globalization, and could no longer compete solely on the basis of operational efficiency that requires investments primarily in technology, machinery and equipment. Instead, they gradually adopted a *managerial discourse* that revolves around investing in HR (e.g. ‘people are our greatest asset’; ‘people make the place’; ‘investing in people’) in order to gain competitive advantage (Beer et al., 1984; Fombrun et al., 1984); followed by empirical research showing such investments to be related to firm effectiveness and performance (Arthur, 1994; Huselid, 1995; Macduffie, 1995; Youndt, Snell, Dean, & Lepak, 1996).

In this study, our focus is on a set of HR values that reflects this more recent managerial discourse on gaining competitive advantage through committed people and which we refer to as *high-investment HR values* (similar constructs focusing on HR values previously were used in Arthur & Boyles, 2007; Bae, Chen, & Lawler, 1998; Bae & Lawler, 2000; Lewin & Yang, 1992). Grounded in the body of work by earlier HRM scholars like Legge (1995), Storey (1992) and Guest (1990) who differentiated between ‘hard’ (e.g. utilitarian-instrumental) vs. ‘soft’ (developmental-humanistic) models of HRM, our conceptualization of high-investment HR values centers around the extent to which managers view employees and treat them as valuable and strategic assets worthy of organizational investments and as a source of competitive advantage – reflecting a relatively more developmental and humanistic approach towards managing people and gaining competitive advantage. Based on this conceptualization, our study investigates the differential adoption of high-investment HR values, the relative internalization of such values among managers, and finally the impact of adopting these values on organizational performance among local companies and subsidiaries of US MNCs in an overlooked but increasingly strategic region of the world, South Asia.

The focus on South Asia as the investigation site is important primarily for two reasons. First, despite being a region with increasing economic importance for MNCs with a collective population of more than 1.3 billion people and ripe for rapid economic development and further global integration (Gupta, Surie, Javidan, & Chokkar, 2002), HRM research focusing on this region of the world has been scarce so far. More important than the developmental trajectory that South Asia is on, organizations operating in this region constitute a theoretically important research setting due to the relatively autocratic values upheld by most managers with respect to the way employees are viewed and treated based on locally institutionalized management norms and customs (cf. Mellahi & Wood, 2004; Miah, 2000; Miah & Bird, 2007; Razzaque, 1991). According to the GLOBE study (Gupta et al., 2002), for example, South Asian countries constitute a unique cultural cluster due to high degree of similarity in managerial values, with the cultural hallmark of the cluster being high power distance where acceptance of authority without questioning and exercise of authoritarian control is the cultural norm. Furthermore, cultural differences increase the farther GLOBE regional clusters are apart from one another – and the Anglo cluster (including the USA) is one that is at the opposite end of the Southern Asia cluster according to GLOBE (House, Hanges, Javidan, Dorfman, & Gupta, 2004). This and other studies focusing on cultural similarities within and differences between regional clusters (Ronen & Shenkar, 2013)

calls into question the extent to which high-investment HR values can be diffused to culturally far-flung, dissimilar regions.

Therefore, due to the heterogeneous contexts in which the two kinds of firms originated from (the USA vs. South Asia), one expects to observe stark differences between the HRM value orientations of local South Asian firms vs. US firms operating in the region. In other words, one would anticipate that organizations indigenous to South Asia would embrace values that reflect cultural and institutional characteristics distinctive to that region. Similarly, US firms would bring with them to South Asia HR values that reflect a cultural and institutional imprint distinct to the USA. Moreover, such reasoning leads to the suggestion that local South Asian firms would adopt a less strategic approach and US firms a more strategic one, one that views HRM as a source of competitive advantage. Extant research seems to indicate that the predominant managerial mindset in South Asia would be closer to the 'hard' HRM model with its emphasis on tight managerial controls and an economic model of man (Legge, 1995) with managers subscribing to Theory X assumptions (McGregor, 1960). The predominant managerial discourse among US companies, on the other hand, would more closely resemble the 'soft' HRM model with its emphasis on control through commitment and managers subscribing to Theory Y assumptions (McGregor, 1960). Given these potential differences in the HRM value orientations of managers in these societies, the extent to which high-investment HR values – reflecting a softer approach to HRM – are being diffused, adopted, and become internalized and effective in South Asia as the region becomes more globally integrated is not clear; specifically because prevailing institutional and cultural norms in the region may limit their adoption, internalization and effectiveness.

In answering these research questions, we draw our arguments primarily from institutional theory (DiMaggio & Powell, 1983; Kostova, Roth, & Dacin, 2009; Scott, 1987, 1995) and make several contributions to the extant international HRM literature. First, we develop and test a comprehensive framework of adoption, internalization and effectiveness of HR values based on institutional theory, whereas prior research focused on some of these questions in isolation from one another, and none, to our knowledge, has examined internalization of high-investment HR values among organizational members of companies operating in South Asia. Second, while there is ample research that establishes a link between the use and implementation of HR practices and firm performance (see Jiang, Lepak, Hu, & Baer, 2012 for a comprehensive review), studies that examine managers' HR values and the impact these values might have on firm performance is rare. Despite challenges associated with trying to unearth managerial values (Maseland & van Hoorn, 2009), researchers have identified a need in this area and called for more exploration focused on the deepest level (i.e. underlying values and assumptions) of multifaceted HR practices (e.g. Bjorkman, 2004; Schuler & Florkowski, 1996). Examining the deepest level of HR in the form of values is important because values play a crucial role in information processing and decision processes, and serve as determinants of behavior as they constitute enduring beliefs concerning preferable modes of conduct (Rokeach, 1973). In this sense, our focal construct constitutes managers' deeply imbued assumptions and beliefs that guide their workforce-related actions, behaviors and decisions. They are also consequently manifested in implemented organizational practices that are people-based, complex and infused with value and meaning for organizational members (Kostova & Roth, 2002). As such, our study complements existing HR studies that focus on more accessible HR practices by delving deeper into a more abstract line of inquiry which dictate their implementation.

Third, whereas prior research in international HRM focused on other Asian countries such as China, Korea, Japan and India (e.g. Bae & Rowley, 2001; Bae et al., 2003; Som, 2007; Zhu et al., 2007), we investigate these issues focusing on a unique regional cluster that has not gained much scholarly attention in the English language literature (see Miah & Bird, 2007 for an exception), but that is growing in its economic significance and importance. Finally, we employ a unique data-set in testing our propositions with multiple respondents from each organization and a longitudinal measure of firm performance. Collectively, our intent is to contribute to an increased understanding of whether an employee-centered management philosophy (i.e. high-investment HR values) can be effective in the context of emerging economies with diverse cultural values and management norms.

In the remainder of our manuscript, we first provide a brief snapshot of South Asia as an emerging context for MNCs, then develop our theory and hypotheses. After describing our methods and reporting results from our analyses, our manuscript concludes with a discussion of study findings and implications for management of HR in the context of developing regions.

Theory and hypotheses development

South Asian context

South Asian countries that we treat as a regional cluster in this study include member states of the South Asian Association of Regional Cooperation including Bangladesh, Bhutan, India, Maldives, Nepal, Pakistan and Sri Lanka.¹ This economic region as a whole has rich and diverse historic and religious foundations upon which contemporary global dynamics are taking place. The collective population of the region in 2013, according to World Bank data, was 1.6 billion with 32% of the population residing in urban areas. Economically, the region had a total GDP of \$2.35 trillion and a GNI per capita of \$1,474. Over the past 20 years, South Asia has experienced steady economic development and growth averaging 6% a year (World Bank Data); leading to declining poverty and improvements in human development. According to the 2014 Human Development Index ratings, Nepal and Pakistan are categorized as low human development countries representing lower quality of life, education and shorter life expectancy compared to other countries of the world. However, other nations in the region are categorized as medium human development countries with the exception of Sri Lanka that is positioned as a high human development country. Additionally, while 44% of the developing world's poor population is located in this region, the percentage of people living on less than \$1.25 a day fell from 61% in 1981 to 36% in 2008, representing a strong developmental trajectory. South Asia also has the world's largest working-age population and 25% of the world's middle-class consumers, making the region as a whole an important player in the global economy. Finally, with respect to religious influences on the region that potentially shape management norms and practices, the population is predominantly of Hindu, Buddhist and Islamic faiths, with tolerance and respect for other faiths and places of worship.

Despite differences among South Asian countries regarding economic, political, demographic and religious forces, however, centuries of cultural, religious, economic and political exchanges between these nations provided an integrating force leading to a shared worldview that distinguishes members of this region from others (Gupta et al., 2002). Based on GLOBE study findings, such integrating forces resulted in the region emerging as a cultural cluster distinguished by a shared pattern of cultural value

configurations. The cultural practices of the region emphasize hierarchical and masculine values with reliance on groups for support and a preference for charismatic leaders with paternalistic tendencies (Gupta et al., 2002). In sum, it is within this contextual backdrop that we theorize on the adoption, internalization and effectiveness of high-investment HR values among local companies and US MNCs' subsidiaries in South Asia.

Diffusion and adoption of high-investment HR values

Driven by motives to gain legitimacy in their external environments, organizations embedded in the same environment tend to become isomorphic over time as a consequence of implementing similar values, structures, practices and policies (DiMaggio & Powell, 1983; Kostova & Roth, 2002; Meyer & Rowan, 1977; Scott, 1987; Zucker, 1987). Furthermore, through coercive, mimetic and normative processes, those aspects of organizations that become institutionalized in an environment gain social meaning in the eyes of stakeholders and become internalized by societal members as they 'reflect widespread understanding of social reality [that are] enforced by public opinion, by the views of important constituents, by knowledge legitimated through the educational system, by social prestige, by the laws' (Meyer & Rowan, 1977, p. 343).

During the past several decades and as a result of the need to compete on the global market through investing in less imitable and more intangible assets, high-investment HR values gained widespread acceptance and adoption especially in the USA, mostly through mimetic (e.g. large and successful companies espousing high-investment HR values being imitated by other companies) and normative (e.g. certified HR professionals disseminating high-investment HR values and associated best-practices) influences. As they became institutionalized, these values also began to be viewed in the business world as legitimate and have been adopted by a large number of organizations not only for reasons of efficiency, but also for legitimacy (e.g. Cappelli & Neumark, 2001; Meyer & Rowan, 1977; Zucker, 1987). It is even possible to conclude that high-investment HR values have approached the maturity stage in the institutionalization process in the USA where they have 'become taken for granted by members of a social group as efficacious and necessary' (Tolbert & Zucker, 1996, p. 179). Indeed, many iconic American firms with global reach and influence such as Starbucks, Apple and Google espouse, and explicitly articulate the centrality of such values for gaining and sustaining organizational success.

In an attempt to replicate home-based advantages, companies also strive to transfer core values that provide their organizations with a competitive edge to their overseas locations. This tendency seems to be especially strong among North American MNCs that have been characterized as having an express preference for transferring and institutionalizing elements of their home business models when operating abroad, and that show a greater tendency towards achieving this goal, relative to MNCs from other countries of origin (Parry et al., 2008). An unintended consequence of MNCs trying to develop a shared global vision around core values believed to be critical for organizational success is the dissemination of such values to far-flung regions (Björkman & Lervik, 2007; Braun & Warner, 2002; Kostova, 1999; Kostova & Roth, 2002; Kostova et al., 2009; Zhu et al., 2007). While cross-country transfers of organizational values may not always be successful and host-country unit HRM orientations tend to be hybrid with elements from both home and host-country environments depending on the institutional and cultural characteristics of both contexts (Braun & Warner, 2002;

Hannon, Huang, & Jaw, 1995; Parry et al., 2008; Rosenzweig & Nohria, 1994), subsidiaries of MNCs are nevertheless influenced by the HRM philosophies and values of their parent companies (Bird, Taylor, & Beechler, 1998).

MNCs strive to transfer their HRM values and philosophy to host-country subsidiaries for several important reasons (Bjorkman, 2004). First, transferring core HR values enable an MNC to leverage and exploit firm-specific advantages in host locations, generating local competitive advantage. Second, building a shared vision around core values facilitates global integration of operations (Colakoglu, 2012) and standardization further serves to control foreign affiliates (Martinez & Jarillo, 1989). Consistency of HRM orientations within the MNC network also facilitates knowledge exchange, transfer and collaboration among geographically and culturally heterogeneous organizational units where employees share similar values (Taylor, Beechler, & Napier, 1996). Furthermore, there is a stronger motivation for MNCs to transfer HRM values to those locations where no institutionalized HRM models exist (Warner, 1996), or where traditional or local HRM values are thought to be working against productive subsidiary operations (Habibullah, 1974; Miah, 2000; Miah, Wakabayashi, & Tomita, 2001). For example, Bjorkman and Lu (2001) reported that Chinese-Western international joint venture executives wanted to implement Western management practices in China to become more competitive, showed strong dissatisfaction with the Chinese management orientation, and indicated that they turned to the parent company for HRM models for implementation in China. Given this display of motives and strategic tendencies by MNCs, especially those from North America (Parry et al., 2008), we expect US subsidiaries operating in South Asia to have more strongly adopted high-investment HR values in the management of their workforce compared to local firms operating in the region.

While we expect subsidiaries of American MNCs to have higher levels of adoption of high-investment HR values, this statement should not be interpreted as a claim that local firms in the region are not adopting such values (Bae et al., 1998, 2003). First, MNCs and other normative mechanisms such as consultants and business schools act as forces of convergence in the global dissemination and adoption of US-based management theories and paradigms (Brewster, 2007; DiMaggio & Powell, 1983; Geppert, Matten, & Williams, 2003). In addition, organizations operating in emerging economies face considerable competitive pressures from other emerging markets and thus experience many of the same sources of uncertainty from globalization as their peers from more economically developed countries (Bae et al., 2003). According to the institutional perspective, organizations in situations of uncertainty tend to adopt patterns exhibited by organizations perceived to be successful (DiMaggio & Powell, 1983). Innovative management ideas that promise to improve efficiency and effectiveness are particularly attractive to organizations facing intense competition and/or performance deficiencies (Som, 2007); and local firms may have adopted such values based on this motivation as well.

Notwithstanding the possibility that local firms in the region are adopting high-investment HR values for aforementioned reasons, we still expect South Asian subsidiaries of US companies to have a higher rate of adoption due to the relatively longer history in the institutionalization of such values in the USA and the strategic tendency among US firms to transfer core values to their foreign operations. Hence, we offer the following hypothesis:

Hypothesis 1: South Asian subsidiaries of US companies will have a higher rate of adoption of high-investment HR values compared to local firms in South Asia.

Internalization of high-investment HR values

In this study, we define *internalization* of high-investment HR values as a shared managerial mindset – reflected in some degree of consensus among an organization’s managerial members – about the strategic importance of investing in people, as opposed to diffused and scattered perceptions within an organization regarding the merits of high-investment HR values. As opposed to US where high-investment HR values enjoy relatively widespread acceptance and internalization approaching their maturity stage, these values are likely to be either at the pre-institutionalization or the semi-institutionalization stage in South Asia. According to Tolbert and Zucker (1996), these are the two stages before novel management paradigms become fully institutionalized in an environment. In the early stages of institutionalization, there are very few adopters and limited knowledge or understanding about novel ways of managing and thinking. In the semi-institutionalization stage, these novel ideas become rather diffused and enjoy some level of normative acceptance, but they still have relatively short histories. In this stage, novel management theories are not permanent or stable yet and may have a reputation of being ‘fad’ (Abrahamson & Fairchild, 1999; Kostova et al., 2009). During these early stages, organizational members’ commitment to adopted values may also be weak and diffused, perceptions regarding their merit may not be strongly shared or understood, and values do not have widespread or shared social meaning in individuals’ minds. That is, at earlier stages of institutionalization, a novel idea can be adopted and espoused to a certain extent, but they are not likely to be strongly *internalized* by *all* organizational members (Björkman & Lervik, 2007; Kostova & Roth, 2002).

Other than the early stage of institutionalization in South Asia that would limit internalization of high-investment HR values within organizations, local management norms that seem contradictory to high-investment HR values would further constrain internalization. According to researchers from South Asia (Miah, 2000; Miah & Bird, 2007; Razaque, 1991), many local managers are traditionalists and prefer not to disrupt the managerial status quo. They tend to resist change and develop culture-based, traditional superior/subordinate relationships based on local customs. According to Miah and Bird, ‘South Asian managers do not believe in the development of HRs. Moreover, they believe that plant and equipment, i.e. the machinery of the factory, are more important than the humans in the factory’ (2007, p. 911). High-investment HR values may also contradict the authority-centric values found ubiquitously in societies with high power distance levels, like those in South Asia (Gupta et al., 2002; Hofstede, 1990, 2001). From this perspective, people in authority who enjoy significant amounts of social, psychological and financial benefits from the status quo may even perceive Western management values to be a direct threat to their authority and sources of power. Within this context of early institutionalization and cultural differences, while some local companies may have adopted and implemented high-investment HR values to some extent (but to a lower degree than US-based companies), we also expect to find a lower level of internalization of high-investment HR values among local South Asian firms compared to US companies in South Asia.

Social information processing theory (Salancik & Pfeffer, 1978) can explain why shared perceptions regarding the strategic importance of HR would be stronger in US subsidiaries, even though they also operate in South Asia and employ local managers, possibly along with expatriates. Accordingly, organizational members use information acquired from other employees with whom they have direct social contact to form their judgments about organizational values. These individual perceptions are contagious

among organizational members who interact with and influence one another and in turn, lead to shared perceptions of organizational reality. Since many MNCs purposefully strive to transfer core values and corporate culture to foreign affiliates, Caprar (2011) for instance, argues that host-country national employees are ‘contaminated’ by the cultural values of the MNC and states:

Most MNC subsidiaries are begun with a team of expatriates, followed by progressive incorporation of local employees, who are acculturated through extensive socialization processes by which they learn the behaviors, values, beliefs and social knowledge needed to perform their new roles. (p. 610)

Based on these arguments around the relative internalization of high-investment HR values among local companies and subsidiaries, we propose the following hypothesis:

Hypothesis 2: South Asian subsidiaries of US companies will more strongly internalize high-investment HR values compared to local firms in South Asia.

High-investment HR values and organizational performance

Though adoption and internalization of high-investment HR values within organizations can be theoretically explained by the institutional perspective (Wright & McMahan, 1992), we complement this perspective with the resource-based view of the firm (Barney, 1991) to explain how these values potentially contribute to firm performance. According to the resource-based view of the firm, companies that control valuable, rare, imperfectly imitable and non-substitutable resources are able to generate sustained competitive advantage from the effective utilization and exploitation of those resources (Barney, 1991). When managers view and consequently treat employees as valuable strategic assets worthy of organizational investments, employees may reciprocate the favorable managerial treatment by increasing their contributions, motivation and attachment to the company. This is because high-investment HR values, espoused and enacted by managers are likely to result in an employment relationship and a psychological contract characterized by the principle of reciprocity. The norm of reciprocity posits that employees will feel obligated to respond equitably to positive treatment and inducements from their employers by raising their effort and contributions, providing the theoretical mechanism for the relationship between adoption of high-investment HR values and organizational performance. Related, since a motivated and committed workforce is the foundation of the human capital of a firm from which it can derive competitive advantage, specifically because they constitute a valuable, rare, imperfectly imitable and non-substitutable resource, investments in the workforce can provide organizations with bottom line returns over time (Arthur, 1994; Arthur & Boyles, 2007; Batt, 2002; Bowen & Ostroff, 2004; Collins & Clark, 2003; Datta, Guthrie, & Wright, 2005; Guest, 2011; Huselid, 1995; Jiang et al., 2012; Lepak & Snell, 1999; Paauwe, 2009).

According to the universalistic perspective in the field of strategic HRM (e.g. Huselid, 1995; Pfeffer, 1998), this argument (i.e. the association between high-investment HR values and organizational performance) should hold regardless of the context in which ‘investing in people’ principle is implemented and adopted by managers. External validity evidence for this principle has, in fact, been gathered from countries and regions other than North America (see Colakoglu, Hong, & Lepak, 2009 for a review). In sum, it follows from the universalistic perspective in strategic HRM

that adoption of high-investment HR values should be related to organizational performance in South Asia, as employees reciprocate the favorable managerial treatment by increasing their contributions collectively and becoming a valuable and strategic organizational resource that contributes to organizational success (Barney, 1991).

Hypothesis 3a: There will be a positive relationship between adoption of high-investment HR values and organizational performance across all organizations.

Country-of-origin as a moderator

When Western managerial values are disseminated across borders to organizations embedded in different cultural and institutional contexts, they may not always fit the environment of the recipient country, which, in turn, may be an impediment to the effectiveness of those values in that context (Gooderham, Nordhaug, & Ringdal, 1999). That is, a managerial paradigm which emerged, is embedded and have been institutionalized in the US context may not necessarily be as effective in other countries' contexts, given that cultural and value systems as well as institutional and structural factors are heterogeneous across countries and organizations (Aycan, 2005; Zhu et al., 2007). This argument has also been echoed in the strategic HRM literature as the 'contingency perspective'. The contingency perspective holds that the impact of HRM strategy – one that is based on high-investment HR values for example – on firm performance depends on its fit, congruence or alignment with firms' respective internal (e.g. business strategy, life cycle/developmental stages, culture, technology and structure) and external (e.g. industry and national culture) environment (Baird & Meshoulam, 1988; Jackson & Schuler, 1995; Jackson, Schuler, & Rivero, 1989; Lado & Wilson, 1994; Lepak, Takeuchi, & Snell, 2003). Accordingly, a poor alignment between high-investment HR values and contextual contingencies may diminish the contribution of these values to firm effectiveness and performance.

It is not entirely clear, however, whether such impediments to the effectiveness of values transferred from other cultural/institutional contexts would be more significant among local organizations or among organizations that have the same country-of-origin as those values (in the case of this study, US subsidiaries). On the one hand, American companies have a longer history in the adoption of high-investment HRM values. With more experience, managers in US subsidiaries may be better at communicating these values consistently, clearly and frequently, and possibly designing and implementing work practices that are in line with and reinforce commitment to those values (Bowen & Ostroff, 2004). Furthermore, as suggested earlier, managers in US subsidiaries may be more strongly committed to and have more strongly internalized high-investment HR values. Consistent and frequent communication that reinforces commitment to those values as well as genuine belief in their efficacy by managers, along with a local workforce that has also been acculturated to the corporate culture (Caprar, 2011) can overcome potential impediments to the effectiveness of high-investment HR values among US subsidiaries. Thus, one argument is that the association between high-investment HR values and company performance can be stronger for this type of firm.

On the other hand, however, local firms are more likely to have an in-depth understanding of the cultural idiosyncrasies of their workforce. Thus, they may be better at tailoring symbolic managerial discourse or work practices based on high-investment HR values to local norms, despite having less experience with such values. Consequently, offering a culturally tailored discourse can overcome the cultural impediments

to the effectiveness of high-investment HR values as employees can more easily relate to the managerial messages of a culturally appropriate form of communication. Furthermore, local companies may have higher performance deficiencies and therefore an innovative HRM model may simply have more immediate and significant influence on their performance, compared to subsidiaries of US MNCs that possibly do not have as large deficiencies in performance. Thus, the competing argument is that the association between high-investment HR values and company performance can be stronger for local companies.

There is limited research evidence supporting one view or the other and existing evidence is based on implementation of high-investment HR practices (e.g. selection, training and compensation), rather than managerial adoption of high-investment HR values. For example Ngo, Turban, Lau, and Lui (1998) argued, but found limited support, for the relation between HRM practices and firm performance being stronger for local firms in Hong Kong compared to the subsidiaries of American, British and Japanese MNCs. Ngo and colleagues (1998) found that both training and development and retention-oriented HR practices were more strongly related to employee retention and satisfaction levels in local firms. Bae et al. (2003) argued that high-performance techniques would be more positively related to organizational effectiveness among affiliates of American MNCs and locally owned firms than among affiliates of European and Japanese MNCs in a sample of firms operating in Korea, Singapore, Thailand and Taiwan. Yet, they found that the relation between high-involvement work practices and performance was stronger for local firms compared to subsidiaries of all foreign firms.

Given mixed results to date based on implementation of HR practices and equally plausible competing theoretical arguments, we propose a general moderation effect that takes into account country-of-origin, but which does not specify the direction for the moderation. Hence, our hypothesis is as follows:

Hypothesis 4: The relationship between adoption of high-investment HR values and organizational performance will be moderated by organizations' country-of-origin.

Methods

Data collection and sample

Companies chosen for inclusion in the study employed alumni from the graduate business program at North-South University in Dhaka, Bangladesh. These alumni recommended the inclusion of their companies in the study. A total of 106 companies were recruited with 45 US-based MNCs that have operations throughout South Asia and 61 local South Asian companies. These companies were located in one of the following countries: Bangladesh (34%), Bhutan (5%), India (21%), Maldives (7%), Nepal (10%), Pakistan (16%) and Sri Lanka (8%). A set of 10 surveys was mailed to each company with a request that they be filled out by a cross section of managers in the company. A total of 390 surveys were returned for a response rate of 37.9%. Two companies with single respondents were eliminated from the data-set for a final sample size of 104. All respondents were drawn from the managerial level and from various functions across the organization, including HRs, marketing, manufacturing and production. The average number of respondents per organization is 3.6. All surveys were administered in English.

Measures

High-investment HRM values

Based on previous work (e.g. Bae & Lawler, 2000; Bae et al., 1998; Lewin & Yang, 1992; Thang & Quang, 2005), we created a high-investment HRM values scale by computing the mean of the following five items. On a scale of 1–5 (1 = strongly disagree, 5 = strongly agree), managers were asked to indicate their level of agreement with the following statements: (1) More investment on HRs creates value for the organization, (2) Investments should only be done on latest machinery and technology (reverse-coded), (3) Employees are human assets that increase the value of the organization, (4) Employees are a valuable source of sustainable competitive advantage and (5) A competitive advantage can be enhanced by achieving strong good relationships between employer and employees. Reliability score (i.e. Cronbach's α) for these five items at the individual-level is .83, indicating sufficient reliability and justifying scale formation. According to results from principal component analysis with varimax rotation, except for the reverse-coded item, our construct is one-dimensional with all items loading on a single component (average loading .93). With the addition of the reverse-coded item and constraining the components to be extracted to one, the average loading of all items was .75. Because the internal reliability of the five-item measure is adequate with high loadings on a single component, we retained the five-item scale for analyses.

Adoption of high-investment HRM values

Because this is an organizational-level theoretical construct but the data is collected at the individual-level, we aggregated individual scores to form an organizational-level measure for adoption of high-investment HRM values using the direct consensus approach (Chan, 1998). To justify aggregation of individual responses to the organizational level and provide evidence on the validity of the organizational-level construct, we followed suggestions by Bliese (2000). We first conducted one-way analysis of variance and found between-groups variance to be significant across organizations ($F = 5.95, p < .001$). We then obtained a value of .57 for the inter-rater reliability index (ICC1) and a value of .83 for the reliability of group mean index (ICC2) (Bartko, 1976; Bliese, 2000). All these values are higher than the recommended ICC values for group-level constructs reported in the literature (Schneider, White, & Paul, 1998). Therefore, aggregation was justified and we created the organizational-level variable by taking the average of respondents' scores on the high-investment HRM value scale. The reliability score (Cronbach's α) of the scale at the organizational-level was .85.

Internalization of high-investment HRM values

In line with our construct definition referring to a shared managerial mindset within an organization, we measured internalization of high-investment HR values among managers of an organization by computing the r_{wg} score of each organization using uniform null distribution (James, Demaree, & Wolf, 1993) and following dispersion models of composition (Chan, 1998). R_{wg} assesses the extent of consensus, agreement or within-unit variability within a specific unit (here, the organization) by comparing observed variance within that unit to an expected variance (Kozlowski & Klein, 2000). According to dispersion models, within group agreement or r_{wg} is a group-level characteristic

referring to variability within a group as opposed to an attribute of any individual-level response. The idea of using within group consensus scores as a focal theoretical construct (in our case, internalization of high-investment HR values) can be traced back to James, Demaree, and Wolf (1984), Lindell and Brandt (1997) and Chan (1998).

Organizational performance

To avoid common method variance, we collected data on organizational performance one year after data on independent variables were collected using the same procedure (i.e. survey response) as for the initial data gathering. We measured organizational performance by asking respondents to assess their organization's performance with four items focusing on customer satisfaction, growth in sales, profitability and market share. Similar to the procedures performed on the independent variable, we calculated ICCs to justify aggregation of individual responses to the organizational level. We first conducted one-way analysis of variance and found between-groups variance to be significant across organizations ($F = 2.5, p < .001$). We then obtained a value of .31 for the inter-rater reliability index (ICC1) and a value of .60 for the reliability of group mean index (ICC2) (Bartko, 1976; Bliese, 2000). Therefore, aggregation was justified and we created the organizational performance variable by taking the average of individuals' scores on the performance items. Reliability score of the resulting scale at the organizational-level was .85.

Country-of-origin

We created a categorical variable for US-based subsidiaries operating in Asia and local South Asian companies, with US companies coded as 1 and South Asian companies coded as 0. Treatment of South Asian companies as a single category of country-of-origin is warranted based on this region's unified culture (Gupta et al., 2002) and on methodological grounds with respect to preserving power in analyses.

Control variables

We controlled for size of the organization, age of the organization and the industry in which the organization operates for these variables may influence organizational performance. Size was measured as the number of employees, 50–400, 401–1000, 1001–2000 and over 2000 employees. Larger companies may have access to greater resources and have the ability to wield greater market power (Barney, 1991; Collins & Clark, 2003). Age was measured as the number of years in which the organization has been operating in South Asia; 1–5, 6–10, 11–20 and over 20 years. Age can also represent access to greater resources as well as increasing formal structure with implications for organizational performance (Bruderl & Schussler, 1990). Industry was measured using a categorical variable with companies categorized into three broad categories based on self-report from the respondents and verified by the researchers. The three categories were; technology, non-technology and service companies. Industries have been shown to vary based on their level of attractiveness (Porter, 1985) and this can in turn lead to differences in their performance.

Results

Table 1 presents descriptive statistics and correlations of all study variables. The first two hypotheses were tested by performing ANOVA procedures and the other two hypotheses were tested using hierarchical regression. Hypothesis 1 stated that South Asian subsidiaries of US companies would have a higher rate of adoption of high-investment HR values compared to local firms in South Asia. This hypothesis was supported ($F = 25.79, p < .001$) with subsidiaries of US companies placing significantly more importance on high-investment HR values (mean = 3.76) compared to local South Asian companies (mean = 3.00). Our second hypothesis stated that US companies would have a higher level of internalization of high-investment HR values compared to local firms. We failed to find support for this hypothesis ($F = .003, p > .05$). There was not a significant difference between the mean r_{wg} values of US (mean = .78) vs. mean r_{wg} values of local companies (mean = .78). However, because r_{wg} values using uniform null distribution may overestimate within-group agreement when there is response bias (James et al., 1984; Kozlowski & Hattrup, 1992; Kozlowski & Hults, 1987), we also performed the same analysis using standard deviation and similarly obtained a non-significant result ($F = .01, p > .05$). Collectively, these results suggest that while US companies possess higher levels of high-investment HR values compared to local firms, both categories of organizations have similar levels of internalization for their respective HRM values.

Hypothesis 3 suggested a universal relationship between adoption of high-investment HR values and organizational performance across all organizations and hypothesis 4 predicted that this relationship would be moderated by country-of-origin. Models 1–3 in Table 2 present results from hierarchical regression analysis. In Model 1, control variables were entered and explained an adjusted 25% of variance in organizational performance. In Model 2, the HRM variable was added to the equation. Its beta coefficient was significant ($\beta = .41, p < .001$), supporting Hypothesis 3. The model with the HRM variable was also significant ($F = 11.48, p < .001$) and explained an adjusted 38% variance in organizational performance. Finally, for Hypothesis 4, we created a product term for the interaction of HRM and country-of-origin and entered the variable in Model 3 after controlling for the variables' main effects (Aiken & West, 1991; Cohen & Cohen, 1983). Addition of the product term resulted in a significant change in the F value and the beta coefficient of the product term was positive and significant ($\beta = .62, p < .001$) supporting Hypothesis 4 and indicating that the relationship between high-investment HRM values and organizational performance was stronger for US-based subsidiaries compared to local South Asian firms. In order to interpret the nature of the significant interaction, the regression equation was solved for US subsidiaries and for local companies and plotted on a graph as outlined by Aiken and West (1991) (Figure 1).

Discussion

In this study, we focused on a set of managerial HR values, referred to as high-investment HR values and studied them among organizations operating in South Asia. Our investigation was motivated by the observation that an employee-centered approach to profit-maximization originated from, and has been tested mostly in North America. Therefore, it is not entirely clear from extant research to what degree high-investment HR values are being diffused to and adopted in geographically, culturally

Table 1. Means, standard deviations and correlations of study variables.

Variable	M	SD	1	2	3	4	5	6	7	8	9
1. Size	2.08	0.53	—								
2. Age	1.48	0.52	.28**	—							
3. High Tech	0.44	0.50	-.02	-.04	—						
4. Low Tech	0.40	0.49	.14	-.01	-.73**	—					
5. Services	0.15	0.36	-.16	.07	-.38**	-.35**	—				
6. US Company	0.41	0.49	-.01	-.06	.12	-.13	.02	—			
7. Adoption of High-investment HR Values	3.32	0.84	.04	.12	.16	-.08	-.12	.45**	—		
8. Internalization of High-investment HR Values	0.78	0.25	-.05	-.05	.04	.03	-.09	-.01	.23*	—	
9. Organizational Performance	3.74	0.77	-.05	-.08	.14	-.18	.06	.52	.53	.20*	—

Note: N = 104 (listwise).

*Correlation is significant at the 0.05 level (2-tailed).

**Correlation is significant at the 0.01 level (2-tailed).

Table 2. Effects of high-investment HRM values on organizational performance (a).

Model	Model 1	Model 2	Model 3
Intercept	3.68	2.80	3.50
Size	0.02	-0.02	0.01
Age	-0.10	-0.16	-0.18
Low tech	-0.11	-0.07	0.01
Services	0.02	0.09	0.09
US company	0.49***	0.31**	0.12
High investment HRM values		0.41***	0.12
High investment HRM values X US company			0.62***
R^2	0.26	0.38	0.59
Change in F	8.05***	11.48***	22.40***

Note: (a) $N = 104$, Standardized regression coefficients are presented.
 $*p < .05$; $**p < .01$; $***p < .001$.

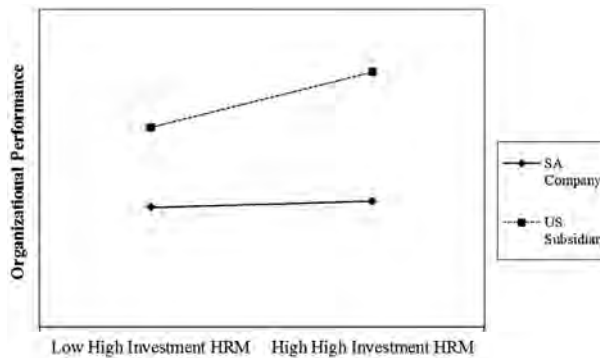


Figure 1. Interaction effects.

and institutionally distant societies. More importantly, there is limited evidence on whether they are equally effective in influencing bottom-line results when adopted. Our study and results contribute to an emerging stream of research studies investigating adoption and effectiveness of Western HR philosophies in emerging markets from the perspective of institutional theory (e.g. Bae et al., 2003; Law, Tse, & Zhou, 2003; Lawler, Chen, Wu, Bae, & Bai, 2011; Zhu et al., 2007).

A straightforward answer to the research question motivating our study is that high-investment HR values are being adopted and can be effective in the context of South Asian countries despite being in some degree of conflict with local, traditional and institutionalized management norms and values in the region. According to our results, a strategic HRM orientation placing emphasis on viewing and treating employees as a source of competitive advantage was a significant predictor of company performance across all organizations in South Asia. That is, a traditionally more conservative and controlling approach to managing HR prevalent in this region did not necessarily constrain high-investment HRM values from taking effect. While this is an important finding in itself, the crux of our finding is that US-based companies had a higher rate of

adoption and were more effective in enacting espoused high-investment HRM values such that the positive relationship between high-investment HR values and performance was stronger for subsidiaries compared to local firms. Several theoretical and managerial implications follow from this pattern of findings.

First, a critical management dilemma facing MNCs operating in institutionally and culturally distant societies is whether they should act and be similar to local companies to gain legitimacy in their host environments (institutional perspective) or whether they should exploit home-based strategic advantages to differentiate themselves from the rest of local companies (the competitive perspective) in order to gain competitive advantage (Miller & Eden, 2006). Our findings suggest that being *unlike* local companies in management values and norms does not necessarily create a liability of foreignness for subsidiaries (Zaheer, 1995); on the contrary, in the context of South Asia it enhances performance. While MNCs may need to tailor specific organizational practices to fit the regulatory framework and the institutional contexts of the host countries in which they operate (e.g. Parry et al., 2008; Rosenzweig & Nohria, 1994), core values that provide competitive advantage in one's home country can be replicated as such in host environments as well. In this regard, our findings also provide confirmatory evidence supporting the universalistic paradigm in the strategic HRM literature which suggests that high-investment HRM values and principles can be universally effective regardless of context (Pfeffer, 1994). In the case of this study, that context where high-investment HR values were proven to be effective is characterized by acceptance and expectation of traditional, conservative and control-oriented HRM values by both managers and employees.

The finding that high-investment HRM values are upheld to a higher degree and are more strongly associated with performance among US-based MNC subsidiaries suggest that these values are still at an early stage of institutionalization in South Asia and especially among local companies of the region. At this point in time, it is difficult to predict whether these values will permeate the traditionalist management cadre and become fully institutionalized in the near future. However, the findings indicate that local companies and managers facing increased competition and uncertainty in South Asia do have a strategic choice of adopting, espousing and enacting these values to help their companies compete in an increasingly global and competitive business landscape.

We encountered competing theoretical arguments as to whether subsidiaries or local companies would benefit more from adoption of high-investment HR values; acknowledging the mixed empirical evidence from prior research in support of both arguments (Bae et al., 2003; Ngo et al., 1998). In our sample, subsidiaries seemed to benefit more from the adoption of high-investment HRM values compared to local companies. US subsidiaries, with more experience, may be more successful in designing, communicating and implementing HRM and organizational practices aligned with their values and putting them to practice. Local companies, on the other hand, with less experience, may not be as effective in enacting values through carefully designed and implemented practices – and hence, might be constrained in the degree to which they utilize such values effectively. Since absence of data on the specific HRM practices of the organizations in our sample prevented us from testing this assumption, our findings point to a need for future research to investigate values and practices simultaneously.

Finally, we predicted that internalization of high-investment values would be higher among US-based subsidiaries and operationalized internalization as the degree of consensus among managers about the importance of such values. Our operationalization

helped us capture the extent to which respondents from each organization constituted a homogeneous group united by a common or similar vision of HRM. We did not find a significant difference in the degree of consensus between the two categories of companies. One reason for the non-significant finding can be a methodological limitation such that we had an average of 3.6 respondents from each company that may have been insufficient to capture internalization in a given company. Despite this potential methodological limitation, what our results collectively suggest is that US-based subsidiaries adhere to higher levels of high-investment values compared to local companies and that both categories of companies are high (mean r_{wg} was .78 for both categories of companies) in their consensus about the relative importance they place on employee-centric organizational values. As these values permeate further among local organizations, it is likely that managers' thinking about the value of employees for generating competitive advantage may become more diffused and scattered, with some local managers regarding employee-centric values higher while others continue clinging to their traditional values. At this stage, an overarching assumption of our study that the institutionalized HRM orientations of North American vs. South Asian societies are fundamentally different seems confirmed.

The practical implication of our findings is that MNCs should continue to use intra-organizational mechanisms that facilitate dissemination of core strategic values (e.g. high-investment HR values for this study) to host-country units. Boundary-spanning practices that facilitate dissemination of core values include expatriation (Colakoglu, 2012) as well as other means of increasing inter-unit interactions and contact such as trips and visits across units within the MNC, international committees, teams, task forces and having informal or assigned mentors at other MNC units (Gupta & Govindarajan, 2000).

While the findings of our study have the potential to contribute to international HRM literature, as with all studies, its results need to be interpreted with caution. First, while the use of longitudinal data in measuring company performance and multiple respondents from each company are methodological strengths of our paper compared to the much of the literature in international HRM that is predominantly cross-sectional and relies on single respondents (Wright & Boswell, 2002), the use of a subjective performance measure and a modest number of respondents from each company suggest the need for care in interpreting and extending the implications of these findings. Future research in this area should gather data from a larger number of respondents from each company and seek objective performance data. Furthermore, since alumni self-nominated their companies for inclusion in the study leading to a non-probability sampling design, findings may have limited generalizability to other populations. Another constraint we acknowledge results from our attempt in delving into an abstract line of enquiry – values as opposed to practices – and we might have tapped into marginal preferences, rather than underlying values in this respect (Maseland & van Hoorn, 2009). Finally, items used to measure high-investment HR values were developed for the purpose of this study based on existing studies (e.g. Bae & Lawler, 2000; Bae et al., 1998; Lewin & Yang, 1992; Thang & Quang, 2005). While the psychometric properties of the measure used were adequate, more research is needed to further establish its validity.

In conclusion, the findings of this study contribute to an increased understanding of whether Western HRM philosophies can work within the context of emerging economies in general, and for South Asian companies in particular. Considered from a broader perspective, they provide further evidence that the notion that employees create

value for firms and are a potential source of sustained competitive advantage may have widespread applicability despite significant differences in cultural and managerial values.

Disclosure statement

No potential conflict of interest was reported by the authors.

Note

1. Except for Afghanistan which became a member state in 2007.

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■ 特集「多様性とリーダーシップ」 に寄せて

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本特集のテーマは多様性とリーダーシップである。多様性のマネジメントは、今日では、実務において最も重要な課題の1つである。

多様性のマネジメントの重要性が高まっている背景は、主に2つあると考えられる。1つは必要に迫られてである。年齢や性別、国籍にかかわらず、様々な人がやりがいを持って働くことができる職場を提供することが、社会から強く求められているのである。もう1つは、創造的成果を求めてである。一般に、同じような人たちで占められている職場よりも、多様性が高い職場の方が、創造的成果を生み出しやすいと考えられている。このため、職場における多様性を高めることが必要となっているのである。

多様性に関する研究は日本では少ないものの、世界に目を向けると、非常に多くの研究が行われている。その理由は、海外の企業、特に欧米企業には、様々な国や文化、人種の人たちが存在し、そのマネジメントが重要な課題の1つだったからであろう。

ただし、初期の多様性研究は、多様性のネガティブな影響に関する研究が主流であった。多様性にどのようなネガティブな影響があり、そのネガティブな影響を抑えるために何が必要かを明らかにしようとしている。また、多様性の対象が、性別や年齢、人種などデモグラフィックな要因に限られていた。デモグラフィックな要因は相対的に認知しやすいため、実務上も研究上も注目されやすかったのである。

しかし、最近では、傾向が変わってきている。第1に、多様性のポジティブな側面にも焦点を当てた研究が増えてきた。第2に、多様性と職場の成果の関係を媒介する要因の解明が進んできた。第3に、デモグラフィックな多様性に加えて、職能分野や職務態度、考え方・価値観など様々な要因に関する多様性に焦点を当てた研究が増えてきた。第4に、多様性と成果の関係をモデレートする要因が明らかになってきた。

このような研究の流れの中で、本特集で焦点を当てているのはモデレータ要因としてのリーダーシップである。多くの先行研究が、リーダーシップが職場の個々のメンバーや職場集団そのものに加えて、職場の成果に重要な影響を及ぼすことを明らかにしている。このため、リーダーシップは、多様性のネガティブな影響を抑え、ポジティブな影響を引き出す重要なモデレータ要因であると考えられる。実務上も、国籍や性別、専門能力、考え方・価値観が多様な職場において、各メンバーの個性を大事にしながら、多様な人たちが協働し新しい知識を生み出すためのリーダーシップが求められている。

ところが、モデレータとしてリーダーシップを取り上げている研究は多くない。その上、様々な視点やフレームワークで研究が行われているため、各研究で得られた知見の整理が進んでいない。多様性を扱ったリーダーシップ研究の中で、例外的に研究の数が多い

のはグローバル・リーダーシップである。しかし、グローバル・リーダーシップ研究においても、視点やフレームワークがバラバラで、知見の整理は進んでいない。

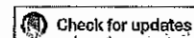
そこで、本特集では、多様性とリーダーシップに焦点を当て、これまでどのような研究が行われてきたのかを俯瞰し知見を整理する。これまでの研究の知見と今後の課題を共有することで、今後必要となる研究指針を示すことができるからである。

谷口論文は、多様性について概観した上でリーダーシップとの関係を整理している。多様性を、個人レベル、集団レベル、組織レベルで分けて整理し、それぞれについて検討している。この整理の仕方は、今後、多様性に関する研究に取り組む際に参考になると思われる。また、同論文では、多様性とリーダーシップについて何が課題となっているのかが明確にされている。このため、今後、このテーマの研究に取り組むための指針となる論文となっている。

永井・ベントン・椿・木野論文は、多様性とリーダーシップの中でも、グローバル・リーダーシップに焦点を当てている。同論文では、学術的なものから実務に即した提言まで、また理論ベースのものから実証を行っているものまで、幅広く先行研究を取り上げている。同論文は、多くの先行研究を、3つの視点から整理している。グローバル・リーダーに求められる行動特性や個人的特性に焦点を当てた研究、グローバル・リーダーの育成方法に焦点を当てた研究、グローバル・リーダーシップの効果測定に焦点を当てた研究の3つである。同論文は、グローバル・リーダーシップ研究の全体を俯瞰し、整理して提示することで、今後、グローバル・リーダーシップ研究に取り組むための指針を示している。

飯塚論文は、マインドフルネスという概念から、多様性とリーダーシップの問題に切り込んでいる。多様性のネガティブな側面として取り上げられることが多いのが社会カテゴリー化である。社会カテゴリー化によって心理的に生じたサブグループ間では、バイアスや感情的な対立が生じやすいからである。マインドフルネスについては、まだ、学術的な成果として多くが見出されているわけではない。しかし、今後、研究が進むことで、多様性のネガティブな側面を克服し、創造的成果を引き出すリーダーシップの理論構築に貢献する可能性がある。

本特集に掲載されている論文は、いずれも各テーマに関する重要な論文に言及している。したがって、これらの論文が取り上げている論文を改めてレビューすることで、各テーマにおける研究の進展状況に対する理解を深めることができる。これにより、各テーマの研究をさらに進化させるペースが出来上がると考えられる。本特集が、多様性とリーダーシップに焦点を当てた研究の促進に多少なりとも貢献できることを願ってやまない。



Changing facets of leadership in East Asia: globalization, innovation and performance in Japan, South Korea and China

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ABSTRACT

Japan, South Korea and China are the three juggernauts of the East Asian economy. In gross domestic product terms, China is the world's second largest economy, Japan the third and South Korea the eleventh. Also, Japan and South Korea are the only two of the OECD's prestigious Development Assistance Committee members from Asia, providing a large combined annual budget to developing countries, and the only two Asian countries of the seven-member 50–20 Club with members with a population of 50 million or more and a per capita GDP of US\$20,000 or more. Many studies have offered explanations of this Asian economic and corporate success, although few have attempted to explain the leadership styles in these three countries. Globalization has also changed these economies enormously, leading to the possible convergence with universalism forces and commensurate globalization of their leadership styles. This collection, therefore, presents some of the most recent findings of leadership studies on Japan, South Korea and China in light of this.

KEYWORDS

China; Japan; South Korea; leadership; leadership styles; performance; globalization

Introduction

Japan, South Korea ('Korea' from now on) and China are the three juggernauts of the East Asian economy, whose combined nominal gross domestic product (GDP) in 2017 represents roughly 95% of the US GDP of US\$19 trillion or 96% of the 2018 EU GDP of US\$18.8 trillion. If one adds Hong Kong and Macao to mainland China, the figure gets much bigger. China is the world's second largest economy in terms of GDP, with 21 firms listed on the 2018 Fortune Global 100, Japan is the third largest, with 9 firms and Korea is the eleventh largest, with 3 on the list. Japan and Korea are the only two of the OECD's prestigious Development Assistance Committee members from Asia, providing a combined annual budget of \$11.2 billion to developing countries in 2015, and the only two Asian countries of the seven-member 50–20 Club of members with a population of 50 million or more and a per capita GDP of US\$20,000 or more.

What has been particularly noticeable in the mainstream discourse of East Asian development has been a unanimous emphasis on the political economic understanding

of the three economies. That is, most relevant studies in the field underscored the importance of the developmental state and its bureaucratic leadership (White 1988; Appelbaum and Henderson 1992; Haggard 2004; Beeson 2009). Others emphasized culture and institutions that enabled the so-called Confucian work ethic and culturally unique organizational practices that together brought about their 'economic miracles' (Berger and Hsiao 1988; Kim and Park 2003; Zhang, Liu, and Liu 2012). However, few studies have offered alternative explanations of East Asian economic success and the 'troubles' thereafter by enlarging perspectives on the issue with leadership, including such thorny subjects as leadership styles, succession and their relativeness to corporate performance and innovation, which are much needed as pivotal elements of macro-economic success.

Our collection is in response to such questions and also to a growing recognition that all research is indigenous in nature. However, often this wider perspective has often been more in rhetoric than reality when it comes to publication in what are regarded as the 'top' mainstream journals with their increasingly narrow silo bases with 'assumed knowledge', reviewer bias, etc. Nevertheless, this limitation has at least been increasingly noted across a range of both more expected (Tsui 2004; Van de Ven 2012; Li 2012; Rowley and Redding 2012) and more surprising (Bruton, Zahra, and Cai 2018) journals.

Therefore, this collection of studies offers new research questions on leadership in the East Asian context. These are:

- (1) Are business leaders in East Asia always submissive to political leaders in not being able to challenge the latter in democratic elections? Is the developmental state and its bureaucratic leadership constantly blocking business leaders' participation in politics? What would be the structure of power relations between political and business leaders in the production of the Japanese and Korean economic miracles?
- (2) How do Japanese and Korean firms achieve high performance through employees' prosocial behaviours that are positively related to the 'issue related' leadership style? When globalization necessitates changes in employer-employee relationships (e.g. weakening lifetime employment and enterprise unions based on voice), how do firms maintain prosocial behaviour among employees using the issue related leadership style?
- (3) Is it possible to measure effective leadership (see Rowley and Ulrich 2014 on effectiveness) in East Asian firms? How can firms train their leaders in the required areas of task-focused behaviours, relationship-focused behaviours, transformative leadership skills and developmental behaviours?
- (4) How much is leadership pivotal in determining corporate success in Korea? What would be the solution to the ongoing problems of *chaebol* leadership that involve corruption, state-business collusion, power abuse over employees and lack of innovation? What would be an ideal corporate governance mechanism?
- (5) How can private firms and their leaders survive in a socialist political system that wants to promote private firms and their business interests in a tightly controlled market? What would be an ideal leadership style under the system of political economy where all the traditional, socialist and capitalist elements of the economic system are lucidly visible?

- (6) How can one conceptualize the evolution of leadership styles in an organization that has transformed itself into a semi-private entity from a state-owned institution? How would politically appointed leaders neutralize threats arising from the labour union inside and the state itself that pressures leaders to promote its interests in the firm in the context of Korea, where the state has always been a strong interventionist in the realm of business? How do we conceptualize leadership in a public broadcasting system in a country that has a strong developmental state?

All these research questions are empirically answered in each contribution to our collection. The use both qualitative and quantitative data with appropriate methodological rigour and triangulation.

Japan, Korea and China represent three different types of leadership in widely dissimilar environmental structures. It is necessary for us to deal with all three countries to ascertain East Asian leadership models that unanimously produced 'economic miracles' along with cyclical catastrophes. There is no particular order in our research, although we present the comparative studies first, followed by single case studies. The first two contributions deal with a comparison of Japan and South Korea, while the rest deal with single case studies of Japan, Korea and China. Subtopics of the studies presented in this collection include globalization, innovation, training, organizational performance and environmental threats.

Literature review

As we argued above, many studies have offered explanations for the economic and corporate success of Japan, Korea and China, although few have attempted to explain leadership styles in them (see *inter alia*, Swierczek 1991; Jung and Avolio 1999; Chen 2004; Lok and Crawford 2004; Li 2006; Long, Huang, and Lau 2012; Rowley and Ulrich 2014). Rowley and Ulrich (2014) introduced a wide range of leadership studies on Japan, China and South East Asia; however, there was no chapter on Korea. The book remains predominantly focused on Chinese and South East Asian case studies with emphasis on the cultural modelling of Asian leadership. Other extant studies on East Asian leadership also fail to deal with Japan and Korea. Ulrich and Allen (2014), for example, deal with China, Singapore and India to advance their analysis of the impact of talent on firm performance in Asia. If they had included Japan and Korea, they would have immediately recognized how talent had already been highly utilized for firm performance in these two Asian countries, which could have served as a backdrop against their new findings that talent is relatively a new phenomenon in Chinese, Singaporean and Indian firms.

Takahashi, Ishikawa, and Kanai (2012), on the other hand, use the Japanese case as a point of departure from the dominant Western theories of leadership. They argue that triangulation that involves qualitative data in the study of leadership styles in the Asian context is as much needed as quantitative data for a fuller picture of East Asian leadership. Nonetheless, in their seminal work, the authors fail to address the question of why Japanese leadership styles should take a foundational model in the study of South East Asian leadership. If they had dealt with China and Korea, they would have found out easily that their leadership styles are also present in many South East Asian firms as key

models. By neglecting the influence of Korean and Chinese leadership on South East Asia, it is very difficult to ascertain that Japanese leadership is a single model in the region. Ishikawa (2011, 2012) made a new attempt to examine one of the long-term issues of Japanese R&D and leadership styles to commence a fresh debate on the changing nature of Japanese leadership after decades of reforms in Japanese firms. However, this formative work still fails to address how these new changes would bring in more similarities, if not differences, between Japanese and Western leadership on the one hand and between Japanese and other East Asian, namely, Korean and Chinese, leadership on the other. In these works, Japanese leadership remains unique and seen as not being able to serve as a model of East Asian universalism that could have influenced Korean and Chinese leadership styles.

Indeed, most available studies of East Asian leadership in English remain cultural comparisons taking the Chinese Confucian philosophy as a point of departure, which they believe would distinguish East Asian leadership from that of the West (Swierczek 1991; Jung and Avolio 1999; Chen 2004; Lok and Crawford 2004; Li 2006; Long, Huang, and Lau 2012). Although classifying and identifying cultural leaderships (i.e. leadership that emphasizes indigenous cultural norms, mores, and values) across the world also serves Hofstede's (1980) quantifying of cultural differences, it will obviously fail to explain why cultural leadership is a significant factor of high performance or business success in an ever more globalizing world.

Amidst globalization, Japan, Korea and China have undergone enormous transformations over the years, especially since the pivotal Asian Financial Crisis of 1997. Chinese state-owned enterprises (SOEs) are now being privatized with civilian leadership that also boldly includes foreign citizens, as in the case of Lenovo. Notably, private firms like Ten Cent and Alibaba boast unprecedented success under civilian leadership for the first time in post-war Chinese history (Ahlstrom, Bruton, and Yeh 2008; Liu, Xiao, and Huang 2008; Wang, Tee, and Ahmed 2012; Tsui and Bian 2014). The globalization of Japanese *keiretsu* firms (Fitzgerald and Rowley 2015, 2017), whose governance structures were once stalwartly protected by main banks, directorate interlocking and stock mutual ownership, is now dissolved into independent groups that are loosely connected to the main banks that are merged with former competitors (Oh 2004; Vogel and Vogel 2006; McGuire and Dow 2009). The situation in Korea is coupled with radical political changes, while the economy has been rapidly globalized since 1997. Governments with opposite economic agenda intervened in the market with a myriad of negative effects, which culminated in a radical citizen movement that finally impeached the incumbent President. While big *chaebol* groups continue to regularly pump out very large net profits, their leadership is mired with corruption, imprisonments and forced contributions to slush funds to powerful politicians (Oh 1999; Hundt 2005; Shin et al. 2018).

What is required in the analysis of East Asian leadership is a dynamic explanation of corporate phenomenon that goes beyond the limits of Confucianism, cultural modelling or particularistic views of leadership that is contrasted with Western leadership models. We need a theory that can explain both leadership success in terms of high performance and innovation and leadership failure in terms of deficient creativity, lacklustre organizational transformations, especially in the area of corporate governance and ensuing political corruption in the name of Chinese *guanxi*, with equivalents in Korean with *'yuchak'* and with Japanese *'yūchaku'*, social networks and state-business collusion.

In terms of the 'effectiveness' of leadership types, in the literature there is a range of contingency-type theory and models that can be used to identify the appropriateness of particular leadership styles and situational leadership. Due to space constraints, we will quickly note just a few. These range from the classic Tannenbaum and Schmidt (1958) framework with '3 Forces' in leaders, subordinates and situations to Hersey-Blanchard (1977) with relationship and task factors. Likewise, effective leadership can be seen in models using Path-Goal Clarification based on Expectancy Theory (Vroom 1964; House 1971), common abilities (Bennis 1989), core characteristics (Black and Morrison 2014) to the '3 Cs' (Context, Culture, Competence) of Rowley and Ulrich (2014).

Overview

This collection is structured with comparative studies (Japan and South Korea), followed by single-country case studies that are issue based: measuring leadership styles, leadership and performance, leadership in private firms and leadership in public corporations. In Table 1, we provide a quick, simple overview of our collection by country, theories, themes and findings and implications to give a quick taste of the scope and totality of the content. This shows two contributions deal with the issue of 'cross-border leadership' in Japan and South Korea and the issue of 'prosocial behaviour' in the two countries. The purpose of these comparisons is to figure out how two seemingly similar countries in East Asia can engender vastly different outcomes due to both endogenous and exogenous factors.

Oh and Takahara use a historical case of Aoki Ichigorō, who organized political movements against the US military base in his town in the 1950s to protect his business interests. This highlights the fact that populist political participation by business leaders was not rare during the immediate post-war years in East Asia. The fact that a landed business owner promoted socialist struggles in favour of the working class and peasants is a single most important piece of political populism as a disguised gesture to justify his prosperous business property during economic hardship. However, what distinguishes Aoki from Ahn Cheol-soo in Korea in 2018, another populist political leader hailing from his earlier career as a medical doctor and a computer vaccine programmer and start-up CEO, is not the fact that both were 'cross-border leaders' who jumped between business and politics under the slogan of political populism, but the startling indication that the latter failed to produce a 'genuine' caricature as a true sympathizer of young and poor voters who wanted to replicate Ahn's business success. The comparative study may support a hypothesis that the lack of sincerity among leaders in Korea has continuously plagued their leadership performance in both business and politics. This is partly due to the lack of networking leadership, i.e. leaders who network dissimilar groups, in favour of convergence leadership, i.e. leaders who assume headship in unrelated organizations without necessarily networking them.

Kim and Ishikawa deal with the economies of Japan and Korea to discern some stark differences and similarities between the two countries in terms of leadership and corporate performance. By setting a new scene of post-globalization firms in the two countries, where lifetime employment, payment by seniority and enterprise unions have faded with some replacement by external workers or what they call 'portfolio career workers' (PCWs) who are 'hired based on their career track records', the authors raise a question of whether

Table 1. Overview of the studies.

Authors	Country	Theories	Themes	Findings and implications
Oh and Takahara	Japan, Korea	<ul style="list-style-type: none"> • Transnational capitalists • Political populism • Networking leadership 	Business leaders challenging political leadership	<p>More business leaders trying to be political leaders as globalization and transnational capitalists are on the rise</p> <p>Populism is a dominant rhetoric among these leaders</p>
Kim and Ishikawa	Japan, Korea	<ul style="list-style-type: none"> • Exit, voice, loyalty • Prosocial behaviour • Cultural leadership 	Issue-related leadership style and prosocial behaviour	Issue-related leadership can ensure prosocial behaviour among employees even without lifetime employment, payment by seniority or enterprise unions
Murase, Roebuck and Takahashi	Japan	<ul style="list-style-type: none"> • Organizational measurement • Leadership measurement • Leadership skills 	<p>Measuring leadership styles and capabilities</p> <p>Training future leaders</p>	Task-focused behaviours, relationship-focused behaviours, transformative leadership skills and developmental behaviours are measurable and objectifiable for future training
Yoon and Suh	Korea	<ul style="list-style-type: none"> • Leadership succession • Corporate governance • Economic development 	<p>Impact of leadership on firm performance</p> <p>Reforming corporate governance</p>	<p>Size, leadership, debt and export significantly affect performance among firms.</p> <p>Firms should increase the size the management to sustain high performance</p>
Zhou, Kim and Rui	China	<ul style="list-style-type: none"> • Economic transitions • Confucian leadership • Socialist organizations 	Leadership in private enterprises	During transitions to capitalism from socialism, CEOs emphasize a new leadership style of pro-Western values based on traditional Chinese philosophy and socialist rules of <i>guanxi</i>
Kim	Korea	<ul style="list-style-type: none"> • Resource dependence theory • Organizational power • Leadership evolution 	Leadership evolution in public broadcasting corporations	<p>The state remains the most unstable external threat to the public broadcasting system.</p> <p>Leadership styles evolve as the state changes</p>

the high performance levels can be maintained without the conventional 'voice' mechanism. They find that the conventional voice mechanism can still take effect when leaders in these two countries empower employees with proactive and prosocial programmes of job rotation, specific investments and semi-routinized informal networking activities. This finding will certainly support the hypothesis that post-globalization firms in these two countries can still enjoy persistent employer–employee 'bonding' through 'voice' eventually resulting in high corporate performance. However, the data in neither country confirm another hypothesis – that this prosocial bonding between employers and employees will culminate in the realization of the issues discussed between them to improve their working conditions and firm performance. Most issue-related leadership styles remained symbolic at best. The value of the voicing mechanism in the long run, therefore, has to be complemented with other means of reassuring work motivation and high performance in these two countries.

Murase et al. in their study of leadership present a psychological methodology of measuring leadership scales and training future leaders in a desired leadership direction. Their key finding is the devising of a way to measure leadership knowledge in addition to different scales of behaviours. If conventional scales focussed on measuring behavioural differences from one leadership style to another, it is necessary to measure how these leaders think and store their memories in their brain before executing them into distinguishable behavioural patterns. The Situational Judgement Test (SJT) these authors devise is intended to test the 'correct' knowledge leaders have about their characteristic behaviour patterns. This is to rule out the possibility of culturally stereotyping leadership behaviours in Japan by identifying exact correlations between real knowledge acquisition among leaders and their actual leadership behaviours. The SJT measures knowledge levels acquired among leaders who demonstrate the following four distinctive behavioural patterns: task oriented, relationship oriented, transformational leadership and developmental. When tested against 658 students in West Japan, the authors found out that the SJT had enough level of difficulty that could easily distinguish students who had knowledge about their choice of leadership behaviour from those who had no such prior knowledge. Although some can raise the obvious concerns about the use of student samples, the authors extensively cite past research that reports no significant deviation of findings based on student samples from those based on field samples. The results indicate that desired leadership behaviour can be taught using appropriate background knowledge of such behaviour, a finding that is widely different from conventional wisdom that culturally rooted behaviours are merely mimicked rather than systematically learned. This finding also means that behaviours, unlike habits, can be easily corrected through education.

Yoon and Suh attack the question of how much leadership within Korean industrial organizations affected the country's miraculous performance during the developmental years. This is because much of the previous research has taken the environmental conditions of Korean firms too seriously, thereby neglecting leadership as part of the structural characteristics that affect organizational performance. In addition, the extant studies of Korean development also fail to precisely elucidate the effects of the leadership factor on sluggish performance. Furthermore, in recent years, the chief executive officers (CEOs) and high-level executives of the *chaebol* have triggered a series of scandals involving power abuse and economic/political corruption, leaving severe

dents on not only their reputation but also corporate performance. Against this backdrop, developing a new theory of leadership that explains both high corporate performance and leadership failures is justified. Gleaned from the multivariate regression analysis, the authors find that, *ceteris paribus*, 'size', 'leadership', 'debt' and 'export' significantly affect organizational performance. Under these circumstances, Korean businesses may as well consider increasing the size of managerial teams and strengthening the monitoring role of boards to fend off corruption and power abuse. Finding an optimal number of top management teams is a trade-off between the benefits of having enough monitoring capability and the costs arising from increased inefficiencies as well as the free-riding problem among managers.

Zhou et al. present the only Chinese case in our collection, with special attention given to the well-known entrepreneur Jack Ma of Alibaba.com. Ma's particular leadership style is considered by many to represent an amalgamation of ancient Chinese leadership styles and Western entrepreneurialism. Entrepreneurialism in the IT industry coincided with governmental economic policies that strongly favoured innovative modes of industrialization that differed from those of the previous era characterized by trial and error or even outright piracy. Ma's leadership is both old and new in China as he dealt with the traditional socialist state and the rapidly emerging free market relying on the social and familial relationship commonly referred to as '*guanxi*'. In balancing traditionalism in the manipulation of the Chinese socialist state and espousing capitalist creativity in the manoeuvring of local and global markets, Ma displayed an unprecedented leadership skill of coping with the abrupt transition from socialism to Chinese hyper-capitalism. Unlike the dominant Confucian leadership argument, these authors advance an alternative explanation of Ma's leadership: he is both radically innovative and transformative (transformative leadership) and yet he knows how not to anger Chinese government officials (cultural/traditional leadership). Ma's leadership style is not Confucian, as he adheres to the two critical pillars of Mohist philosophy, an ancient school of Chinese philosophy that emphasized harmony and organizational unity among members, by defying the dominant Confucian hierarchies. In sum, when socialism no longer served the fundamental ideological tenet that could guide capitalist transitions in China, leaders like Ma found alternative guidelines not in Confucianism but in Mohism. This suggests a diverse array of ideological solutions to the current Chinese problem for the business leaders in the country.

Finally, Kim explains Korean leadership using a Western theory – Resource Dependency and/or organizational power. Using the biographical data of all the CEOs appointed by the government in the last five decades, the author tries to establish an argument that leadership styles have evolved during the same period to neutralize environmental threats, including the availability of external funding, intimidation of censorship and external appointments of key managers and monitors for the formerly state-run broadcasting corporation, KBS. As a government propaganda machine throughout the military regime, KBS had to rely solely on government funding to survive during the formative years of the 1960s and 1970s. Most CEOs in this period had to legitimize their leadership style by providing full loyalty to the military leaders in exchange for growing budgets and diversifying programme content. However, when TV commercials became an important source of external funding for KBS in the 1980s, leadership style became more professional to attract talent in the market. Competition over TV commercials and additional state funding in exchange for high-quality programmes necessitated such leadership transformations.

However, when politics was fully democratized in the 1990s, party loyalty for an incumbent government determined leadership styles. If a left-wing party was in power, a left-leaning candidate became KBS CEO, or a right-wing candidate for a conservative government. This politicization of the leadership succession grossly undermined the stability of KBS governance, while viewers complained about the shifting ideological tones of programme content due to changing governments every 5 years. In this sense, both *chaebol* and public corporations in Korea face more intensified state threats as an external factor of leadership succession after democratization than during the military regime.

There are, of course, limitations in our collection. These include not only the varying breadth and depth of the contributions, but their internal coherence across the volume. By its very nature some topics have been ignored. Some obvious ones concern the lack of diversity – gender, age and ethnicity – in leadership, especially in Japan and Korea.

Conclusion

Our collection dealt with a wide range of problems in the three different East Asian countries of Japan, Korea and China. These countries represent a large segment of the global economy that is comparable to the US and EU economies. They also boast strong track records of innovation and corporate performance, with a combined total of 33 companies in the Forbes Global Top 100 in 2018.

However, these economies, again similar to those of the US and the EU, have faced enormous difficulties and hardship during the 1997 Asian Financial Crisis and 2008 Global Financial Crisis and recessions. The globalization that has swept through the East Asia region since the 1990s has transformed some parts of these countries into a hypermodern global urban area. The process of globalization, however, was fraught with difficulties, holdups and hardship as well as counter-vailing pressures and currents (see Rowley 1998; Rowley and Benson 2004).

All six contributions presented here address the common concerns that are wanting in many of the extant studies of East Asian leadership. These are:

- It is difficult to generate a universal claim about the three East Asian economies and their leadership styles.
- Leadership in East Asia is also changing constantly, whereas performance does not seem to correspond with the desired leadership inputs.
- The cultural modelling of East Asian leadership may present more problems than solutions to corporate leaders as the model fails to explain why firms sometimes excel over competitor and fail miserably at other times.
- It is not easy to explain why effective leadership in East Asian firms also falls into the trap of corruption and power abuses.
- Dynamic explanations are needed instead of static theories of leadership for East Asian firms.

All six contributions gathered here present idiosyncratic stories of East Asian leadership in each country. Oh and Takahara explored why more Korean business leaders want to become political leaders than their Japanese counterparts. Even when both participate in politics, Japanese leaders emphasize networking leadership (i.e. putting different

groups together in one network) more than convergence leadership (i.e. moving from one field to another without necessarily networking different fields together). Kim and Ishikawa tackled the question of leadership effectiveness after globalization and managerial reforms in Japan and Korea. Although they found that issue-related leadership was effective in ensuring employee motivation through the voicing mechanism, the two countries showed widely different degrees of leadership failures in implementing such issues into actual policies against the wishes of the employees.

Murase et al. also found that the cultural stereotypes of leadership for Japan would not automatically generate effective leadership styles for firms as knowledge is required in acquiring and executing leadership styles for different decisional situations. Yoon and Suh emphasized the corruptive nature of Korean leaders, despite their contribution to the economic miracle. They suggest that the size of the managerial team could be expanded to counter corruption and power abuse with an increased number of supervisors, monitors and other controlling positions. Zhou et al. highlighted a peculiar combination of Mohist, socialist and capitalist traits of the new leadership in successful private firms in China, ripping apart the cliché of Confucian and familial leadership. Finally, Kim utilized the resource dependence outlook to explain why Korean leadership has constantly evolved, depending on the changing business environments. She startlingly established the fact that political democratization has put the state more in the centre of the Korean economy to the extent that it can generate enough threats to corporate survival, including leadership successions.

Albeit lacking some coherence and generalizability, our collective results, nonetheless, provide fresh outlooks and findings for readers. What is needed in the future is a more grounded theoretical perspective than clichés and banalities in the reconstruction of East Asian business and its leadership styles. For one thing, we need to gather tangible empirical and qualitative data, as our collection does. The data must be based on facts rather than a deliberate re-engineering of the facts. Culture in this sense must be treated by all researchers with utmost care. Culture is to balance what ought to be done in the name of civilization and universalism and what needs to be changed in the name of humanity and justice; it is not to set up 'straw figures' that would wrongfully lead the future of academic discourse to a fatal direction. We need to keep practicing what we have done in this collection.

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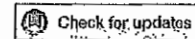
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Formal voice mechanisms and portfolio career workers' prosocial voice in Japan and Korea: the mediating role of managers' issue-related leadership activities

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ABSTRACT

This study analyses the relationship between formal voice mechanisms and prosocial voice among portfolio career workers (PCWs) in Japan and Korea. We particularly focus on the leadership activities of managers as human resource management agents and issue sellers. Under similar conditions, data on 400 and 409 PCWs in Japan and Korea, respectively, are gathered through web-based longitudinal surveys conducted in 2017 and 2018. The findings are threefold. First, when PCWs perceive that formal voice mechanisms are activated, they also rate the levels of their managers' issue-related leadership activities more highly. Second, when PCWs evaluate the issue-related leadership activities of managers as being at a high level, they perceive that employment relations are based on a social exchange relationship. Third, when PCWs perceive employment relations based on a social exchange relationship, they provide their prosocial voice more actively. These results are discussed relative to the internal labour market models of Japan and Korea.

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Introduction

In recent years, many companies have begun to adopt high-performance work practices (HPWPs) to develop their human capital into a source of competitive advantage. HPWPs are a variety of complementary and interconnected management practices which increase workers' abilities, motivations, and opportunities to contribute to company decision making to ultimately improve company performance (Bae et al. 2011; Huselid 1995; Takeuchi, Chen, and Lepak 2009). Previous research concerning HPWPs has shown that having more of these practices in place makes it easier for a company to create a competitive advantage (Guthrie 2001; Huselid 1995; Sun, Aryee, and Law 2007).

Although HPWPs are a ubiquitous human resource management system found in companies around the world, this study focuses on Japanese and Korean companies. This focus is because employment relations in both of these countries have the necessary foundation for HPWPs in place (Bae et al. 2011; Kato 2014). HPWPs consist of seven HR management practices: 'selective staffing [based on ability], self-managed teams, decentralized decision making, extensive training, flexible job assignments, open

communication, and performance-contingent compensation [practices such as group-based pay]' (Evans and Davis 2005). Putting these practices into effect requires trust between a company and its workers, long-term investment in human capital, and a sense of solidarity between workers. Researchers have pointed out that HPWPs are a good institutional fit for Japanese and Korean enterprises because long-term employment, seniority-based wage and promotion systems, and company-level labour unions are mainstream management policies in those countries (Bae et al. 2011).

For these reasons, Japan and Korea are common subjects of HPWP efficacy research. Indeed, HPWPs are one explanatory factor for the competitive advantages of Korean and Japanese enterprises. According to previous studies of Korean and Japanese firms, HPWPs promote employee commitment (Chaudhuri 2010; Takeuchi, Chen, and Lepak 2009) and job satisfaction (Choi and Lee 2013; Takeuchi, Chen, and Lepak 2009) and mitigate employee turnover (Yalabik et al. 2008), ultimately contributing to improvements in workplace (Frenkel and Lee 2010) and business performance (Bae et al. 2003; Choi 2014; Choi and Lee 2013; Takeuchi et al. 2007).

However, given the recent employment environment, even Japan and Korea surely differ. Japan is maintaining its past 'East Asian model of industrial relations' (Bae et al. 2011), whereas Korea is rapidly shifting away from that model towards the 'Westernized flexible system' (Rowley and Bae 2002). It follows that such institutional heterogeneity affects the efficacy of HPWPs. Particularly in Korea, which has experienced increased employment instability since the 2000s, it is possible that the efficacy of HPWPs is becoming impeded. After all, employees' voluntary cooperation with and participation in HPWPs both operate under the premise of long-term employment practices. In other words, it is possible that even among Japanese and Korean companies, which are considered to have some of the most effective HPWPs in the world, differences in the effectiveness of those programmes have surfaced due to recent changes in industrial relations. Thus, one reason that research on Japanese and Korean companies is very important is to clarify this point.

Among the many human resource management bundles comprising HPWPs, formal voice mechanisms (FVMs) have undergone serious review.¹ FVMs are various types of systems within a company designed to facilitate employee voice. Small-group activities, shop-floor committees, and so on are workplace-level voice mechanisms, whereas joint worker-management committees and collective bargaining are corporate-level voice mechanisms. The human resource investments which take place via HPWPs (e.g. employment stability, training programmes, etc.) can only actually bear fruit for a company if the expertise of the workers involved in the programmes can be applied on the job. FVMs have received more attention than other HPWPs because they serve as a channel for workers to convey their own opinions regarding the improvement and productivity of the company. In this context, studies which have focused on the effectiveness of Japan and Korea's East Asian model of industrial relations have underscored FVMs as a practical example. Positive relationships between FVMs and outcome variables are also supported in the literature on countries other than Japan and Korea (Bashshur and Oc 2015; Kim, MacDuffie, and Pil 2010; Landau 2009; Morrison 2011; Van Dyne and LePine 1998).

Furthermore, FVMs in Japan and Korea are known to positively affect employees' innovative activities (Bae et al. 2011; Kato et al. 2005; Kato and Morishima 2002; Tsuru and Morishima 1999). Bae et al. (2011), focusing on small-group activities and shop-floor

committees among HPWPs in Japan and Korea, show that the employees of companies that adopt these practices are more likely to feel that they can influence decision making in the workplace and make suggestions about productivity and quality improvements. Studies of FVMs in Japan and Korea show that these practices aimed at promoting employee participation encourage employee-driven innovation (Kesting and Ulhøi 2010).

This study, on the other hand, focuses on prosocial voice as the outcome variable for FVMs. Prosocial voice is defined as 'nonrequired behaviour that emphasises expression of constructive challenge with an intent to improve rather than merely criticise' (LePine and Van Dyne 1998, 854). Employee voice has often been used as the outcome variable for FVMs. However, almost no research has focused on prosocial voice as a subset of employee voice because most existing research on FVMs has been conducted in the fields of employment relations (ER) and human resource management (HRM). Whereas the term 'voice' is used in all cases, the ER field has interpreted it to mean expressions of individual and group complaints or grievances, and the HRM field has interpreted it to mean making suggestions in official venues, such as small-group activities.

However, employee voice also includes an active component in which prosocial motives lead employees to suggest constructive changes to the organization even when such suggestions have not been requested in official venues or as part of the employees' job duties. 'Prosocial motives' are voluntary and cooperative motives to contribute to the functionality of one's department or organization. Researchers in the organizational behaviour (OB) field have been bringing attention to the prosocial motives of employee voice. OB research has conceptualized this active component as 'prosocial voice' and has conducted numerous studies on this concept. As a result, prosocial voice has been found to have significant relationships with a variety of outcome variables (Landau 2009; LePine and Van Dyne 1998; Morrison 2011; Ng and Feldman 2012). However, the OB field has not taken much interest in the influence of institutions, which means that it has done very little research into FVMs. Thus, even in the OB field, no studies have focused on FVMs and prosocial voice.

Needless to say, the mechanism by which FVMs influence prosocial voice has not been established. Nevertheless, it is logical to posit that FVMs exert their influence through mediating variables rather than influencing the outcome variable directly. The perception of the various systems that make up FVMs can only influence employee actions if a process is established for employees to interpret the intent, meaning, and importance of those systems and become motivated to act. We must therefore illuminate the process that connects FVMs to prosocial voice.

Leadership activities by managers play the most important role in this process because workers often use the words and deeds of managers to understand aspects of the process, such as what the various systems in place actually mean and how they should be used. Indeed, many previous studies show that managers play the role of agents in HRM-performance causal chains that actually apply HRM in practice (Bos-Nehles, Van Riemsdijk, and Kees 2013; Harris 2001; Purcell and Hutchinson 2007; Renwick 2003). For example, Bos-Nehles, Van Riemsdijk, and Kees (2013) find that HRM cannot achieve its goal if managers are inadequately equipped to execute its practices, are insufficiently motivated by its goals, or receive insufficient internal support to execute HR principles.

Leadership variables also have significant effects on employee voice (Morrison 2011; Mowbray, Wilkinson, and Tse 2015). Various leadership styles, such as ethical leadership (Walumbwa, Morrison, and Christensen 2012; Walumbwa and Schaubroeck 2009), authentic leadership (Hsiung 2012; Walumbwa et al. 2010), and transformational leadership (Detert and Burris 2007; Liu, Zhu, and Yang 2010) positively influence employee voice.

Moreover, studies of Japanese management emphasize the role of managers (Berger 1997; Brunet and New 2003; Ishikawa 1985; Lillrank, Shani, and Lindberg 2001; Nonaka 1988). Nonaka (1988) characterizes Japanese management as middle-up-down management, a style that underscores the middle manager's role in coordination and integration in the knowledge combination processes. Further, Brunet and New (2003) underscore the role of a line manager in charge of internal control mechanisms and that of a middle manager in charge of external control mechanisms in the process of continuous improvement in Japan, which represents a team-level innovation activity.

This study takes portfolio career workers (PCWs) as its subjects. PCWs differ from long-term permanent employees hired through the recruitment of new graduates in terms of both the influence of FVMs on their prosocial voice and the mediating influence of leadership on this relationship. Historically, Japanese and Korean companies have been primarily staffed by long-term permanent employees hired through the recruitment of new graduates. However, as employment becomes more fluid, PCWs are growing as a percentage of the total workforce. This change may, in turn, affect the trust relationship between enterprises and their employees, greatly affecting the efficacy of HPWPs, but very little research on PCWs has been conducted thus far. In this study, therefore, we will focus on PCWs in Japan and Korea and determine both the relationship between FVMs and PCWs' prosocial behaviours and the influence that leadership has as the probable mediator of this relationship.

Theoretical background and hypotheses development

Portfolio career workers

PCWs are hired as regular employees on the basis of their career track records and enter companies as 'ready fighting power' (Fu 2016, 553). Portfolio career workers employees enter companies in a different manner from that of long-term permanent employees hired as new graduates. New graduates are hired through a standard process of mass hiring. A PCW employee, on the other hand, is hired through a recruitment process conducted to meet a company's specific needs. Broadly speaking, attitude and aptitude are prioritized when recruiting new graduates, whereas specialized knowledge and related experience are prioritized when recruiting PCWs. The two groups also differ in terms of their personal expertise. New graduates are generally given broad job rotations, especially at the beginnings of their careers. Experiencing many jobs through regular personnel reshuffling is prioritized over experiencing a specific job for a long period of time. In contrast, PCWs are well versed in specific jobs, but they often do not receive as much experience across a variety of jobs as new-graduate hires do.

Because of these differences, the effects of FVMs on each group are also different. The most important factors influencing this difference are expertise and psychological contracts.

Long-term permanent employees hired through the recruitment of new graduates are likely to have shallower and broader expertise than that of PCWs because new graduates' broad-ranging job rotations allow them to develop expertise specialized to their company as a whole rather than expertise restricted to one specific job. Therefore, when new graduates make suggestions to their companies, they can present opinions from a perspective of overall optimization rather than making suboptimal suggestions based on their jobs or departments. In contrast, PCWs' expertise tends to be deep and narrow. After all, PCWs bring a set of skills that applies to their specific job at any company. It follows, then, that PCWs more often make suggestions grounded in their fields of expertise rather than company-wide suggestions. In this way, the two groups differ in their types of expertise, and, thus, the content of their voice also differs. FVMs are intended to urge expressions of employee voice that contribute to overall company productivity and performance. Thus, it is relatively easy to urge new graduate hires to voice suggestions. PCWs, however, tend to focus only on issues related to their own specialties, and, thus, the degree to which they feel encouraged to express their voice through FVMs is likely to be lower.

In addition, most long-term permanent employees hired through the recruitment of new graduates likely have relational psychological contracts with the company. Most such employees tacitly assume long-term employment practices, so their psychological contracts with the company naturally become relational. Under such psychological contracts, a company's success is directly linked to employee gains. Long-term permanent employees hired through the recruitment of new graduates therefore attempt to undertake not only explicitly assigned in-role behaviour but also 'out-role behaviour'. Out-role behaviour is outside the scope of the role clearly defined within an employee's job description or employment contract and contributes to the performance of his or her department or the company as a whole. In Japanese and Korean workplaces, regular employees tend to stay and help with their colleagues' work even when their own work is complete, for example, so it is not uncommon for employees to work overtime. PCWs, on the other hand, cannot take long-term employment as given; instead, their psychological contracts are transactional. Under a transactional psychological contract, the priority is to maximize one's own gains. PCWs, therefore have no incentive to perform out-role behaviour that does not directly affect their employee performance evaluations. Prosocial voice is not a set job duty but rather is a type of voice which transcends the scope of one's duties. In other words, it is out-role behaviour. Because PCWs have less incentive to engage in out-role behaviour than long-term permanent employees hired through the recruitment of new graduates have, even the most plentiful FVMs are likely only weakly able to encourage the prosocial voice of PCWs.

For the above reasons, FVMs have less power to influence prosocial voice among PCWs than among long-term permanent employees hired through the recruitment of new graduates. Existing research on FVMs has consistently found them to have a positive influence on outcome variables. One of the key objectives of this study is to determine the degree of importance of FVMs' influence on PCWs, who are presumably less influenced by these mechanisms than new graduate hires are.

FVMs and employee voice

The works of Bae et al. (2011), Landau (2009), Kato and Morishima (2002), and Subramony (2009) are example studies of FVMs related to the emergence of employee voice as the

sharing of opinions that can contribute to the productivity and performance of enterprises. Subramony (2009) conceptualizes HR practices related to FVMs, such as formal grievance procedures and complaint resolution systems, autonomous work groups, and employee participation in decision making, as empowerment-promoting HR practices. Their meta-analysis shows that empowerment-promoting HR practices and business outcomes have a positive relationship. Further, Landau (2009) finds that a number of FVMs, such as suggestion boxes, suggestion committees, meetings with HR managers, and regular department meetings, have positive relationships with employees' voice propensity. She points out that the sum of FVMs as a system or bundle, rather than individual FVMs, has the most significant effect. Kato and Morishima (2002) find that, among employees in Japan, a cluster of FVMs, such as shop-floor committees and joint worker-management committees, have a positive relationship with labour productivity. Bae et al. (2011) also show that, among employees in both Japan and Korea, FVMs, including shop-floor committees, small-group activities, and joint worker-management committees, have positive relationships with employees' participation in suggestion activities.

In the context of the studies on FVMs, 'voice' refers to 'the ways and means through which employees attempt to have a say and potentially influence organizational affairs relating to issues that affect their work and the interests of managers and owners' (Wilkinson et al. 2014, 5). Studies of employee voice have two perspectives; one focuses on the 'system' as a macroscopic structure for promoting voice, and the other emphasizes 'behaviours' as a microscopic mechanism for creating voice (Mowbray, Wilkinson, and Tse 2015). The former relates to the fields of HRM and ER, and the latter refers to that of OB. Studies adopting the first perspective traditionally highlight the importance of FVMs, including direct FVMs led by enterprises (Holland et al. 2011) and indirect FVMs led by labour unions (Verma 2005). Direct FVMs tend to help employee voice contribute to the productivity and performance of enterprises, whereas indirect FVMs tend to regard employee voice as relating primarily to actions for expressing complaints and grievances to secure labour rights. This study focuses on direct FVMs because direct FVMs are those related to employee voice designed to contribute to company productivity and performance. Indirect FVMs, on the other hand, are related to the dispelling of worker grievances and complaints.

As discussed, this study sets prosocial voice as the outcome variable for FVMs. Many previous studies in the OB field demonstrate the effectiveness of prosocial voice. For example, a meta-analysis by Ng and Feldman (2012) finds that prosocial voice influences a variety of outcome variables, such as 'in-role performance, creativity, and the implementation of new ideas'. Morrison (2011) uses a literature review to show that prosocial voice significantly influences the organization-level and group-level outcome variables of decision-making quality, error correction, learning and improvement, and group harmony as well as the individual-level outcome variables of feelings of control, job attitudes, stress, ratings of co-workers, performance evaluations and compensation, and achievement.

We also know that 'job stressors and strains,' 'social stressors and strains,' and 'organizational stressors and strains' have been offered as factors which impact prosocial voice (Ng and Feldman 2012). Ng and Feldman's meta-analysis demonstrates significant relationships between prosocial voice and various workplace perceptions. These perceptions specifically include perceptions of job-related factors, such as job autonomy, job challenge, and job satisfaction; human-relations factors, such as relationship with

supervisor, supervisor interactional unfairness, and relationship with co-workers; and organization-related factors, such as organizational support, organizational communication, and openness to employee voice. However, although such OB studies have demonstrated that worker perceptions on various levels impact prosocial voice, the influence of institutional factors on those perceptions has not been investigated.

The relationship between FVMs and prosocial voice has not yet been identified, but the following studies are instructive. First, LePine and Van Dyne (1998) demonstrate that workers on self-managed teams have higher levels of prosocial voice. LePine and Van Dyne (1998) explain that this difference arises because workers on self-managed teams perceive more job autonomy and discretion and, thus, feel a greater sense of job involvement and responsibility. They also indicate that these employees perceive task interdependence and shared responsibility for group performance and participate more actively in group decision making. In addition, Landau (2009) shows that the number of FVMs has a positive relationship with voice propensity. Landau (2009) makes the point that the number of FVMs serves as a channel to convey to workers that the company actively wants to hear employee voice. Landau also explains that, from the workers' perspective, the more that workers perceive their company to be friendly towards employee voice, the more voice efficacy they feel. None of these studies investigates the relationship between FVMs and prosocial voice, but they show that FVMs are important sources of worker perceptions regarding voice. For these reasons, the following hypothesis is developed.

Hypothesis 1. The number of FVMs perceived by PCWs and PCWs' self-estimated prosocial voice has a positive relationship in terms of within-variation effects.²

FVMs and managers' leadership activities

When explaining leadership, the 'subjective' perceptions of followers who accept and interpret the leadership style is more important than the 'objective' characteristics or behaviours of the leader. According to the epistemological approach (Fry and Kriger 2009), the process by which followers recognize the leader as a leader depends on followers' cognitive interpretations rather than on the objective behaviours or characteristics of the leader (Lord and Emrich 2000).

We choose this approach because studies of the manager's role in HPWPs mostly emphasize employees' perceptions (Bos-Nehles, Van Riemsdijk, and Kees 2013). After all, employees' perceptions of what a manager is doing has a greater influence on employees than the manager's actual actions have. A manager may take a certain action, but if workers do not perceive that action, then, to the workers, it may as well not have happened.

Workers' perceptions of a manager's leadership activities may be formed by the state of the enterprise's everyday continuous improvement according to its internal information network because performing everyday continuous improvement requires cooperative relationships among workers and information-sharing between higher and lower levels of a company. Managers play the vital role of brokers within the communication networks needed for continuous improvement to occur. Thus, if continuous improvement takes

place, workers likely perceive the manager positively, and, conversely, if workers see no improvement, they likely perceive the manager negatively.

Explaining the effectiveness of leadership requires some common ground for formulating the leader–follower relationship, such as work, problem, opportunity, and project. In other words, leadership cannot exist in a vacuum. For followers to recognize the leader, a shared event is essential. Indeed, the perceptions of followers are formulated through a series of events shared with the leader. Hoffman and Lord (2013) suggest drawing up leadership theories based on ‘events’ as the unit of analysis. We adopt event management theory in this study because the notion of continuous improvement in Japanese management theories encourages constant interactions between the leader and followers in FVMs.

We argue that the perceived activation of the number of FVMs and the level of a manager’s issue-related leadership activities have a positive relationship. Kim, Baik, and Kim (2014, 109) define issue-related leadership activities as ‘a series of leadership processes in conceiving issues, acquiring internal stakeholder participation, executing issues, and creating performances’.³ They use the term ‘issues’, which they define as ‘identified problems, seized opportunities, new viewpoints, and creative ideas as a stimulus capable of drawing attention from team members’, instead of the term ‘events’ (100).

Leadership activities related to issues are classified into three categories: issue creation, audience involvement, and issue implementation. Issue creation includes ‘behaviours that stimulate team members to voluntarily take part in the process of finding opportunities to think outside the box beyond stereotypes and change the current situation’ (Kim, Baik, and Kim 2014, 113). Audience involvement refers to a ‘leader’s behaviours in trying to develop a bond of sympathy among the internal audience’ (Kim, Baik, and Kim 2014, 114). Here, the audience includes subordinates, colleagues, supervisors, and other important stakeholders. Issue implementation comprises ‘a series of efforts by a leader in trying to create outcomes by gathering team members and helping them access necessary human, material, and other resources in order to resolve the issues’ (Kim, Baik, and Kim 2014, 114–115). Kim, Baik, and Kim (2014) explain that these issue-related activities are part of a continuous process and that leaders manage the lifecycle of an issue through exploration, persuasion, and execution while standing at the centre of the internal voice network.

According to event management theory, leadership develops through a leader’s handling of various events (Hoffman and Lord 2013; Smith and Peterson 1988). Leadership perception theory suggests that followers need to perceive that the leader is an important actor at the centre of the relevant internal network through a series of problem-solving processes (Lord and Mahler 2002). In particular, we argue that the activation of FVMs perceived from the viewpoint of the voice network has a positive relationship with the enhancement of a manager’s issue-related leadership activities, where the voice network refers to a horizontal and vertical network in which issues discussed in FVMs are shared.

First, the activation of FVMs viewed from the perspective of the voice network increases the importance of the leader within the team. Batt, Colvin, and Keefe (2002) categorize problem-solving groups or self-directed teams as team-based voice mechanisms and point out that these mechanisms improve the efficiency of team-based work organizations. In this context, when employees perceive the group to which they belong as a team-based work organization, the leader’s network centrality strengthens because he or she

facilitates problem solving and chairs the voice mechanism (Berger 1997). Therefore, when the team-based voice mechanism is activated, the leader's influence in team-level decision making is likely to be strong. Additionally, under this condition, the voice of the leader is taken as the voice representing the team rather than that of only one individual.

Second, the activation of FVMs perceived from the viewpoint of the voice network increases the importance of the leader as an 'issue seller' in the organization. Issue selling refers to 'the process by which individuals affect others' attention for and understanding of the events, developments, and trends that have implications for organisational performance' (Dutton et al. 2001, 716). If employees recognize that FVMs are activated, then they think that the leader frequently communicates with important internal stakeholders and can create a voice on behalf of the group or team. For example, in Japan, line and middle managers have greater opportunities to communicate with factory or top management as representatives of their work groups (Brunet and New 2003). For these reasons, the following hypothesis is developed.

Hypothesis 2. The number of FVMs perceived by PCWs and the perceived issue-related leadership activities of PCWs' immediate supervisors has a positive relationship in terms of within-variation effects.

Managers' issue-related leadership activities and the employee-organization relationship

Research on HPWPs has indicated that the more the employees perceive HPWPs, the more they perceive their corporations as valuing social exchange relationships (Sun, Aryee, and Law 2007). A 'social exchange relationship' is a long-term and open-ended exchange relationship between contracted parties which is underpinned by socio-emotional aspects, such as obligations, trust, interpersonal attachment, and commitment to the other party, even if there is no explicit and official agreement, such as a written contract (Shore et al. 2006). Management policies, such as broad-ranging job rotations, group-based pay systems, and regular training programmes, for example, signal to employees that the company takes the social exchange relationship seriously because these HPWPs are investments in human capital which incur costs and require time to pay off for the company.

This signalling effect of HPWPs has been noted in previous research on FVMs. For example, FVMs, such as small-group activities and shop-floor committees, signal that the company values the social exchange relationship via a long-term trusting relationship with employees.

However, these signals are usually observed through front-line managers. Managers are the 'looking glass' for understanding the organization and a 'channel' for communicating the values and goals of the organization among front-line employees (Purcell and Hutchinson 2007; Sluss et al. 2012). Indeed, previous studies indicate that managers are HRM agents (Bos-Nehles, Van Riemsdijk, and Kees 2013; Harris 2001; Larsen and Brewster 2003; Purcell and Hutchinson 2007; Renwick 2003; Townsend 2014), and their issue-related activities mediate the perceived activation of FVMs and employees' perceptions of the HR system.

Next, we consider the concrete psychological mechanisms through which social exchange relationships are constructed. On this point, conceptualization of the

employee–organization relationship by Tsui et al. (1997) offers vital suggestions. Tsui et al. (1997) conceptualize employees' perceptions of the employee–organization relationship in two dimensions: employer-expected employee contributions and the inducements offered by the employer to employees. Employee contributions are 'the extent to which an employer encourages, through human resource practices, employees to focus their attention on their work units in addition to job performance' and employer investments are 'the extent to which an employer invests in the employees in terms of training and job security' (Tsui et al. 1997, 1101). If these two dimensions are both high, then the relationship is a social exchange relationship, as suggested by Blau (1964). Alternatively, if both dimensions are low, the relation is an economic exchange relationship.

In other words, if managers maintain both dimensions at a high level, workers become aware of the social exchange relationship. The demonstration of issue-related leadership by a manager has a positive influence on both of these dimensions.

First, issue-related leadership has a positive effect on employer-expected employee contributions for two reasons.

The first reason is that issue-related leadership can collect attention resources at the group level. Attention resources are the degree of interest each worker has in workplace improvement. For workers to recognize employer-expected employee contributions, a department's attention resources must be seen as shared group-level resources rather than as scattered individual-level resources. The more that workers perceive attention resources as being shared at the group level, the more they will perceive group-level cooperation and collaboration as valued in their department's work process. As the manager of the issue life cycle, an issue-oriented leader performs issue management behaviours, such as concentrating, distributing, or recalibrating a department's attention resources, as needed. We can expect workers under such a leader to perceive the problem-solving process as occurring at the group level with middle management at the centre.

The second reason is that issue-related leadership has the effect of mobilizing various company resources related to the issue at hand. Problem solving at the team or group level requires various resources, such as personnel, budget, and time. Moreover, because those resources are limited, it is crucial for middle managers to build cooperative relationships with other departments and higher-ups to mobilize additional resources. As mentioned earlier, one aspect of issue-related leadership is the leader's role as an 'issue seller' in the organization. The networking activities of issue-oriented leaders can exploit cross-cutting effects in the network, theoretically facilitating the mobilization of company resources. As extra-departmental resources are mobilized more smoothly, group-level problem solving should become more robust. As group-level problem solving grows more robust, workers attach more importance to it, which should result in the readier recognition of employer-expected employee contributions.

Second, issue-related leadership also has a positive effect on inducements offered by the employer to employees for two reasons.

The first reason is that issue-oriented leaders function as brokers within the voice network. Because these leaders are positioned close to the centre of the voice network, information is shared smoothly with employees in the workplace. For example, when a new company training programme is established, a middle manager who displays issue-related leadership is likely to be aware of that fact and is also likely to tell his or her workers about

it. Issue-oriented leaders may also make efficient use of the voice network to allocate advantageous resources to their subordinates. Some training programmes, for example, are only conducted for a select few employees. In those cases, employees with issue-oriented leaders who actively network as 'issue sellers' in the organization should have a greater chance of being selected for such programmes based on their manager's recommendation.

Second, issue-related leadership tends to entail escalation of voice. 'Escalation of voice' means that an employee's voice is heard by a greater number of counterparts. Prosocial voice is essentially a reform activity which brings healthy change to organizations. Realistically, however, it is difficult for employees to suggest change beyond the boundaries of their own departments because they are restricted by the company's internal hierarchy and authority. The more robust an issue-oriented leader's communication with company stakeholders is, the higher the chances are that his or her subordinates also participate in organizational change. For example, employees may join an internal task force team upon the leader's introduction or suggest business reforms to higher-ups in the organization. This type of escalation of voice smoothes the way for access to investment in human capital because it increases the possibility that workers are recognized by company stakeholders as key personnel. For example, when escalation of voice takes place, a worker's chance of receiving a higher value job increases, and the worker also obtains the opportunity to secure a better job-related reputation. The more a worker is regarded as key personnel, the greater his or her access to human investment is.

Thus, issue-related leadership improves employees' perceptions of social exchange based on the employment relationship in the two dimensions of employer-expected employee contributions and inducements offered by the employer to employees. In other words, issue-related leadership contributes to workers' perception of social exchange. For these reasons, the following hypothesis is developed.

Hypothesis 3. An immediate manager's issue-related leadership activities perceived by PCWs and PCW's perceptions of social exchange based on the employment relationship have a positive relationship in terms of within-variation effects.

Perceived employee-organization relationship and employee voice

Employees who recognize a social exchange relationship are cooperative towards their company and engage in innovative behaviours. Previous studies have reported that management which emphasizes social exchange relationships inspires this sort of behaviour in workers. For example, employees who perceive HPWPs are more likely to actively provide their voice to improve company productivity (Bae et al. 2011; Harley 2014; Kaufman 2015) and more actively participate in organizational citizenship behaviours (Evans and Davis 2005; Kehoe and Wright 2013; Sun, Aryee, and Law 2007; Takeuchi et al. 2007). Further, companies that place more value on job rotation schemes, the multi-skilling of employees, and job autonomy are more likely to be able to promote employee-driven innovation (De Spiegelaere, Van Gyes, and Van Hootegem 2014; Preenen et al. 2017). Moreover, employees who are aware of the long-term employment contract between the employer and its employees more enthusiastically demonstrate organizational citizenship behaviours (Coyle-Shapiro 2002; Shore et al. 2006). We also

expect that the more employees recognize the employment relationship as a social exchange relationship, the more likely they are to actively provide their prosocial voice, which is the act of 'expressing work-related ideas, information, or opinions based on cooperative motives' (Van Dyne, Ang, and Botero 2003, 1371).

Incidentally, studies in the OB field do not typically consider the institutional influences on the concepts studied. In general, the OB field tends to place excessive emphasis on free will as a driver of behaviour. However, an individual's free will is not the only determinant of his or her actions. For example, the expression of voice in formal settings, such as small-group activities, is influenced by the systems involved in those small group activities. Voice behaviours in the workplace may also be influenced by compensation systems. However, in the OB field, analyses rarely focus on such institutional influences. For this reason, there is a dearth of research on FVMs in the OB field despite the wealth of studies of the determinants of prosocial voice, as described above.

Research in the ER and HRM fields, on the other hand, places more importance on the influence of institutions. These fields therefore include a wealth of existing studies on FVMs. Many of these studies are useful in drawing inferences about the relationship between FVMs and prosocial behaviour. Therefore, this study aims to build on the findings in the ER and HRM fields to shed light on the relationship between perceived social exchange based on the employment relationship and employee voice.

First, from the perspective of ER, an employee's cooperative behaviour is affected by the employer-employee relationship rather than by individually fixed variables, such as personality (Kaufman 2015). An enterprise makes a long-term investment in human capital to signal to employees that the enterprise is expecting cooperative behaviour based on the social relationship (Kaufman 2015; Sun, Aryee, and Law 2007; Tsui et al. 1997). Meanwhile, employees carry out cooperative behaviours for the organization to deliver the message that they are willing to meet the organization's expectations. When this relationship achieves long-term stability, a psychological contract is formed (Kaufman 2015; Shore et al. 2006; Tsui et al. 1997). If an enterprise makes a long-term investment in an individual employee but that employee's extra-role behaviour remains uncooperative, the enterprise terminates the psychological contract by applying disadvantages to promotions, rewards, or job rotations. Conversely, if an employee continues to bear personal costs of engaging in innovative behaviours, such as conflicts in interpersonal relations (Burriss 2012; Janssen 2003), a work/life imbalance, or stress (Bolino and Turnley 2005), but finds the rewards to be insufficient, that employee will stop providing his or her prosocial voice.

Second, from the perspective of HRM, an employee cooperates when team-level collaboration and support are offered. The employee's prosocial motivation does not automatically lead to the provision of prosocial voice. For example, only after estimating the expected consequences of providing his or her voice can an employee determine whether to actually put that right into practice. On this point, Yuan and Woodman (2010) state that an employee's innovative behaviour is promoted (hindered) if it is expected to have positive (negative) outcomes. Further, cooperation among employees is more likely to be promoted in companies providing job flexibility through rotation schemes, the multi-skilling of employees, and job autonomy (Preenen et al. 2017; Zhou, Dekker, and Kleinknecht 2011). Based on the above discussion, the following hypothesis is suggested.

Hypothesis 4. PCWs' perceptions of social exchange based on the employment relationship and their self-estimated prosocial voice have a positive relationship in terms of within-variation effects.

Methodology

This study investigates whether the issue-related leadership activities of immediate superiors and the perceptions of the employment relations of PCWs mediate the relationship between FVMs and prosocial voice. Specifically, single and double mediating effects⁴ are examined.⁵ Based on this premise, the research model in Figure 1 is proposed.

Sampling and data collection

Based on previous studies of HPWPs (Beltrán-Martín et al. 2008; Boxall and Macky 2009; Messersmith et al. 2011; Ramsay, Scholarios, and Harley 2000), we aim to identify the mechanisms explaining the causal chain between FVMs and employee voice. To that end, a longitudinal design with repeated measurements is more appropriate than a cross-sectional design is. Therefore, this study surveyed PCWs in Japan and Korea at two time points. The detailed procedure is as follows.

The first survey (T1) was conducted in February (Japan) and March (Korea) of 2017. Using a screening survey, a PCW was operationally defined based on the following ten conditions. First, his employment status is that of a permanent worker. Second, the size of his current company is 100 employees or more. Third, hiring is conducted through headhunting or recruitment for PCWs. Fourth, his tenure in the current company is between six months and seven years. Fifth, his job title in the current company is supervisor/manager, subsection chief or equivalent, section chief or equivalent, or assistant general manager or equivalent. Sixth, his position rank immediately before

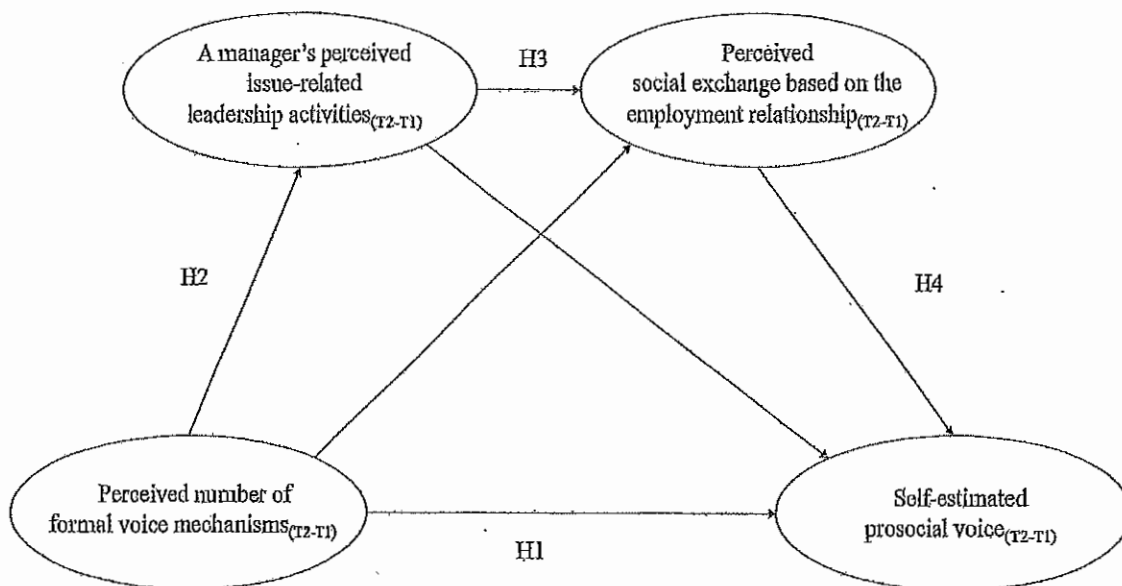


Figure 1. Proposed research model.

Notes: 'T2-T1' indicates within variation at the individual level.

the most recent job change was not an entry-level position. Seventh, his period of employment in his current occupation is longer than three years. Eighth, his age is between 29 and 59. Ninth, his gender is male.⁶ Tenth, the company is in the private sector. The screening survey continued until the number of respondents meeting these conditions reached 700. Excluding dropouts and untruthful responses, the numbers of respondents were 692 and 690 for Japan and Korea, respectively. The second survey (T2) was carried out in February (Japan) and March (Korea) of 2018 and included the respondents from the first survey. The numbers of respondents completing the follow-up study were 400 for Japan and 409 for Korea.

The demographics of the respondents to the second survey are as follows. The average age is 46.39 years in Japan and 39.11 years in Korea. The tenure in the current company is 3.85 years in Japan and 3.55 years in Korea. The number of respondents whose place of work changed within the same company (regular change of personnel) between 2017 and 2018 is 39 in Japan and 38 in Korea, and the number of respondents who moved on to another company (job change) between 2017 and 2018 is seven in Japan and 15 in Korea.

Operationalization of constructs

Our independent variable, FVMs, was measured following previous studies (Bae et al. 2011; Batt, Colvin, and Keefe 2002; Holland et al. 2011; Spencer 1986). Specifically, this variable aimed to measure whether small-group activities, shop-floor committees, suggestion systems, employee surveys conducted by HR groups, or interviews and feedback on performance assessment were conducted on an official basis at least once over the past year. Respondents were asked to select 'yes', 'no', or 'I do not remember'. A dummy variable was created and set equal to one if 'yes' was selected, and the five items were summed.

For the first mediator, namely, a manager's issue-related leadership activities, the measurement scale of Kim, Baik, and Kim (2014) based on Shane, Venkataraman, and MacMillan (1995) and Zhou and George (2001) was used. Specifically, a manager was considered an immediate superior in charge of a department or section who belongs to the manager class. Issue-related leadership activities were composed of three subcomponent constructs: issue creation, audience involvement, and issue implementation. An example of issue creation is 'my immediate superior is not bound to the given roles and actively explores new issues'. An example of audience involvement is 'my immediate superior develops a bond of sympathy in advance before carrying out new issues'. An example of issue implementation is 'my immediate superior is given the necessary authority to implement new issues within the company'. For these items, the level of agreement was measured on seven-point scales from 'strongly disagree' to 'strongly agree'.

For the second mediator (i.e. the perception of the social exchange based on the employment relationship), the measurement scale of Tsui et al. (1997) was used. The social exchange based on the employment relationship was composed of two subcomponent constructs: employer-expected employee contributions and the inducements offered by the employer to employees. An example of the former is 'this company evaluates individuals based on unit performance', and an example of the latter is 'this company provides employees with job security'. For these items, the level of agreement was measured on seven-point scales from 'strongly disagree' to 'strongly agree'.

Prosocial voice was the dependent variable measured by using the six items of Van Dyne and LePine (1998). An example of this measurement item is 'I communicate my opinions about work issues to others in this group, even if my opinion is different and others disagree with me'. For these statements, the level of agreement was measured on seven-point scales from 'strongly disagree' to 'strongly agree'.

We calculated the independent variables, mediators, and dependent variables by deducting the values of T2 from the values of T1 because our intention is to investigate the causal chain based on within-individual variability. In Figure 1, 'T2-T1' reflects within-individual variability. Moreover, using the deducted values is beneficial when controlling for third variable problems due to between-individual variation. For example, the big five personality characteristics have a significant relationship with prosocial voice (LePine and Van Dyne 2001). To control for these unobserved individual-specific fixed effects, we used differencing form variables. Age, education level, firm size (number of employees), tenure, and rank as well as a union dummy (1 = exists), an industrial dummy, and an occupational dummy were used as control variables. Additionally, to consider the effect of the regression to the mean that may occur when deducting the values of T2 from the values of T1, the independent and dependent variables at T1 were controlled for in the regression formula as baseline variables.

Measurement properties (convergent and discriminant validity)

Table 1 provides the descriptive statistics and the correlations between the main variables used for the analysis. First, to verify convergent validity, the average variance extracted (AVE) and construct reliability (CR) were calculated. In general, an AVE of .5 or greater and a CR of .7 or greater is desirable (Hair et al. 1998). Most of the variables met this condition; however, the AVE of FVMs was .48 in Japan and .46 in Korea. Fornell and Larcker (1981) propose that an AVE below .5 can still be considered acceptable if the CR is .7 or greater. To verify discriminant validity, the square root of the AVE and the correlation coefficients with the other variables were compared. If the square root of the AVE is greater than the correlations with other variables, discriminant validity holds (Chin 1998). All of the variables met this condition.

To consider the overall validity of the research model in Figure 1, confirmatory factor analysis was carried out. The results using Japanese data were as follows: $\chi^2 = 1004.19$ (474), RMSEA = .049, AGFI = .847, TLI = .939, and CFI = .945. Furthermore, the results using Korean data were as follows: $\chi^2 = 869.46$ (474), RMSEA = .045, AGFI = .865, TLI = .936, and CFI = .942. Although the adjusted goodness-of-fit index (AGFI) was lower than the recommended level of .9, this value remains acceptable if it is greater than .8 (Hair et al. 2010). Furthermore, since the overall confirmatory factor analysis results are satisfactory, these results are not problematic. The factor model used in this study was compared with alternative factor models and was found to have higher overall validity ($p < .001$). Lastly, Harman's (1967) single factor test was conducted to check for the existence of common method variance. We found that a single factor explains only 34% of the total variation. Based on these results, the research model has no validity or reliability issues.

Data analysis

Hierarchical regression analysis was implemented to test the hypotheses. Tables 2 and 3 present the results for the Japanese and Korean data, respectively. First, Hypothesis 1

Table 1. Descriptive statistics and correlations.

	Mean	SD	1	2	3	4	5	6	7
1. FVMs (T2-T1)	J: -.15 K: -.28	J: 2.01 K: 1.81	(J: .48, .82) (K: .46, .81)	.198***	.165***	.020	.252***	.231***	.236***
2. Issue creation (T2-T1)	J: -.08 K: -.02	J: 1.26 K: 1.14	.150**	(J: .73, .93) (K: .61, .88)	.608***	.232***	.409***	.256***	.322***
3. Audience involvement (T2-T1)	J: -.58 K: .001	J: 1.37 K: 1.11	.176***	.718***	(J: .72, .93) (K: .64, .90)	.328***	.315***	.261***	.339***
4. Issue implementation (T2-T1)	J: -.065 K: .075	J: 1.36 K: 1.42	.130**	.707***	.704***	(J: .74, .89) (K: .78, .95)	.148**	.049	.149**
5. Employer's inducement (T2-T1)	J: .121 K: .08	J: 1.16 K: 1.42	.255***	.398***	.406***	.397***	(J: .60, .85) (K: .57, .84)	.493***	.445***
6. Employee's contribution (T2-T1)	J: .03 K: .01	J: 1.36 K: 1.20	.170***	.291***	.329***	.284***	.521***	(J: .80, .92) (K: .67, .85)	.329***
7. Prosocial voice (T2-T1)	J: .10 K: .03	J: 1.06 K: .920	.216***	.278***	.341***	.291***	.479***	.337***	(J: .70, .93) (K: .60, .90)

Values in parentheses represent the AVE and the CR. Relative to the diagonal, the right side shows correlations within the sample for Japan and the left side shows correlations within the sample for Korea. J denotes Japan and K denotes Korea (* $p < .05$, ** $p < .01$, *** $p < .001$).

Table 2. Hierarchical regression analysis results (Japanese PCWs).

	Issue creation (T2-T1)	Audience involvement (T2-T1)	Issue implementation (T2-T1)	Employer inducement (T2-T1)	Employee contribution (T2-T1)	Prosocial voice (T2-T1)
Step 1: Control variables						
Age (T1)	-.012	-.013	-.017 [†]	-.007	-.009	.001
Education level (T1)	-.079	-.020	-.012	-.001	.010	-.042
Firm size (T1)	.100 [*]	.099 [*]	.074	.073 [†]	.105 [*]	-.005
Tenure (T1)	.048	.028	.006	.030	.051	.004
Rank (T1)	-.031	.001	.035	-.005	.079	.114 [*]
Union dummy (T1)	-.077	-.078	-.043	.045	-.046	.085
Dependent variable (T1)	-.555 ^{***}	-.691 ^{***}	-.653 ^{***}	-.629 ^{***}	-.664 ^{***}	-.545 ^{***}
Industrial dummy (T1)	included	included	included	included	included	included
Occupational dummy (T1)	included	included	included	included	included	included
R ² (Step 1)	.301 ^{***}	.375 ^{***}	.328 ^{***}	.406 ^{***}	.398 ^{***}	.343 ^{***}
Step 2: Number of FVMs						
Number of FVMs (T1)	.066	.108 [*]	.080 [†]	.107 ^{**}	.153 ^{***}	.101 ^{**}
Number of FVMs (T2-T1)	.073 [*]	.094 ^{**}	.067 [†]	.100 ^{***}	.104 ^{**}	.103 ^{***}
R ² (Step 2-Step 1)	.010 [*]	.014 [*]	.005 [†]	.021 ^{***}	.023 ^{***}	.025 ^{***}
Step 3a: Issue creation						
Issue creation (T1)				.303 ^{***}	.384 ^{***}	
Issue creation (T2-T1)				.394 ^{***}	.373 ^{***}	
R ² (Step 3a-Step 2)				.128 ^{***}	.104 ^{***}	
Step 3b: Audience involvement						
Audience involvement (T1)				.303 ^{***}	.352 ^{***}	
Audience involvement (T2-T1)				.347 ^{***}	.374 ^{***}	
R ² (Step 3b-Step 2)				.104 ^{***}	.091 ^{***}	
Step 3c: Issue implementation						
Issue implementation (T1)				.240 ^{***}	.338 ^{***}	
Issue implementation (T2-T1)				.302 ^{***}	.303 ^{***}	
R ² (Step 3c-Step 2)				.086 ^{***}	.073 ^{***}	
Step 3d: Issue-related activities						
Issue-related activities (T1)				.301 ^{***}	.390 ^{***}	.170 ^{***}
Issue-related activities (T2-T1)				.388 ^{***}	.389 ^{***}	.236 ^{***}
R ² (Step 3d-Step 2)				.117 ^{***}	.098 ^{***}	.052 ^{***}
Step 4. Perceptions of social exchange						
Employer inducement (T1)						.209 ^{***}
Employer inducement (T2-T1)						.362 ^{***}
Employee contribution (T1)						.090 [†]
Employee contribution (T2-T1)						.143 ^{**}
R ² (Step 4-Step 3d)						.130 ^{***}
Number of respondents	400	400	400	400	400	400

Unstandardized regression coefficients are presented ($tp < .1$, $*p < .05$, $**p < .01$, $***p < .001$).

predicted that the within-variation of the number of FVMs perceived by PCWs has a positive relationship with PCWs' self-estimated prosocial voice. To verify this hypothesis, age, education level, firm size, tenure, rank, the union dummy, the industrial dummy, and the occupational dummy were controlled for (step 1), and the effect of the within-variation of the number of FVMs on prosocial voice was analysed (step 2).

Tables 2 and 3 show that if PCWs perceive a one unit increase in the number of FVMs from T1 to T2, they estimate increases in their prosocial voice of .103 ($p < .001$) and .170 ($p < .001$) in Japan and Korea, respectively, compared with T1. These results support Hypothesis 1. At first glance, Korea's regression coefficient seems to be greater than Japan's. To verify whether this difference in effect size was significant, we conducted a

Table 3. Hierarchical regression analysis results (Korean PCWs).

	Issue creation (T2-T1)	Audience involvement (T2-T1)	Issue imple- mentation (T2-T1)	Employer inducement (T2-T1)	Employee contribution (T2-T1)	Prosocial voice (T2-T1)
Step 1: Control variables						
Age (T1)	.020 †	.013	.026 *	.001	.008	-.007
Education level (T1)	-.010	.025	-.078	-.135 *	-.107	-.031
Firm size (T1)	-.066	-.054	-.009	.006	-.004	-.050
Tenure (T1)	-.015	-.007	-.017	.013	-.001	.024
Rank (T1)	-.083	-.112	-.076	-.059	.066	.064
Union dummy (T1)	-.027	-.068	.087	-.014	-.206 *	-.044
Dependent variable (T1)	-.668 ***	-.640 ***	-.683 ***	-.658 ***	-.650 ***	-.546 ***
Industrial dummy (T1)	Included	Included	Included	Included	Included	Included
Occupational dummy (T1)	Included	Included	Included	Included	Included	Included
R ² (Step 1)	.345 ***	.327 ***	.495 ***	.376 ***	.388 ***	.259 ***
Step 2: Number of FVMs						
Number of FVMs (T1)	.154 ***	.145 ***	.038	.148 ***	.157 ***	.150 ***
Number of FVMs (T2-T1)	.141 ***	.124 ***	.009	.131 ***	.155 ***	.170 ***
R ² (Step 2-Step 1)	.038 ***	.034 ***	.001	.043 ***	.042 ***	.079 ***
Step 3a: Issue creation						
Issue creation (T1)				.392 ***	.359 ***	
Issue creation (T2-T1)				.443 ***	.322 ***	
R ² (Step 3a-Step 2)				.159 ***	.072 ***	
Step 3b: Audience involvement						
Audience involvement (T1)				.417 ***	.380 ***	
Audience involvement (T2-T1)				.392 ***	.344 ***	
R ² (Step 3b-Step 2)				.129 ***	.080 ***	
Step 3c: Issue implementation						
Issue implementation (T1)				.162 **	.159 *	
Issue implementation (T2-T1)				.036	-.004	
R ² (Step 3c-Step 2)				.013 *	.017 **	
Step 3d: Issue-related activities						
Issue-related activities (T1)				.537 ***	.469 ***	.325 ***
Issue-related activities (T2-T1)				.515 ***	.382 ***	.394 ***
R ² (Step 3d-Step 2)				.126 ***	.063 ***	.087 ***
Step 4: Perceptions of social exchange						
Employer inducement (T1)						.194 **
Employer inducement (T2-T1)						.234 ***
Employee contribution (T1)						.107 *
Employee contribution (T2-T1)						.149 **
R ² (Step 4-Step 3d)						.072 ***
Number of respondents	409	409	409	409	409	409

Unstandardized regression coefficients are presented († $p < .1$, * $p < .05$, ** $p < .01$, *** $p < .001$).

comparison test of regression coefficients from separate models. The analysis found a Wald statistic of 2.51 (non-significant), meaning that the size of the effect of the number of FVMs on prosocial voice did not significantly differ between the two countries. In other words, Hypothesis 1 can be adopted for both countries, and no difference is observed between the two countries.

Second, Hypothesis 2 predicted that the activation of FVMs perceived by PCWs has a positive relationship with a manager's issue-related leadership activities. Table 2 shows that, in Japan, if PCWs perceive a one-unit increase in the number of FVMs from T1 to T2, they evaluate that the levels of a manager's issue creation and audience involvement are .073 ($p < .05$) and .094 ($p < .01$) units higher, respectively, at T2 than at T1. On the contrary, FVM activation is not significantly related to a manager's issue implementation.

Table 4. Mediating effect of the perceived number of FVMs_(T2-T1) on self-estimated prosocial voice_(T2-T1):

Sample	Path	Total effect	Direct effect	Indirect effect			
				Unstandardized effect	Boot SE	Boot LLCI	Boot ULCI
Japan	FVMs _(T2-T1) → Overall issue-related activities	.104***	.084**	.019	.009	.005	.042
	(T2-T1) → PV _(T2-T1)						
	FVMs _(T2-T1) → EI _(T2-T1) → PV _(T2-T1)		.052*	.050	.018	.020	.090
	FVMs _(T2-T1) → EC _(T2-T1) → PV _(T2-T1)		.065**	.039	.016	.013	.076
	Overall issue-related activities _(T2-T1) → EI _(T2-T1) → PV _(T2-T1)	.255***	.061	.189	.041	.118	.274
	Overall issue-related activities _(T2-T1) → EC _(T2-T1) → PV _(T2-T1)		.124**	.131	.033	.076	.205
	FVMs _(T2-T1) → Overall issue-related activities	.104***	.051*	.014	.007	.004	.033
	(T2-T1) → EI _(T2-T1) → PV _(T2-T1)						
Korea	FVMs _(T2-T1) → Overall issue-related activities	.170***	.135***	.034	.012	.015	.062
	(T2-T1) → PV _(T2-T1)						
	FVMs _(T2-T1) → EI _(T2-T1) → PV _(T2-T1)		.118***	.053	.017	.024	.091
	FVMs _(T2-T1) → EC _(T2-T1) → PV _(T2-T1)		.125***	.045	.013	.023	.075
	Overall issue-related activities _(T2-T1) → EI _(T2-T1) → PV _(T2-T1)	.450***	.254***	.196	.045	.117	.292
	Overall issue-related activities _(T2-T1) → EC _(T2-T1) → PV _(T2-T1)		.332***	.116	.036	.057	.198
	FVMs _(T2-T1) → Overall issue-related activities	.170***	.111***	.015	.006	.005	.030
	(T2-T1) → EI _(T2-T1) → PV _(T2-T1)						
FVMs _(T2-T1) → Overall issue-related activities		.109***	.008	.004	.003	.018	
(T2-T1) → EC _(T2-T1) → PV _(T2-T1)							

IC = Issue creation, AI = Audience involvement, II = Issue implementation, EI = Employer's inducement, EC = Employee's contribution, PV = Prosocial voice. The number of bootstrap samples is 5000, and the bootstrapping method is bias-corrected (SE = Standard error, LLCI = Lower levels for 95% confidence intervals; ULCI = Upper levels for 95% confidence intervals). These analyses control for the same variables as those in Tables 2 and 3 do (* $p < .05$, ** $p < .01$, *** $p < .001$).

As shown in Table 3, in Korea, the activation of FVMs has positive relationships of .141 ($p < .001$) and .124 ($p < .001$), respectively, with managerial issue creation and audience involvement. As in Japan, the activation of FVMs and the level of a manager's issue implementation have a marginally significant relationship ($p < .1$) in Korea. These results partially support Hypothesis 2 in both countries. In other words, among a manager's issue-related leadership activities, those that have a significant relationship with an increase in the number of FVMs are issue creation and audience involvement. At first glance, the effect size also seems to be larger in Korea than in Japan. However, the Wald statistic for issue creation was 2.37 (non-significant), that for audience involvement was 0.71 (non-significant), and that for issue implementation was 1.73 (non-significant), meaning that no difference between the two countries was observed.

Next, Hypothesis 3 predicted that a manager's issue-related leadership activities have a positive relationship with PCWs' perceptions of social exchange based on the employment relationship. To examine this hypothesis, the control variables (step 1) and activation of FVMs (step 2) were kept in check, and the effect of the heightening of a manager's issue-related leadership activities on a PCW's perception of social exchange based on the employment relationship was analysed (steps 3a, 3b, 3c, and 3d).

When employees perceived that a manager's levels of issue creation, audience involvement, and issue implementation were greater by one unit at T2 compared with T1, an employer's investments were perceived as increasing by .394 ($p < .001$), .347 ($p < .001$), and

.302 ($p < .001$) units, respectively, in Japan (see Table 2). Moreover, this perception had a significant relationship with the level of overall issue-related leadership activities ($\beta = .388$, $p < .001$). In addition, changes to employee contributions had significant relationships of .373, .374, and .303 (all $p < .001$) with the enhancement of issue creation, audience involvement, and issue implementation, respectively. Similarly, changes to employee contributions also had a significant relationship with the enhancement of overall issue-related leadership activities ($\beta = .389$, $p < .001$).

When a manager's issue creation and audience involvement are greater by one unit at T2 than at T1, the employer's investments are also perceived as increasing by .443 ($p < .001$) and .392 ($p < .001$) units, respectively, in Korea (see Table 3). However, greater issue implementation has no significant relationship with the employer's perceived investments. A higher level of overall issue-related leadership activities does have a significant relationship of .515 ($p < .001$) with the employer's perceived investments. Changes to employee contributions also have significant relationships with the enhancement of issue creation and audience involvement of .322 ($p < .001$) and .344 ($p < .001$), respectively. Employee contributions have no significant relationship with higher level issue implementation, but they do have a significant relationship with higher level overall issue-related leadership activities (.382, $p < .001$).

These results show that Hypothesis 3 is supported in Japan but is only partially supported in Korea. In the Korean data, an immediate supervisor's issue implementation has no significant relationship with the perception of a social exchange relationship. The Wald statistics are 16.39 ($p < .001$) for the relationship between employer inducement and issue implementation and 15.62 ($p < .001$) for that between employee contribution and issue implementation. Thus, the two countries differ along these dimensions. In short, an immediate supervisor's issue implementation exerts more influence on employer inducement and employee contribution in Japan.

Considering that issue creation, audience involvement, and issue implementation are interrelated activities in the issue life cycle, the results for Korea are extremely interesting. One possible explanation is that Korea's PCWs participate in an immediate-supervisor-led issue network within their department's issue life cycle during the issue creation and audience involvement stages but cannot participate in the issue implementation stage. In other words, PCWs play a leading role in the proposal and planning stages of a project but are cut off from the project in the implementation stage once company approval is received. If this explanation holds, the effects of gaining access to company investment in human capital through an immediate supervisor's issue implementation (employer inducement), having a sense of a group-level occupational structure (employee contribution), and so on are likely blocked for PCWs.

Lastly, Hypothesis 4 predicted a positive relationship between employees' perceptions of the employee-organization relationship and their prosocial voice. To verify this hypothesis, the control variables (step 1), the activation of FVMs (step 2), and managers' overall issue-related activities (step 3d) were controlled for, and the impact of changes to employees' perceptions of the employee-organization relationship on additional provisions of prosocial voice was analysed (step 4).

As shown in Table 2, when employees in Japan perceive that employer investments and employee contributions are one unit higher at T2 than at T1, they evaluate that their own prosocial voice increases by .362 ($p < .001$) and .143 ($p < .01$) units, respectively.

Table 3 indicates that the corresponding values for Korea are .234 ($p < .001$) and .149 ($p < .01$), respectively.

These results show that Hypothesis 4 is supported for both Japan and Korea. The Wald statistic for the relationship between employer inducement and prosocial voice is 1.07 (non-significant), and that for the relationship between employee contribution and prosocial voice is 0.96 (non-significant). There is no difference between the two countries. These analysis results are summarized in Figures 2 and 3.

However, the results in Tables 2 and 3 do not verify the mediating effects.⁷ To verify these effects, we follow Preacher and Hayes (2004, 2008), who suggest checking whether the 95% confidence interval of the indirect effect coefficient resampled through bootstrapping contains the value '0'. If '0' falls within this confidence interval, it can be concluded that the hypothesis is not supported. Table 4 presents the results for the Japanese and Korean data, respectively.

Table 4 presents the results for the Japanese and Korean data, respectively. The results for PCWs in Japan show that the total effect of FVM activation on the additional provision of prosocial voice is .104 ($p < .001$) in Table 4. The unstandardized indirect effect of a manager's issue-related leadership activities is .019, which accounts for about 18.3% of the total effect. The unstandardized indirect effect of employer investments is .050, accounting for about 48.1% of the total effect. The unstandardized indirect effect of employee contributions is as large as .039, which explains about 37.5% of the total effect. The total effect of the enhancement of issue-related leadership activities on the additional provision of prosocial voice is .255 ($p < .001$) in Table 4. The unstandardized indirect effect of employer investments is .189, which explains about 74.1% of the total effect. The unstandardized indirect effect of employee contributions is .131, which accounts for about 51.3% of the total effect. Since none of these unstandardized indirect effects includes '0' within the 95% confidence interval, it can be concluded that all mediating effects are significant.

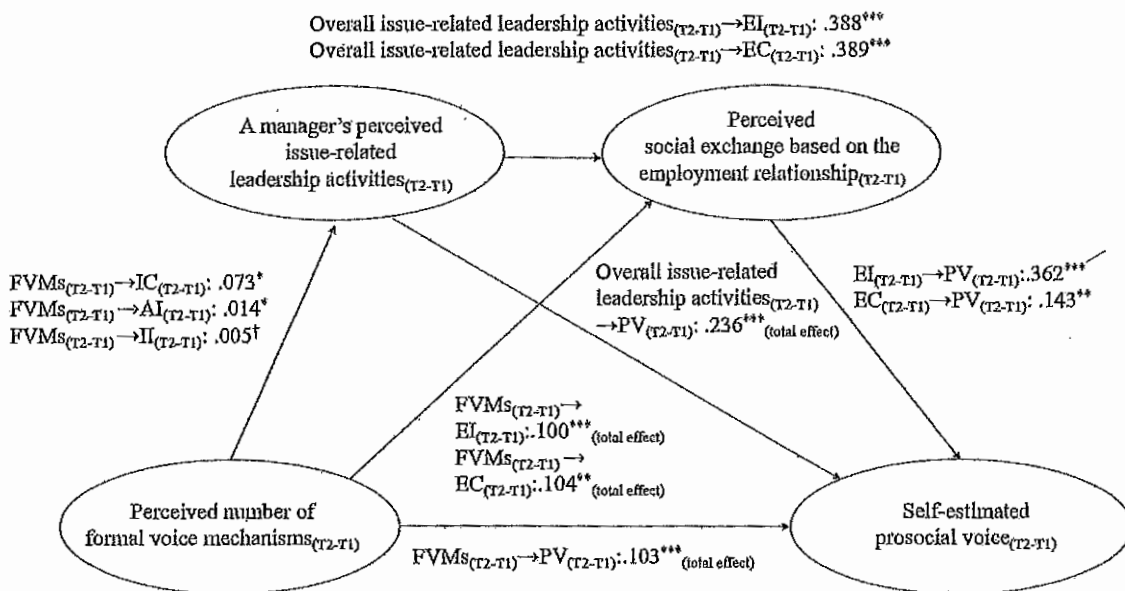


Figure 2. Summary of the results in Table 2 (Japanese PCWs).

Notes: IC = Issue creation, AI = Audience involvement, II = Issue implementation, EI = Employer's investment, EC = Employee's contribution, PV = Prosocial voice. Unstandardized regression coefficients are presented ($p < .1$, * $p < .05$, ** $p < .01$, *** $p < .001$).

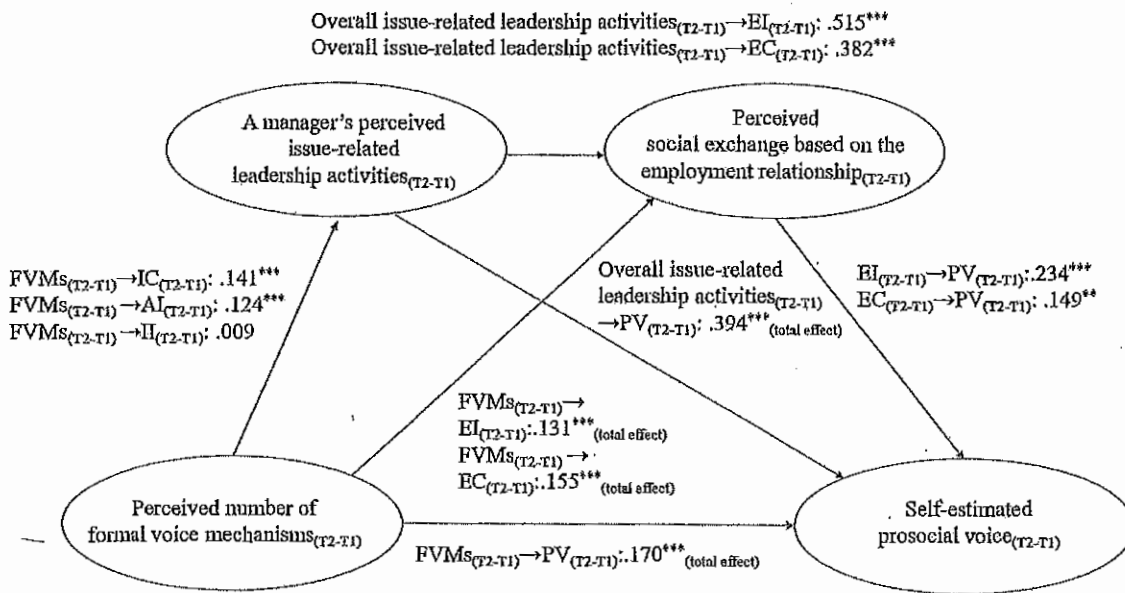


Figure 3. Summary of the results in Table 3 (Korean PCWs).

Notes: IC = Issue creation, AI = Audience involvement, II = Issue implementation, EI = Employer’s inducement, EC = Employee’s contribution, PV = Prosocial voice. Unstandardized regression coefficients are presented ($tp < .1$, * $p < .05$, ** $p < .01$, *** $p < .001$).

The results for PCWs in Korea show that the total effect of the activation of FVMs on the additional provision of prosocial voice is as large as .170 ($p < .001$) in Table 4. The unstandardized indirect effect of a manager’s issue-related leadership activities is .034, explaining about 20.1% of the total effect. The unstandardized indirect effect of employer investments is .053, which explains about 31.2% of the total effect. The unstandardized indirect effect of employee contributions is as much as .045, which accounts for about 26.5% of the total effect. The total effect of the enhancement of issue-related leadership activities on the additional provision of prosocial voice is .450 ($p < .001$). The unstandardized indirect effect of employer investments is .196, explaining about 43.5% of the total effect. The unstandardized indirect effect of employee contributions is .116, which explains about 25.7% of the total effect. Hence, as in the case of Japan, all of these mediating effects are significant.

Next, we present the results for the double mediating effect of a manager’s issue-related leadership activities and the perception of the social employee–organization relationship (see Table 4). First, the results for PCWs in Japan show that the unstandardized indirect effect of a manager’s issue-related leadership activities and employer investments is .014, which accounts for about 13.5% of the total effect, and the unstandardized indirect effect of a manager’s issue-related leadership activities and employee contributions is as great as .010, explaining about 9.6% of the total effect. Hence, significant double mediating effects are present.

Second, the results for PCWs in Korea show that the unstandardized indirect effect of a manager’s issue-related leadership activities and employer investments is .015, accounting for about 8.8% of the total effect, and the unstandardized indirect effect of a manager’s issue-related leadership activities and employee contributions is as large as .008, explaining about 4.7% of the total effect. Hence, again, significant double mediating effects are present. Overall, a manager’s issue-related leadership activities

and the perception of the employee–organization relationship, which are the first and second mediators in Figure 1, are proven to have a double mediating effect in addition to a single mediating effect.

Discussion

This study examines the relationship between FVMs and employee voice from the perspective of organizational behaviour, especially leadership behaviour, which has been a focus of the fields of ER and HRM. In particular, we focus on PCWs rather than existing employees, showing that in a new employment model with intensified job mobility, FVMs are still an important system capable of developing competitive advantages for Japanese and Korean enterprises. The results of this study prove that FVMs positively affect a manager's leadership activities. When PCWs perceive that FVMs are active as a voice network to collect opinions when various internal issues are being discussed, they evaluate that the leadership activities of managers in response to new issues are strengthened. Moreover, a manager's issue-related leadership activities are proven to have a mediating effect that can explain the relationship between the activation of FVMs and additional provision of prosocial voice by PCWs. Finally, the analysis results show that PCWs interpret the social exchange based on the employment relationship through the issue-related leadership activities of managers. In this context, a manager's leadership activities may explain the relationship between FVMs and employee behaviours.

However, in contrast to our expectations, we find that the activation of FVMs has a weak relationship with a manager's issue implementation. In Japan, this relationship is significant only at a marginal level, and it is not significant at all in Korea. Indeed, the results of Hypothesis 1 refute the theoretical explanation of Subramony (2009), who classifies empowerment-enhancing bundles as comprising self-directed teams, employee involvement in work processes and outcomes, and systems that encourage feedback from employees, pointing out that the more these bundles are strengthened, the greater are the decision-making authority and responsibility delegated to employees or work groups. This finding somewhat concurs with the case in which the FVMs of Korean and Japanese enterprises are formed as pseudo-voice mechanisms. In this context, 'pseudo-voice mechanisms' refer to the operation of FVMs without the actual delegation of decision-making authority and responsibility to employees or work groups.

In Japan, FVMs may be becoming nominally in line with the weakened internal labour market model. According to Ihara's (2016) participative observational study of Toyota and Nissan, which embody prototypical Japanese management, the small-group activities at Nissan, which adopts a shareholder system—the US-style management model discussed by Ahmadjian and Robbins (2005)—tend to be more nominal than those at Toyota. The FVMs in this study are HR practices justified by a consistent institutional logic (i.e. the internal labour market model), and, thus, the external labour market model, with frequently incoming and outgoing human capital, offers a difficult environment for these practices to take effect. Therefore, if the Japanese management model is generally shifting from the internal to the external labour market model (Ahmadjian and Robinson 2001) or from the stakeholder system to the shareholder system (Ahmadjian and Robbins 2005), FVMs may also be becoming more nominal.

On the contrary, in Korea, FVMs may not provide their full effect because of rapid institutionalization. The introduction of HPWPs by Korean enterprises is more likely the result of normative isomorphism in the consciousness of foreign shareholders or coercive isomorphism in the consciousness of governmental policies and guidelines than a consideration of the functional requirements for HPWPs (Jeong, Lim, and Lee 2007; Lee and Kim 2014). Bae and Rowley (2001) emphasize that these isomorphism mechanisms influence institutional change in HRM in Korean companies. If the motive for institutionalization is not internal efficiency but external legitimacy, it will be difficult to achieve the goal of the system (Meyer and Rowan 1977). In contrast to Japanese enterprises, which have long institutionalized middle-up-down management (Nonaka 1988), Korean companies have adopted a management style similar to top-down management (Yoo and Lee 1987). Therefore, owing to these initial institutional structural conditions, decoupling may occur when a gap exists between the formal structure and actual practices.

Limitations

The limitations of this study are threefold. First, common method bias may exist, as all of the variables used in this study are measured by the PCWs themselves. Prosocial voice, the dependent variable in this study, is also measured by PCWs rather than by superiors or colleagues. Although there are significant correlations among self-reported voice, peer-reported voice, and supervisor-reported voice (Van Dyne and LePine 1998), it is nonetheless necessary for future studies to analyse the variables measured by colleagues, immediate supervisors, or HR departments.

Second, the possibility of reverse causality cannot be ruled out. This study examines the longitudinal effect by focusing on within-individual rather than between-individual differences. Although this methodology is an improvement in causal inference compared with that of Bae et al. (2011), who use data measured at a single time point, reverse causality may still exist in this study. Indeed, a positive, reciprocal, and possibly bidirectional relationship has been found to exist between perceived organizational support and leader–member exchanges (Settoon, Bennett, and Liden 1996; Wayne et al. 2002). Considering this finding, the perception of the employee–organization relationship may positively influence a manager’s issue-related leadership activities.

Third, although this study focuses on FVMs performed by enterprises, it is necessary to consider FVMs led by unions in future research. Regarding this topic, Bryson et al. (2007) show that a dual channel including both types of FVMs systemizes better-quality high-commitment HRM relative to other cases. Further, with regard to pseudo-voice mechanisms, Lopes, Calapez, and Lopes (2017) find that in countries where unions develop monitoring mechanisms, the possibility of pseudo participation is low. In future studies, the impact of dual-channel FVMs on employees’ prosocial voice needs to be analysed.

Theoretical implications

First, the positive relationship between FVMs and employee voice is applicable to PCWs from the external labour market. As mentioned above, previous studies analysing the relationship between FVMs and employee voice in Korean and Japanese enterprises are

based on the internal labour market model. However, Korean and Japanese enterprises have recently aggressively adopted the external labour market model, thereby raising the number of employees (e.g. dispatched employees, PCWs, and foreign employees) recruited from the external labour market.

Relatedly, recent studies of HPWPs report that the positive effects of HPWPs are impactful not only among permanent workers but also among members from the external labour market. For example, Chambel, Castanheira, and Sobral (2016) consider the relationship between the perception of HR practices and emotional involvement and find that the mediating effects of participation exist not only among permanent workers but also among dispatched employees. Additionally, Chowhan, Zeytinoglu, and Cooke (2016) find that the negative impact of immigrant positions on job satisfaction is mitigated by HPWPs in a comparative study of Canadian-born and immigrant employees. This study thus proves that the relationship between FVMs and employee voice is positive even among PCWs with high job mobility.

Second, this study shows that the relationship between FVMs and prosocial voice is mediated by a manager's leadership activities. Although leadership studies in the field of organizational behaviour have reported a significant relationship between leadership variables and prosocial voice, little attention has been paid to the organizational/institutional context. Cullen-Lester, Maupin, and Carter (2017) theoretically review the possibility that an internal network is the antecedent for leadership development. This study thus demonstrates that the voice network represented by FVMs is the crucial factor for developing a manager's leadership activities.

Practical implications

This study's analysis results present the following practical implications.

First, to promote prosocial voice among PCWs who enter companies as 'ready fighting power', companies must increase the frequency of PCW exposure to FVMs. Our analysis results showed that the more the PCWs perceive FVM activations, the more actively they express their prosocial voice. Unlike existing employees who have already been given periodic opportunities to interact with a company's FVMs, PCWs may not be aware of the FVMs in place at the company. Thus, enterprises need to actively try to involve PCWs in the available FVMs.

Second, to encourage PCWs' prosocial voice, it is crucial to form a social exchange relationship, and middle managers' issue-related leadership activities play a key role in doing so. In other words, the implication is that, no matter how well organized FVMs may be within a company, without robust leadership activities by middle managers, the social exchange relationship signalling effect is weakened. The increasing fluidity of employment has been cited as a factor in the expanding number of PCW hires in Japan and Korea. However, there is also a possibility that organizational flattening and layoffs of middle management weaken the effectiveness of an enterprise's internal FVMs.

Third, to promote middle managers' issue-related leadership activities, it is important to activate FVMs. As we discussed, a middle manager's issue-related leadership activities promote PCWs' prosocial voice through the social exchange relationship, and FVMs play an important role in promoting a middle manager's issue-related leadership activities. To promote PCWs' continuous improvement activities via prosocial voice, then, companies must position middle managers at the heart of a voice network built with FVMs.

Fourth, it has become clear that PCWs' motive for prosocial voice has a cooperative aspect as an effort to meet the reciprocity norms of the social exchange relationship. Thus, in a workplace which promises long-term and stable industrial relations, even PCWs, who are considered careerists who regard their current employers as stepping stones to different and better employers in the future, become cooperative in out-role behaviours which do not lead to short-term personal gain (i.e. the management of their career portfolios). In recent years, Japanese and Korean companies have adopted setups which differentiate between the treatment of different types of 'regular employees' via various regular-employee systems. In such setups, PCWs may not be eligible for long-term employment practices. However, this study shows that, in that case, the full expression of the 'ready fighting power' skills and abilities that PCWs seek may ultimately be hindered because the element of their cooperative efforts to meet reciprocity norms disappears.

Conclusions

This study considers the possibility that the leadership behaviour of managers in Korean and Japanese enterprises is the outcome of the institutional context. Whereas many previous studies have focused on leadership at the individual or team levels, this study investigates whether the internal voice network formulated by FVMs at the organizational level determines a manager's leadership activities. It verifies that the leadership of managers as HRM agents is an important channel through which PCWs can identify the reality of an organization. In particular, this study shows that the broad classes of managers in advanced internal labour markets characterized by long-term employment, seniority-based wages, and an internal promotion system act as coordinators who link HPWPs with the organizational performance of Japanese and Korean enterprises.

Notes

1. The various systems that constitute FVMs are also referred to as 'participatory employment practices' (Kato and Morishima 2002), 'participative human resource management' (Lee and Chee 1996), 'employee participation programs' (Cooke 1994), 'the communication category in HPWPs' (Evans and Davis 2005), 'team voice' (Kim, MacDuffie, and Pil 2010), and 'direct voice' (Holland et al. 2011). For consistency, this study refers to all of these systems as 'voice mechanisms' based on the terminology used in Spencer's (1986) pioneering study of FVMs. Furthermore, given that informal voice mechanisms have received emphasis in recent discussions of employee voice activation (Morrison 2011), we specifically use the term 'FVMs' to denote that we are investigating FVMs within personnel systems.
2. The goal of this study is to explain the 'within variation' of prosocial voice. In terms of variables, the total variation of prosocial voice is divided into 'between variation' and 'within variation'. 'Between variation' refers to variation that maintains a stable value over time. A typical example of individual-level 'between variation' is a personality variable. 'Within variation' refers to a variable whose value changes as time passes. Taking the PCWs discussed in this study as an example, as they adapt to a new organization and, thus, better understand its business processes, they may become more easily able to express prosocial voice. Alternatively, if PCWs cannot smoothly construct interpersonal relationships in new workplaces, their expression of prosocial voice may feel constrained. This example shows that the 'within variation' of prosocial voice is liable to change over time. The need to distinguish 'within variation' and 'between variation' arises from the criticism that existing OB research on voice has over-specialized in 'between variation' (Kaufman 2015). For example, a significant relationship between the big five personality traits

and prosocial voice has been reported in the OB field (LePine and Van Dyne 2001), but such approaches based on 'between variation' are limited by the fact that they cannot explain variation that changes over time. As far as we have been able to determine, 'within variation' in prosocial voice has not been demonstrated previously.

3. Unlike other studies focusing on events as the unit of analysis that remain in theoretical review stage, Kim, Baik, and Kim (2014) provide operationally definable and measurable constructs.
4. There are two types of mediation models: the single mediation model, which has one mediating variable, and the multiple mediation model, which has two or more mediating variables. Multiple mediation models can be further classified as the parallel mediation model, which presumes no causal relationship between the mediating variables, and the serial mediation model, which presumes a causal relationship between the mediating variables. For the purposes of this study, 'single mediating effect' shall refer to the single mediation model, and 'double mediating effects' shall refer to a serial mediation model with two mediating variables.
5. These mediators are not the only mediating mechanisms of the channel between FVMs and prosocial voice. For example, trust in management (Hu and Jiang 2016) and expected positive performance outcomes (Yuan and Woodman 2010) may act as significant mediators. Therefore, our mediators are expected to have only a partial mediating effect.
6. We excluded women for two reasons. First, when we conducted a preliminary investigation, we found that women were a tiny minority because only a small percentage of managers at or above the section chief level in Japan and Korea are women. Second, it is a distinct possibility that women may be unable to utilize prosocial voice due to pregnancy and childrearing concerns. For example, a female PCW who wishes to avoid long workdays because of her parenting duties probably will not offer opinions on issues outside of her job duties, even if she has ideas about them, because out-role behaviours, including prosocial voice, come with personal costs such as work/life imbalance or stress (Bolino and Turnley 2005).
7. The Sobel test is normally used to verify a single mediation effect. However, several methodological limitations to the use of the Sobel test for serial mediation effects, including the double-mediating effect in this study, have been identified (Preacher and Hayes 2004). The bootstrapping approach has been proposed as a countermeasure to these limitations when dealing with regression equation-based mediation models (Preacher and Hayes 2004, 2008).

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部下が仕事に“ハマる”ために必要な 上司のコミュニケーションと職場環境

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仕事に“ハマる” = “Engagement”が高い状態

“Engagement”とは—“a positive, fulfilling, work-related state of mind that is characterized by vigor, dedication, and absorption”
—すなわち「**熱意や献身、没入に特徴付けられる、前向きで充実感を伴う、仕事に対する姿勢、心理状態**」のこと。

(Schaufeli et al., 2002, p. 74を基に筆者意識)

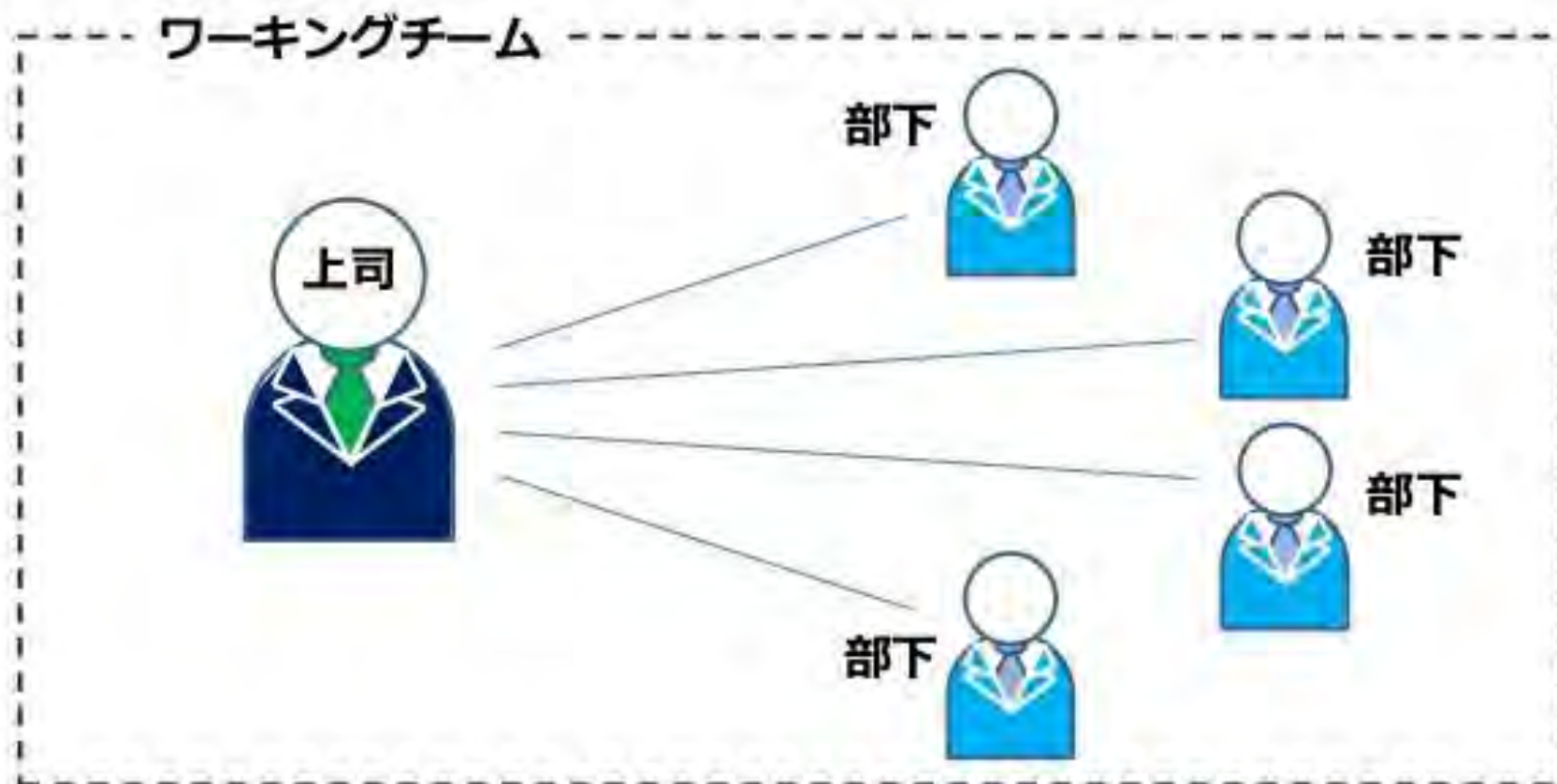


どうすれば“Engagement”が高まるのか？ “Engagement”によって何が起こるのか？



データ：都内大手電機メーカーに務める社会人

- ・ チームリーダー68名（平均年齢＝36.6歳、女性比率21%）
- ・ 直属の部下638名（年齢＝25.8歳、女性比率48%）
- ・ 平均チーム規模：上司一人につき9.4人の部下



指標： すべて英語の原文をバックトランスレーションで日本語訳して使用。
また、1.~4.は部下からの回答、5.は上司からの回答を用いて測定した。

- 1. リーダーシップ：** MLQ5X (Bass & Avolio, 1997) により、
変革型リーダーシップ (Transformational Leadership) と
交換型リーダーシップ (Transactional Leadership) を測定
- 2. 上司への信頼：** McAllister (1995) の指標を用いて測定
- 3. チームの価値観：** Earley & Erez (1997) の指標を用いて
パワーディスタンスと集団主義指向性を測定し、
チームレベルの変数として使用 (後述)
- 4. エンゲージメント：** Gallup Workplace Audit (Q¹²) を使用
- 5. 建言 (Voice) 行動：** Detert & Burris (2007) の指標を使用

モデリング事前検証

仮説検証の前に「測定モデルの確認」と「非独立性の検定」を *Mplus 4.2* (Muthén & Muthén, 2007) を用いて行った。

- 1. 測定モデルの確認**：前述した各種指標の測定項目を観察変数、当該概念を潜在変数として確認的因子分析（CFA）を行った。問題視すべき概念の混合やノイズはみられず（下表参照）、予定通りのモデル構成で仮説の検証を行うことが妥当と判断。

モデル	χ^2 (df)	RMSEA	CFI	SRMR
オリジナルモデル(全変数を個別にモデリング)	3834 (1350)	.04	.96	.03
単一モデル(全変数を一つの潜在変数にモデリング)	6586 (1375)**	.11	.78	.13
上司-部下モデル(部下による回答をすべてまとめてモデリング)	5836 (1370)**	.10	.81	.11
単一リーダーシップモデル(変革型リーダーシップと交換型リーダーシップをまとめてモデリング)	4546 (1365)**	.09	.87	.07

モデリング事前検証

仮説検証の前に「測定モデルの確認」と「非独立性の検定」を *Mplus 4.2* (Muthén & Muthén, 2007) を用いて行った。

2. 非独立性の検定：リーダー1人に複数の部下がついているという階層構造をモデリングすることが妥当か検証するために二つの級内相関係数 (ICC) を用いて検定を行った。

ICC(1)は同クラス（この場合ワーキングチーム）内における個人の回答が一致する度合を、ICC(2)は任意の変数においてチーム間の差異がどの程度あるかを数値化するもの。

James (1982) によれば、ICC(1)は.00～.50以下、そしてICC(2)は.70以上が望ましい。今回のデータは全ての変数に関して、この両方の基準を満たしていた。

モデリング

Mplus 4.2 (Muthén & Muthén, 2007) を用いて、マルチレベル構造方程式モデリング分析 (ML-SEM) を行った。

- **階層構造をモデリング**：チームレベルの変数と個人レベルの変数とをそれぞれ別個の階層に分けてモデリングした。
- **「雰囲気」を平均値で変数化**：各チームにおける「パワーディスタンス」と「集団主義指向性」は、それぞれ部下の回答の平均値をチームごとに算出し、それをチームレベルの変数としてモデリングした。
- **「変革型リーダーシップ」と「交換型リーダーシップ」を別モデルで検証**した。モデルの当てはまりはどちらも良好 (RMSEA = .01-.03、CFI = .95-.99、SRMR = .01-.05) 。

主要結果

変革型リーダーシップは部下からの信頼を高め、それによって**Engagementを向上**させる。但し、この効果が認められたのはパワーディスタンスと集団主義が高いチームにおいてのみ。



主要結果

「アメとムチ」タイプの**交換型リーダーシップ**は、部下から上司への信頼、そして部下のEngagement両方に対して負の相関を示した。この**悪影響**はパワーディスタンスと集団主義指向性が強いチームにおいて特に顕著に認められた。



主要結果

“Engagement”レベルが高い＝**仕事に“ハマって”いる部下は、**
たとえ「出る杭」となるリスクがあろうとも**積極的に仕事や**
職場の改善提案を行う。



主要結果まとめ

変革型リーダーシップは部下からの信頼を高め、それによって **Engagement**を向上させる。但し、この効果が認められたのは **パワーディスタンスと集団主義が高いチームにおいてのみ**。

「アメとムチ」タイプの**交換型リーダーシップ**は、部下から上司への信頼、そして部下のEngagement両方に対して負の相関を示した。この**悪影響**は**パワーディスタンスと集団主義指向性が強いチームにおいて特に顕著に認められた**。

“Engagement”レベルが高い＝**仕事に“ハマって”いる部下は、たとえ「出る杭」となるリスクがあるうとも積極的に仕事や職場の改善提案を行う。**

Transformational Leadership, Stressors, and Strain in R&D Employees: Evidence from Japan

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ABSTRACT

This study explores the effects of transformational leadership on challenge and hindrance stressors. The analyses results show that transformational leadership positively influences challenge stressors and negatively influences hindrance stressors. This study also examines the relationship between both types of stressors and job involvement and exhaustion. The analyses results show that challenge stressors have a positive impact on both job involvement and exhaustion, while hindrance stressors have a negative impact on job involvement and a positive impact on exhaustion. Finally, these results were discussed in the R&D settings.

INTRODUCTION

The present study examines the relationship between transformational leadership and follower stress in R&D settings. Recent literature distinguishes “stressor” from “strain.” A “stressor” is a cause of stress, such as an appraisal system, rewards, relationships with supervisors or colleagues, and overall job environment. Meanwhile, a “strain” is the result of stress, such as exhaustion, anger, tension, and distress. The direct results of leadership are not a strain, but rather a stressor.

Cavanaugh and colleagues classified stressors into two types: challenge stressors and hindrance stressors[3]. Challenge stressors are caused by challenging job demands, while hindrance stressors are caused by impediments to the achievement of goals. Challenge stressors include task load, amount of responsibility, scope of responsibility, and time pressure. On the other hand, hindrance stressors include organizational politics, role ambiguity, and job insecurity. They showed the difference between the effects of both types of stressors[3]. Accordingly, this study examines the relationship between transformational leadership and both types of stressors.

In addition, this study examines the consequent factors of both types of stressors, one of which is exhaustion. Exhaustion has been the focus of stress literature because it influences an individual’s mental health and job satisfaction as well as company absentee and turnover rates. Exhaustion is a big issue in R&D management because many R&D employees suffer from it owing to their need to work hard to win the worldwide R&D. Another area of focus is job involvement. Job involvement is defined as the degree to which one identifies with his/her present job [5].

Job involvement is particularly important for R&D employees because it significantly influences their creativity. Stressors are likely to have a significant impact on job involvement because the latter is influenced by an individual’s interest in the job, job pressure, and organizational commitment.

Much literature also focuses on transformational leadership, most of which indicates that it is effective in R&D settings. Nevertheless, no study reveals the relationship between transformational leadership and stressors. Therefore, it is important to examine the effects of this type of leadership on the stressors of R&D employees. It is also meaningful to examine the effects of stressors on exhaustion and job involvement because both are big issues in R&D management and are influenced by stressors.

HYPOTHESES

Followers tend to adhere to the vision shown by a transformational leader as the valuable goal [1]. Therefore, followers increase their commitment to accomplish that goal [11]. Moreover, under the influence of transformational leadership, followers are challenged to achieve higher goals [14]. Such followers volunteer to undertake heavy workloads. The goals of R&D activities are to invent new technologies and develop the new products faster than their competitors. Accordingly, R&D employees influenced by transformational leadership feel strong time pressure to beat their competitors.

Furthermore, transformational leadership promotes Organizational Citizenship Behavior (OCB) [11, 12]. This means that transformational leadership encourages followers to volunteer to expand their job scope for attaining their goals. Transformational leadership delegates authority to R&D employees and promotes their performing the jobs autonomously. Originally, the job scope of R&D activities is ambiguous. Then, after job tasks are delegated, R&D employees receive pressure to expand their job scope. Hence, it is possible that these influences, which stem from transformational leadership, increase the number of challenge stressors experienced by R&D employees.

Meanwhile, transformational leadership may reduce hindrance stressors. Transformational leadership often unites followers so as to make them function as a team [1]. Furthermore, it creates a team climate, which is required for achievement of any goal [8]. Transformational leaders create the climate that promotes communication in R&D teams because

frequent communication is necessary for achieving R&D goals [4]. Under such influences of transformational leadership, R&D employees can devote themselves to their activities without being worried about organizational politics making waves inside the team.

Moreover, transformational leadership convinces followers that their activities contribute to the attainment of the team's goal [13]. Generally, the role of R&D employees is ambiguous because the R&D process is highly uncertain. Nevertheless, followers are not troubled by role ambiguity when they feel confident that their activities contribute to team goals. This suggests that transformational leadership reduces the hindrance stressors of R&D employees.

H1-a Transformational leadership is positively related to R&D employee challenge stressors.

H1-b Transformational leadership is negatively related to R&D employee hindrance stressors.

Because challenge stressors arise from job demands, they cause R&D employees to feel a sense of achievement and personal growth when they overcome the challenge. Moreover, when followers feel challenge stressors, they are convinced that their job is important to R&D performance. These expectations and thoughts promote job involvement, which is caused by the work itself. LePine and colleagues indicated that challenge stressors promote learning motivation [6]. Furthermore, Lepine and colleagues showed that challenge stressors have a positive relationship with motivation [7].

Meanwhile, hindrance stressors are not related to job demands. When R&D employees feel such stressors, they cannot concentrate on their activities or enjoy their task. As a result, hindrance stressors impede job attainment and personal growth. Therefore, it is possible that hindrance stressors reduce job involvement.

H2-a Challenge stressors are positively related to R&D employee job involvement.

H2-b Hindrance stressors are negatively related to R&D employee job involvement.

Generally, R&D employees must work hard because they are under pressure to increase company performance and decrease company cost. This is further exacerbated by the fact that customer needs and technology trends change rapidly and that there are often numerous competitors within different industries located around the world. Even if related to job demands, this type of atmosphere promotes physical fatigue, which in turn causes mental fatigue. Thus, excessive pressure causes R&D employees to feel exhausted.

Hindrance stressors do not create any expectation of personal benefit. For example, enduring role ambiguity or unclear career prospects do not always result in a sense of achievement or career development. Indeed, Cavanaugh and colleagues found that hindrance stressors are negatively related to job satisfaction [3]. Such stress promotes fatigue. As mentioned above, most R&D employees are assigned heavy workload and are under strong time pressure.

Therefore, R&D employees feel exhausted when they are troubled by organizational politics, role ambiguity, or unclear careers, which in turn causes mental fatigue.

H3-a Challenge stressors are positively related to R&D employee exhaustion.

H3-b Hindrance stressors are positively related to R&D employee exhaustion.

METHODS

From three firms engaged in manufacturing industrial parts, 215 R&D employees (74.8% response rate) participated in this study. All participants belonged to a single team and were team members, meaning that they were neither managers nor team leaders. Among these employees, 84.7% were men. The average age of participants was 29.2 years; average tenure of the R&D team was 2.0 years; and, while everyone had at least a bachelor's degree, 11.6% had a Ph.D. The distribution and collection of questionnaires were performed by middle- or high-level managers of the R&D department of each firm.

This study consisted of five questionnaire measures, in which each item was on a five-point response, and control variables. Corresponding Japanese versions for all measures used in this study were constructed in accordance with the translation-back-translation procedure.

Transformational leadership was measured by 20 items adapted from Bass's Multifactor Leadership Questionnaire (MLQ) Form 5X - Short [2]. Four items were used to measure inspirational motivation, intellectual stimulation, and individualized consideration, and eight items were used to measure idealized influence. To verify that these four factors contributed to an overall transformational leadership index, a confirmatory factor analysis was conducted. The analysis result suggested that a higher-order factor solution provided an adequate fit ($\chi^2 = 77.82$ ($p < 0.05$), AGFI = 0.92, CFI = 0.95, RMSEA = 0.04).

Both challenge stressors and hindrance stressors were measured by six and four items, respectively, adapted from Cavanaugh et al [3]. The item regarding job security was eliminated from the original hindrance stressor items of Cavanaugh et al. because job security is not a big issue for Japanese R&D employees. To confirm that these items were affiliated with challenge and hindrance stressors, respectively, a confirmatory factor analysis was conducted. The analysis result suggested that a two-factor solution provided an adequate fit ($\chi^2 = 64.52$ ($p < 0.05$), AGFI = 0.95, CFI = 0.97, RMSEA = 0.03).

Job involvement was measured by seven items adapted from Lodahl and Kejner [9]. Exhaustion was measured by nine items adapted from the emotional exhaustion subscale created by Maslach Burnout Inventory [10]. Control variables included age, gender, and team tenure. It is possible that these variables influence both types of stressor, job involvement, and exhaustion.

RESULTS

Cronbach's alpha reliabilities were as follows: 0.89 for transformational leadership, 0.81 for challenge stressor, 0.72 for hindrance stressor, 0.88 for job involvement, and 0.85 for exhaustion. Structural equation modeling was used to test the hypotheses of this study. The model depicting these hypotheses shows an adequate fit ($\chi^2 = 6.47$ ($p > 0.05$), AGFI = 0.93, CFI = 0.98, RMSEA = 0.54). Figure 1 provides the standardized path coefficients. As expected, Figure 1 shows that transformational leadership has a significant positive correlation to challenge stressors and a significant negative correlation to hindrance stressors. Challenge stressors have a significant positive correlation to job involvement and exhaustion, while hindrance stressors have a significant negative correlation to job involvement and a significant positive correlation to exhaustion. These results support all hypotheses in this study.

DISCUSSION

The analyses results of this study show that transformational leadership positively influences challenge stressors and negatively influences hindrance stressors. The analyses results of this study also show that challenge stressors have a positive impact on both job involvement and exhaustion, while hindrance stressors have a negative impact on job involvement and a positive impact on exhaustion.

This study makes three main contributions to the development of leadership and stress theory. First, it examines the effects of transformational leadership on stressors. Second, it shows the negative effects of challenge stressors. Third, this study suggests that transformational leadership has negative effects on R&D performance. In addition, two practical implications are identified from these findings. First, project leaders should work to remove the hindrance stressors felt by R&D employees. Second, transformational leaders should be concerned about the fatigue felt by R&D employees. Accordingly, transformational leaders should monitor the level of fatigue felt by R&D employees.

As with most studies, this study cannot be without its limitations. First, the data on all variables in this study were collected from common sources. The second limitation is that the present study focuses on R&D teams. The third limitation is that the interrelated functions of research and development were not examined separately. Despite these limitations, this study elucidates upon the relationships among leadership, stressors, and performance with leadership and stress research. Stress management is an important issue for R&D managers, and this study contributes to that topic.

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Leader's Communication and Team Values Shape Employee Engagement

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Guiding Question

Leader's Communication and Team Values—which is more important to engage employees in Japan?



What Is "Engagement"?

Engagement is **“a positive, fulfilling, work-related state of mind that is characterized by vigor, dedication, and absorption”** (Schaufeli et al., 2002, p. 74).

satisfaction

excitement

Engagement

commitment

identity

Company/organization with highly engaged employees tend to ...

Why do we care about "Engagement"?

Company/organization with highly engaged employees tend to show superior performance, including but not limited to...

- Higher customer satisfaction
- Greater profitability and innovation rate
- Lower turnover rate and human capital cost

In short,

highly engaged employees add values to and reduce cost of business (e.g., Bates, 2004; Harter et al., 2002).



So, what influences employees' engagement level...?

What influences "Engagement"?

Leader's communication matters.



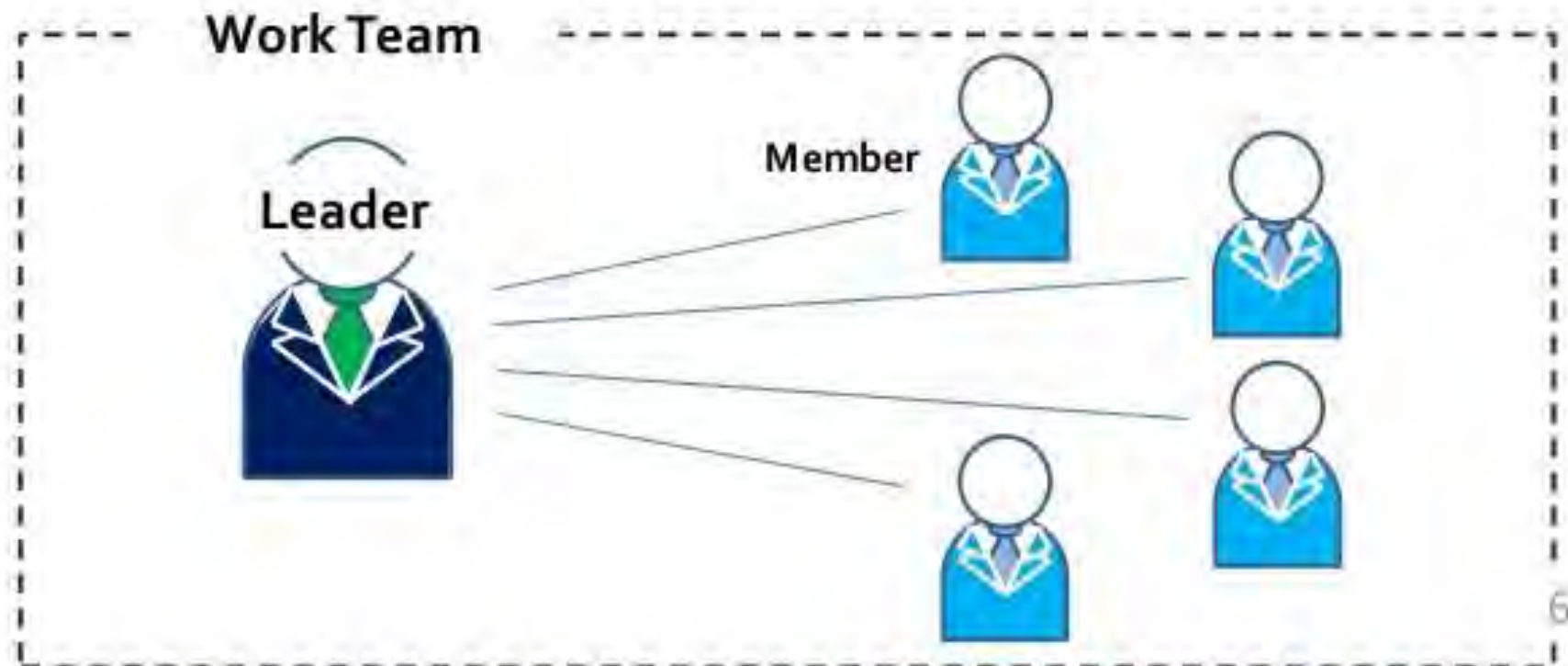
Team value matters.



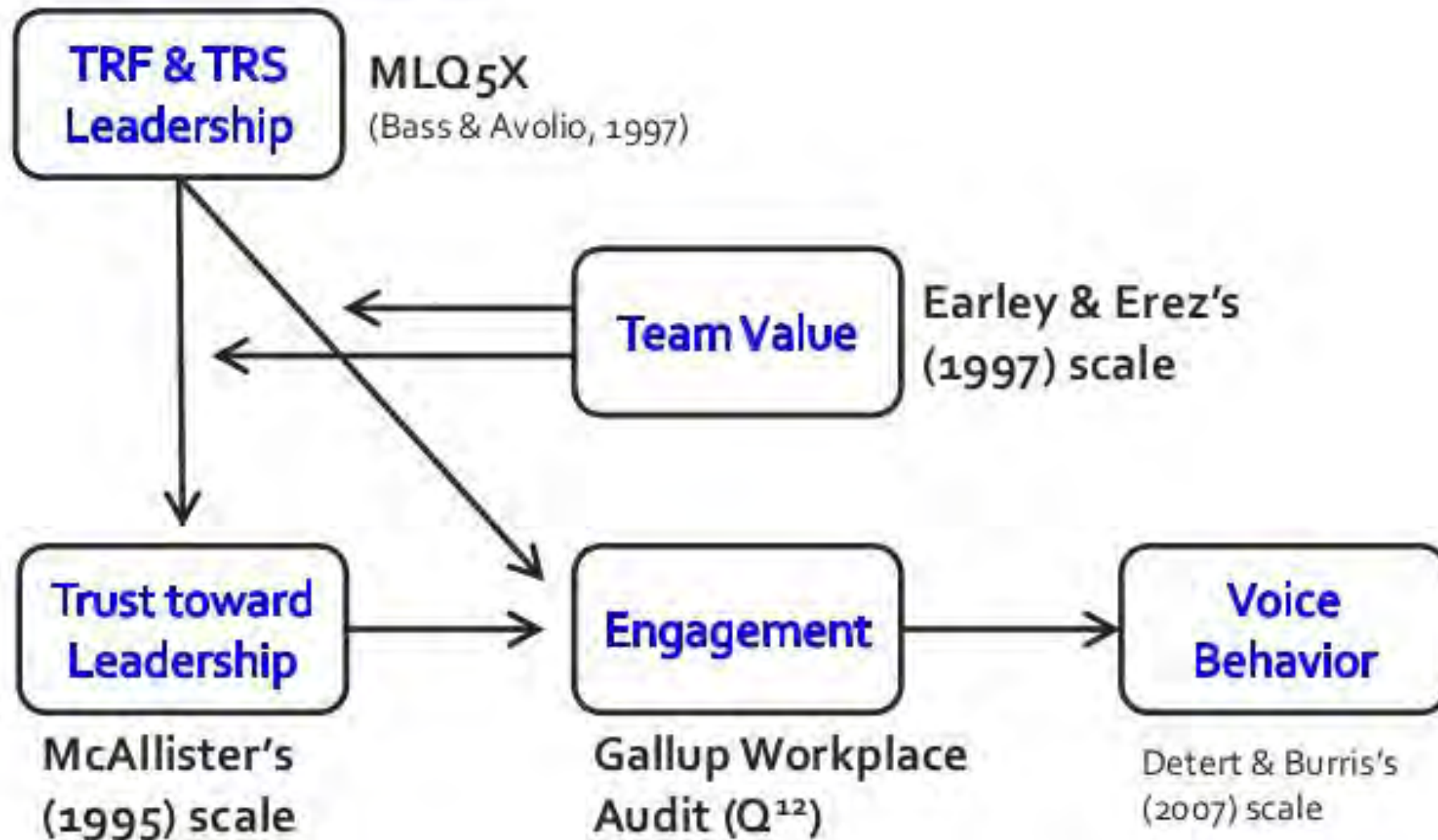
Method: Hierarchical data structure

Online survey data were collected from full-time employees and their team leaders working at a large ICT company in Tokyo:

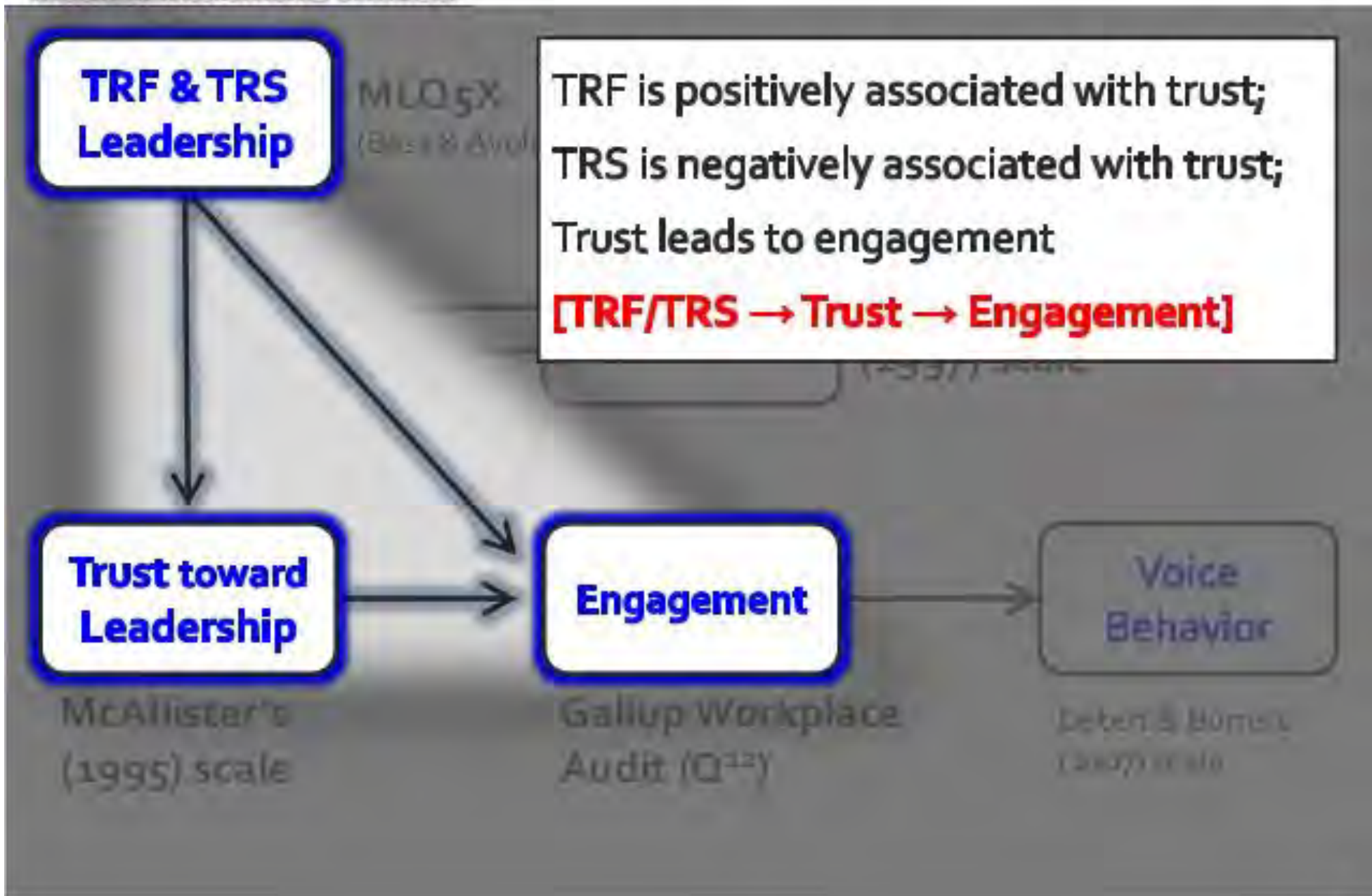
- 638 employees nested w/in 68 work teams ($N = 638 / 68$)
- Employees— $M = 25.8$ yrs, 48% female;
Leaders— $M = 36.6$ yrs, 21% female
- Average team size: 9.4 members per team/leader



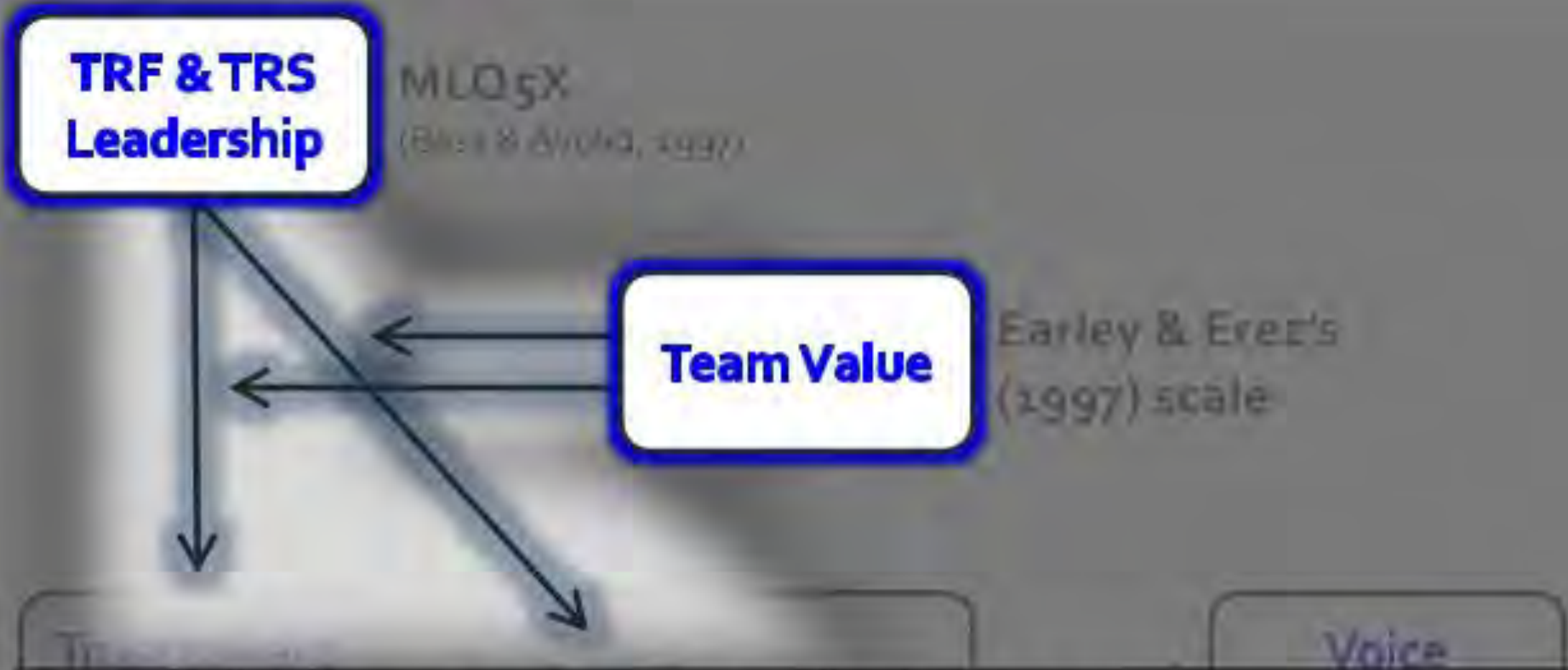
Method: Instruments & Model



Method: Instruments & Model

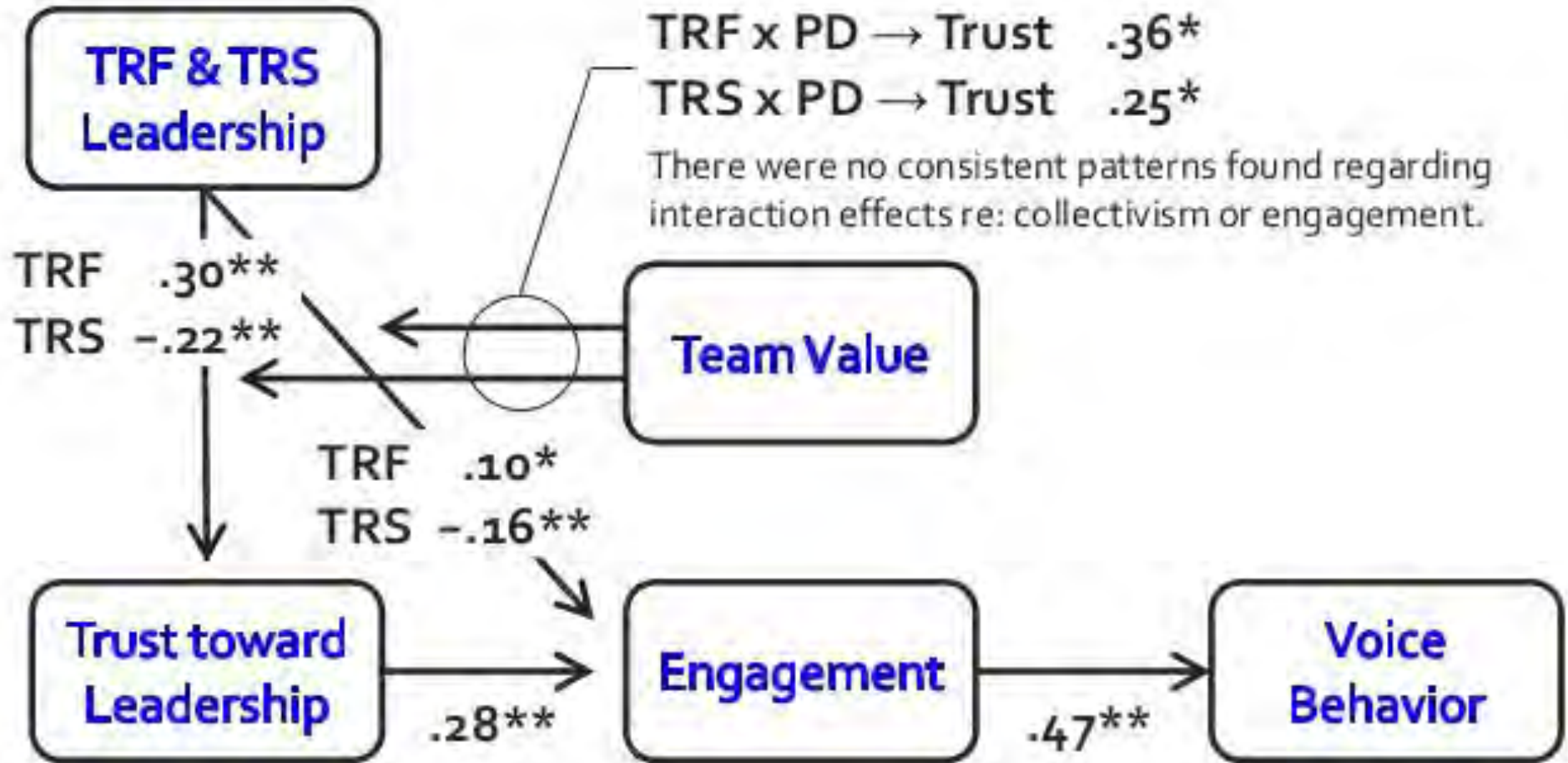


Method: Instruments & Model



Power distance and collectivism moderate the associations between leadership and trust/engagement
[Leadership x Team values → Trust/Engagement]

Results: Overall



Model fit the data adequately: RMSEA = .01-.03, CFI = .95-.99, SRMR = .01-.05

* $p < .05$. ** $p < .01$.

Results: Decomposed re: transformational (TRF) leadership



When the team has low power distance (PD), transformational leadership showed little associations with trust/engagement.

When the team has high PD, however, the stronger the transformational leadership, leadership, the greater trust and engagement.

Results: Decomposed re: transactional (TRS) leadership



As for transactional (TRS) leadership...

When the team has low power distance, the less TRS leadership, the more trust (but not engagement).

When the team has high power distance, TRS leadership had little impact on trust/engagement.

Discussion: So what?

If you want to engage employees,
transformational leadership is the way to go.

TRF enhances trust and engagement, while TRS can harm them.

**There is a time and place, however,
to exercise transformational leadership.**

Team with low PD—perhaps consisting of “individualists”—is not susceptible to the effects of TRF (and they tend to distrust a leader if s/he utilizes transactional leadership).

Discussion: Why so? And now what?

Leadership \leftrightarrow Trust/Engagement?

High-PD members respect their leader and respond well to the leader's support and inspirational approach, whereas low-PD members are autonomous and unaffected by leaders.

- OR - maybe members' working style drives leadership?

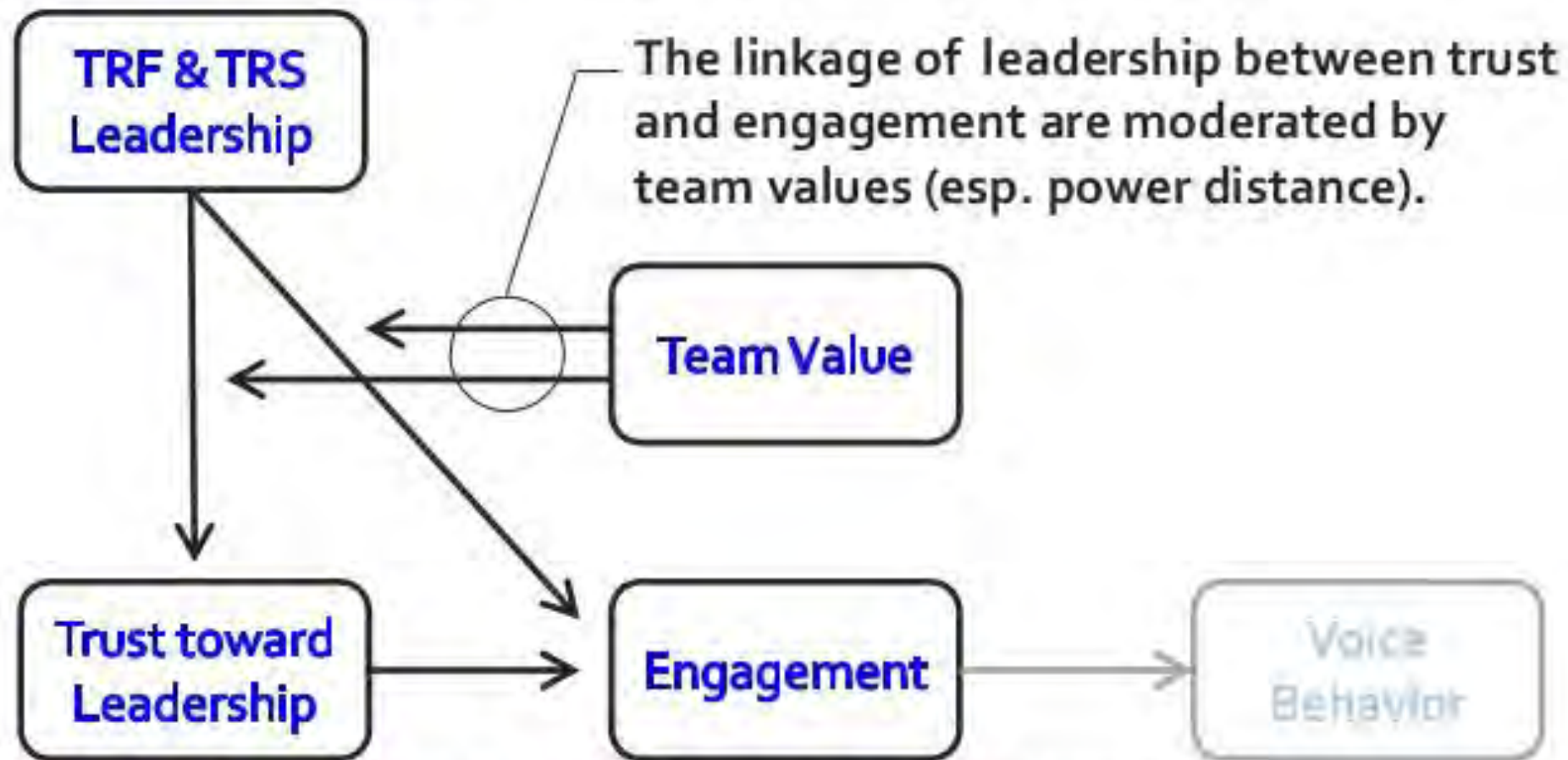
What is it about leadership?

Need to unpack the effects of TRF/TRS leadership to identify specific communication behavior that drives the found patterns.

What is it about engagement?

Need to explore how engagement drives business outcomes.

Summary of overall results



The linkage of leadership between trust and engagement are moderated by team values (esp. power distance).

TRF enhances trust, which, in turn, leads to engagement
[TRF \rightarrow (+) \rightarrow Trust \rightarrow (+) \rightarrow Engagement].

TRS is negatively associated with trust, and thereby associated with reduced engagement
[TRS \rightarrow (-) \rightarrow Trust \rightarrow Engagement].

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事業活動報告 NO. 3

平成28年度
ICT利用による教育改善研究発表会開催報告

本発表会は、全国の国公立大学・短期大学教員を対象に、教育改善のためのICT利用によるFD活動の振興普及を促進・奨励し、その成果の公表を通じて大学教育の質的向上を図ることを目的としている。今年度は平成28年8月9日（火）に東京理科大学（森戸記念館）において開催した。

一般参加者は152名（79大学、2短大、賛助会員1社）で、発表会は第1次選考も兼ねて37件の研究発表が行われた。当日の発表内容は以下の通りである。

その後、第2次選考を9月24日（土）に実施し、11月25日（金）の本協会の第17回臨時総会冒頭に表彰式を行った（詳細は次号に掲載）。※以下の発表者名は発表代表者のみ掲載。

Aグループ

A-1 文系学生の回帰モデリングの試み、R言語によるデータ分析

江戸川大学 ザン ピン

文系の学生を対象にデータ分析に対する動機づけを主な目的として行われた授業の報告である。取り上げられた統計テーマは相関、回帰であり、教員からの知識の伝達を最小限にし、回帰で説明できる現象を見つけさせるという授業手法である。使用されたソフトウェアはフリーソフトのRである。学生の興味を喚起できたとの報告があった。

A-2 教員養成系学生の「教育の情報化」に向けたサステナブルなICT活用の実践

昭和女子大学 駒谷 真美

教員養成系学生を対象としてICT活用指導能力を獲得させるための試みの報告である。電子

黒板、タブレット端末など情報機器を使用した指導略案の作成、模擬授業の実施、授業録画とネット上での共有によるピアレビューなどを実施したものである。事前事後アンケートの分析、自由記述式回答からのテキスト分析を行い、ICT活用指導能力の獲得と自信が確認されたとの報告があった。

A-3 高度マルチメディア双方向授業—卒業研究ゼミナールにおけるアクティブ・ラーニング型授業の実践—

サイバー大学 川原 洋

オンデマンド・コンテンツの自主制作を目的とする卒業研究ゼミナールの全過程をオンラインで行った授業の報告である。15人を3グループに分け、情報共有、意見交換、プレゼンテーションの作成などを経て、最終的に電子出版の審査まで到達させる内容である。審査通過の割合が年度を経て上昇し、本報告年度ではコミュニケーションの活性化により全員が出版を果たしたことが報告された。

A-4 学生による補助教材作りを組み入れたハッカソンの情報実験の試み

名城大学 高橋 友一

Javaを用いてロボットを操作し、スポンジを積み上げる高さを競わせる授業の報告である。授業時間として10コマ分の時間を集中的に一度に行うことに特徴がある。また授業内では、大学院生の管理グループと参加学生の2グループ構成で実験を行い、授業終了後にビデオ教材の作成を行うなどに特徴がある。受講学生・大学院生の授業アンケート結果、下級生によるビデオ教材アンケート結果が示され、集中授業方式の有効性が報告された。

A-5 事前学習としてのLMSへの問題入力による学習意欲の向上

福山大学 中道 上

ITパスポートの受験対策を目的にした授業の改善報告である。教員による解説、指導から学習者主体の授業へと転換し、事前学習では、学生による問題・解説入力、授業では、学生による解説のプレゼンテーション、事後学習では、他の学生が問題を解答するというプロセスである。アンケート結果から、学習意欲の向上、理解度の向上がみられたことが報告された。

A-6 異なる意見を持つ受講生同士のピア・ラーニングによる理解度向上とその定量化

九州大学 松永 正樹

アクティブ・ラーニングの学習効果を定量的に測定しようとする試みの報告である。正解のあるクイズに対して個人で回答させた後、グループ討論を経て回答をさせた。グルーピングとして異なる回答をした履修生をグループとした場合とそのような配慮をしなかった場合とを比較している。異見をもつ履修者のいるグループでは正答率が有意に上昇したが、その配慮をしなかった場合は正答率が下がった旨の報告があった。

A-7 電子学術書を活用したゼミ授業の高度化と全学展開への挑戦

立命館大学 湯浅 俊彦

電子学術書化を推進することで、大学教育における事前学修（反転授業）・授業受講・事後学修を効果的に進めることが可能となり、実際に導入した小集団教育では受講生が発表と論文執筆に専念でき、その成果を単行本化することを3年間続けて達成し、教育の質的向上が大いに図られた旨の報告があった。

A-8 AR（拡張現実）を用いた変化する授業プリントの活用

中央学院大学 清水 正博

授業プリントにAR（拡張現実）を用い、ス

マートフォンをかざすと、文字や画像、音声、映像などを表示させることができるようにし、授業中の学生の授業への集中力を高める取り組みを行うとともに、授業終了後は、授業中とは異なる内容を表示させることで、授業後の復習の促進、次回の授業までの興味関心を持続させる旨の報告があった。

A-9 学習者の主体的な課題解決を促す授業の評価ービジネスネットショップ制作を通してー

名古屋学院大学 松永 公廣

アクティブ・ラーニングの具体例としての課題解決型授業について、学生が主体的に目標設定、実行、評価、改善などのPDCAサイクルを繰り返すことで目標に到達することができるようになるために、これまでの本大学での授業実施経験の分析をもとに提案した新演習方針が有効であったことを、授業実践データよりその有効性が示せたとする旨の報告があった。

A-10 Facebookを活用してテキストと授業の理解度を高める教育改革

近畿大学 足立 辰雄

本取組では、「経営学」および「経営管理論」において、受講生を13チームに分け、各チームがテキストの担当章について質問を起こし、それに対する教員の回答とコメントをFacebookに公開している。その目的は、学生間のコミュニケーション力向上、授業参加意欲強化、ICTの有効利用、経営基礎学力向上にある旨の報告があった。

A-11 スキャナで読めるマークシートを活用した小テスト通過型単位認定方式

専修大学 小川 健

本取組では、スキャナで読めるマークシートを活用した小テスト通過型単位認定方式を実施している。スキャナで読めるマークシートの使用によって、容易に小テストを何回でも実施できる。この取組の目的は、小テストを繰り返し実施することによって、学修理解の定着を図る

ことにある旨の報告があった。

A-12 オープンデータを活用した地図力育成： ソーシャルデザイン教育における質的転換と評価

東京工科大学 飯沼 瑞穂

本取組では、GIS (Geographic Information System) などのICTを活用した授業を実施している。この取組の目的は、オープンデータとしてのデジタル地図情報を活用し、地図活用力を育成するとともに、地球規模の問題解決能力を養うことにある旨の報告があった。

A-13 休耕地活用をテーマにしたPBL型ゼミ におけるSNS活用手法とその効果

神田外語大学 石井 雅章

本取組では、休耕地活用という地域課題に実践的に取り組むPBL (Project Based Learning) 型ゼミナールにおいて、SNSを活用して学生と教員のコミュニケーションを量および質の両面にわたっていっそうの改善を促進している。さらに、ICTによって課題に向き合う態度および課題解決に必要な統合能力の養成を促進した旨の報告があった。

Bグループ

B-1 留学における「異文化理解」の実質化 ～SNSを活用したリフレクションの 実践と成果

工学院大学 二上 武生

留学の意義である「異文化理解」を実質化させるため、留学先での「観察力」を磨くことを目的としてSNSを活用した「観察日記」を導入した。オーディエンスとしての参加協力を関係教職員に依頼した結果、遠隔地双方向コミュニケーションにより、投稿内容における「気づき」が深まり、「観察力」の向上が認められた旨の報告があった。

B-2 ICTによるアクティブ・ラーニングの 取り組み—短期海外プログラムの効果的 教育実践—

立教大学 郭 洋春

立教大学経済学部では、短期海外プログラムでも専門的知識を英語で理解できることを目標に、従来型の教授法にICTを活用して反転授業を取り入れたアクティブ・ラーニングと、短期海外プログラムの効果的教育的実践の試みを、2015年度から実践してきている。その教育内容と教育効果について報告された。

B-3 インタラクティビティを中心とした外国語教育環境の開発と活用

早稲田大学 アルベリッツィ ヴァレリオ

イタリア語の教育において、視聴覚的な情報とともに言語情報を、一貫性のある形式で提供できるデジタルテキストブックの開発と、タブレット型端末、アプリケーションなどの連携を活用し、ピア・サポートを中心とした効率的な学習環境の開発を行った経緯、および統計的なデータから得られた学習効果についてまとめ報告された。

B-4 「考える」力を育成するための協働学習の 取り組み：ピアレビューを取り入れた英語教育

大阪国際大学 齋藤 由紀

英語力のうち「話す」こと「書く」ことで課題が多いと考え、タブレットの活用により発信型英語授業をめざした発表である。自己評価シートを用いて「考える」課題を認識させ、学生間でのピアレビューの環境を整え、英語でのコミュニケーションが自然に行える場面を設定し、発信型英語教育への協働学習へとつなげている旨の報告があった。

B-5 英語能力の効率的な向上のための多読 用学習ソフトウェア

京都産業大学 ロブ トーマス

多読学習法のさらなる普及のために開発した多読学習用記録・管理ソフトウェアMReaderに

関する発表である。従来の Moodle 上のソフトウェアから発展させ、オンラインでどこからでもアクセスできるソフトにすることにより国内外の多数の教育機関での利用が広がり、多言語への対応や教育機関以外への利用の拡大も進めている旨の報告があった。

B-6 学部専門教育科目と一般教養科目の共同教育プロジェクト—English for Academic Purposesの実践報告—

朝日大学 西 善也

法学部の専門科目担当教員と一般教養科目の英語担当教員がEAPをベースとする共同教育プロジェクトを立ち上げた効果に関する発表である。活動では学生主体のGroup ResearchとPresentation Projectを行って英語能力や情報発信能力だけでなく、アクティブ・ラーニング、TBL、事前事後、協働学習などの手法を取り入れて社会人基礎力の育成にもつなげている旨の報告があった。

B-7 日本語で受講する学部留学生に対する反転授業—発音習得に関する講義理解と深い学び

同志社大学 須藤 潤

外国人留学生の日本語発音習得に対する反転学習の役割を検討している。単に知識を習得するのではなく、習得知識を発音の技能獲得に適用することで、さらに正確な発音を追及する学習姿勢に良い影響をもたらすことを見出している。講義ビデオの長さが15分を超えると、理解度の低い学生が増え、負の相関を示す傾向が見られた旨の報告があった。

B-8 ICTを活用した協創型議論の場づくりと支援—21世紀型スキルの修得をめざして—

早稲田大学 尹 智鉉

グループワークにICTのツールを活用し、ツールの選択は、学生の自主的選択としている。LMSのチャットは利用されず、LINEグループ、Skype、Google Docsが主に使用されている。情

報りテラシが磨かれ、チームメンバー間のコミュニケーション、チームワークに努めるなど、協同学習の支援に効果的であった旨の報告があった。

B-9 第二外国語授業でのコミュニケーションの実践導入—SKYPEを通して—

国際教養大学 崔 壮源

日韓の大学間で韓国語と日本語の学習者ペアを作り、Skypeを利用したコミュニケーション実践を試みている。普段は交流困難な学習言語の母語話者との交流が実現し、授業では得られない適度な緊張感や新鮮味を経験し、コミュニケーションを通して、自分の日本語を客観的に見る視点が学生に生まれるなどの効果があった旨の報告があった。

B-10 基礎的な授業技術習得のための示範授業ビデオの制作 (2)

椋山女学園大学 坂本 徳弥

研究協力校において授業研究を実施し、教職を志望する学生に視聴させるための3本の示範授業ビデオを制作している。これらを大学の模擬授業演習等の授業で実際に学生に視聴させ、学生に評価させたところ、電子黒板とタブレットを使った授業を経験したことのある学生の方が、経験がない学生よりも高く評価する傾向があることがわかった旨の報告があった。

B-11 協働による達成感醸成を図るGISを活用したウォークラリー行事

目白大学 藤谷 哲

小学校教職課程を設置する大学の学科行事として、学生が自ら企画・運営するウォークラリー行事を実施し、参加者の所在地をリアルタイムに発信・記録・閲覧・確認できる地理情報システム(GIS)を導入している。GISは学習支援の役割を果たすとともに、利用を通じた楽しさ、利用時の操作性に起因するとみられる不安の意識が確認できた旨の報告があった。

B-12 eポートフォリオを活用した「書く力」の向上を目指した学修成果のアセスメント

淑徳大学 野坂 美穂

本研究は、eポートフォリオの活用による学生の「書く力」の改善・向上を目指した実践報告である。実践により得られた示唆は、eポートフォリオの全面的な導入ではなく、電子媒体と紙媒体を場合に依りて使い分けることが必要であるということであり、特に「振り返り」においては、紙媒体が有効であることが明らかとなった旨の報告があった。

B-13 発表辞退

Cグループ

C-1 医用画像診断システムを応用した画像診断学演習

東京女子医科大学 鈴木 一史

医学部の臨床実習前（4年次）のカリキュラムに、匿名化したDICOM画像を教育用PACSサーバを用いて参照するシステムを構築し、フィルムレス環境に対応した放射線画像診断演習を実現している。これをLMSと組み合わせて学生の繰り返し学習を促すことによって画像読影演習のアクティブ・ラーニング化も図った旨の報告があった。

C-2 ICT活用による新たな一次救命処置スキル実習システムの開発

東海大学 梶原 景正

臨床実習の医学部生を予めインストラクターとして指導し、一次救命処置動画を標準スキルとして新入生に指導させたところ、教員と遜色ないスキル指導が実践できたばかりでなく、医学部生自身のスキルアップにも貢献している。過去9年間の教育改善成果について、利点・問題点などを述べるとともに、ICTが果たす重要性について報告された。

C-3 能動的かつ実践的学習を支援するICTを活用した臨床テキストブックの開発

大阪医科大学 林 道廣

医学知識の理解支援を主目的とし、医学部、看護学部、薬学部で活用できる電子媒体を使用した臨床テキストブックを開発した。電子媒体の持つ特性を活かして学生の視覚的理解を助ける事で臨床実習や自学自習における学習を支援している。今後、アクティブ・ラーニングへの活用も計画されている旨の報告があった。

C-4 チーム医療を育む全学科・学年を対象とした全人教育・アセンブリ科目へのICT活用

藤田保健衛生大学 松井 俊和

従前から実施されている多職種連携・チーム医療に参画できる人間形成を目指した「アセンブリ科目」で重要となる教員間・学生間の情報共有に向けて、ポータルサイト、LMS、電子掲示板、ピア評価システム等を小グループ学習やTBLに導入し、学習効果の向上を図った旨の報告があった。

C-5 ICT活用による能動的学修支援と学修成果の可視化を融合させた教育改善の実践

北海道医療大学 二瓶 裕之

電子シラバスを基軸とした能動学修支援システムを開発し、学修情報の融合と成果の可視化によって学習方略を検証し、授業改善にフィードバックしている。反転授業と協働学修の適時性およびそれらの融合のための方略などが明らかとなり、それらを反映した授業改善が実現されはじめている旨の報告があった。

C-6 ICTを活用した看護過程における授業教材の開発と活用 ―学生の思考能力の育成―

産業医科大学 辻 慶子

学生の思考能力の育成を主目的として、予習・復習、演習問題、作問学習を一元的に行えるシステムを用い、思考能力の育成を試みてい

る。作問学習の導入が能動的学習姿勢の獲得に有効である可能性、およびそのことによる学修効果向上の可能性を示唆している旨の報告があった。

C-7 発表辞退

C-8 タブレット型端末および双方向型教育を導入したTBLの学修効果

兵庫医科大学 成瀬 均

平成22年度から、チーム基盤型学修（TBL）を4年次科目「症候学」（現「症候病態TBL」）に導入したが、平成23年度より3年間かけてフリーソフトであるmoodleを導入し双方向型教育を取り入れている。参考資料や素材を紙媒体よりはるかに高いレベルで配信することができるようになっただけでなく、学生の推論過程まで把握することができる旨の報告があった。

C-9 実験科目におけるe-Learning systemの利用とその効果

日本大学 根本 洋明

応用生物科学実験Ⅱ（履修者142名）において、実験マニュアルや作業の確認と小テスト、データ解析などの解説と演習問題、実験操作解説用のビデオ動画、実験データのフォーム入力などのコンテンツをMoodle上で導入し、学生の実験技術レベルやデータ解析能力が大幅に上昇するとともに、学生へのフィードバックが効果的に行われている旨の報告があった。

C-10 ランダム出題、自動採点かつ反復受験可能な数学オンライン定期試験とその功罪

山口東京理科大学 亀田 真澄

数学のオンライン試験に関する試みとして、微分方程式の試験出題時の回答が数式になる場合にも対応するシステムを構築して授業でその効果を確認している。3期に分けて、効果を測定した結果、期の経過とともに反復受験する習慣が付き、初回評点に対する最高評点の比率が増加するという傾向がみられている旨の報告が

あった。

C-11 ピア・インストラクションを用いた数学の概念理解の取り組み

金沢工業大学 西 誠

数学の概念理解のためのクリッカーを用いたピア・インストラクションを反転授業と組み合わせ、教育効果を高める授業改善を行っている。26問の問題に対する正答率をピア・インストラクション前後で調査したところ、難しい問題に対してはピア・インストラクションの効果はみられなかったが、クラスの過半数が理解できている問題に関しては効果が認められている旨の報告があった。

C-12 ICT環境での学び合い学習—Open your world—

日本工業大学 河住 有希子

課題を与えて、それをネット上で情報を収集することで解決するというアクティブ・ラーニングの実践報告。元素周期表をもとに金属を選ばせ、その金属について調査をさせることで学生の主体性や学生同士の学び合いを実践している。また、350人の10課題に対する教育効果としては、思考力、想像力、課題解決力が伸びたことである旨の報告があった。

C-13 初年次ICTロボット導入PBL授業における学習効果測定分析

芝浦工業大学 菅谷 みどり

ロボット教材をもとにしたPBL授業により、9項目の教育効果について100名強の学生に対するアンケート調査をした結果から評価している。学生の役割に基づいて3グループに分け、積極性と学習意欲の向上について調べたところ、責任が重いグループ1とグループ3の学生はもともと積極性が高く、学習意欲の向上が認められている旨の報告があった。

文責：ICT利用教育改善発表会運営委員会

LEADERSHIP SKILL DEVELOPMENTS IN STATISTICS LEARNING

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Rikkyo University started a new program for Statistical leadership development in 2015. Many business schools have leadership development programs and methods. The program is a combination of the business leadership program of College of Business and statistics learning. Repetitions of group works and reflections are expected to motivate students to learn statistics further.

INTRODUCTION

The Business Leadership Program (BLP) is the core curriculum of the Department of Business, Rikkyo University and encourages students to take an active role in the global community. Through team-based projects and skill-enhancing exercises, BLP nurtures business leadership capabilities in an experience-based learning environment.

The BLP begins with an "Introduction to Leadership" course in the Spring semester of the first year, and concludes with BL4 in the Spring of the third year. This five-semester course of study has a dual approach, using project implementation and skill enhancement to develop leadership. In the semester dedicated to project implementation, students learn to recognize their strengths, and in the succeeding semester dedicated to skill enhancement they work to develop these good points intensively. The cycle continues in the next project implementation semester, where students can check their own progress.

Importance of Statistical leadership is pointed out by Snee and Hoerl (2004). Rodriguez (2012) gave three comments on the statistical leadership as follows. "First, the road to statistical leadership begins with volunteering. Second, successful leaders work on their communication skills and apply them as champions for our field. Third, great leaders encourage and develop younger leaders".

A NEW APPROACH

Action learning methods may be used for developing leadership skills. Action learning is a process which involves working on real challenges, using the knowledge and skills of a small group of people combined with skilled questioning, to re-interpret old and familiar concepts and produce fresh ideas (see Revans, 1980, 1998). This method can be combined into group works on statistics classes. A combination program of statistics courses, leadership program and action learning will be started in 2015 in Rikkyo University. This program is planned for developing students' problem solving skills using statistical skills as well as leadership skills.

The program is a combination of the leadership development program and statistics learning. Repetitions of group works and reflections are expected to motivate students to learn statistics further. Reflections are important parts for students to find something further to learn.

CONCLUSION

Details and results will be shown at the conference.

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ACTUAL CONDITION SURVEY OF LEADERSHIP DEVELOPMENT IN JAPANESE COMPANIES

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ABSTRACT

This study examines the current state of leadership development in Japanese companies. The research questions that we address are: 1) What kinds of leadership behavior do Japanese companies expect from their employees? 2) What kinds of leadership development training programs have been conducted in Japanese companies? The questionnaire research (N = 101; 7.79% response rate) led to three findings. Japanese companies expected leadership behaviors from employees in different stages of their career. The leadership behavior that the Japanese companies expected differed according to the career stages of the employees. Among the Japanese companies that participated in the survey, 85% conducted leadership development training programs for their employees.

INTRODUCTION

It is becoming increasingly important for companies to develop their human resources because human resources constitute one of the most important sources of competitive advantage (Pfeffer, 1995). Developing leadership, in particular, is becoming a critical management issue (Day, 2001; McCauley, Moxley, & Van Velsor, 1998; Pearce, 2007) because of the increase in the knowledge work in companies. According to Drucker (1994), the age of knowledge work has arrived. It is becoming increasingly important for knowledge workers to collaborate with other employees with different specialized knowledge. Therefore, companies need employees who have leadership as well as specialized skills (Gratton, 2011).

Researchers studying human resource management and organizational behavior have struggled with leadership and leadership development. Traditionally, leadership researchers focused on investigating leadership itself. Specifically, they were interested in identifying the traits of the best leaders (trait theory) or the common behaviors that induce high group performance (behavior theory). Even today, these two leadership theories have a strong influence on the research on leadership; the charismatic leadership theory (Conger & Kanungo, 1998) is a case in point. After the 1970s, the contingency approach to leadership became popular. Leadership researchers began to pay attention to situational variables, such

as the nature of the relationships between the leader and the followers, the leader's position power, and the extent to which a particular task is structured (e.g., Fiedler, 1967).

However, there are few extant studies on leadership development. The fundamental challenge that these researchers face is to describe the process or way of developing leadership (Day, 2001). Although some traditional leadership researchers regarded leadership as an invariable trait, recent researchers examining leadership development assume that companies can develop their employees' leadership skills through training programs, similar to how they develop the other business skills of their employees.

Some practices are regarded as effective ways to nurture an employee's leadership. For example, 360-degree feedback, coaching, mentoring, networks, job assignments, and action learning are representative leadership development practices (McCauley et al., 1998). Today, a growing number of Japanese companies are increasingly focusing on leadership development (Furuno, 2000). Most prior leadership studies (e.g., Bass, 1991; Conger & Kanungo, 1998) found that in the twentieth century, Japanese companies asked only the managers to take on leadership; the other employees were required to be good followers. However, in recent years, some researchers and companies believe that every employee should take on leadership within their team or organization (Pearce, 2007; Pearce & Manz, 2005). Iga (2012) reported that an increasing number of employees are beginning to ask to for leadership roles; however, employees who are capable of taking up effective leadership are severely lacking in Japanese companies. Therefore, it is important for Japanese companies to develop their employees' leadership skills.

Several questions arise in this context. Why is this rapid change occurring in Japanese companies and society? Are there any changes in how the leadership concept is viewed? Do Japanese companies provide their employees with suitable training opportunities to develop their leadership skills? The purpose of this study is to answer these questions, which is admittedly not an easy task. The rest of this paper is structured as follows. The extension of leadership theory and leadership development research is described by reviewing prior research in the second section. Subsequently, the research questions that are addressed in this study are discussed. The research method and questionnaires are described in the third section. In the fourth section, the results of this study are presented. Finally, the interpretation of the results is discussed, and concluding remarks are presented in the fifth section.

LITERATURE REVIEW

Definition of Leadership

There are several different definitions of leadership. House et al. (1999) defined leadership as the ability of an individual to influence, motivate, and enable others to contribute toward the organization's effectiveness and success. And Katz & Kahn (1978) defined that leadership is the influential increment over and above mechanical compliance

with the routine directives of the organization. In addition, Rauch & Behling (1984) defined that leadership is the process of influencing the activities of an organized group toward goal achievement. The common feature among most of the various definitions seems to be influence. However, this influence is meant not only for others but also for the leaders themselves. For example, Kotter (1982) suggested the following effective leadership behaviors: agenda setting, network building, and execution. It usually takes a few months to accomplish the agendas set by the leaders. Therefore, most leaders are required to take effective self-leadership measures (Manz & Neck, 1998) to retain their passion or motivation to prevent failure.

In addition, there are some controversies related to the definition of leadership. One problem is whether leadership is a trait or a process. As described earlier, initially, leadership scholars primarily focused on the trait aspect of leadership. However, they gradually shifted their focus to the process aspect. With the increase in the scope of business, the size of organizations dramatically changed. As companies grew and expanded, they began to need many managers and leaders.

The leaders who are needed in these big companies are not charismatic leaders but effective leaders. Thus, practical interests changed from selecting gifted special leaders to developing skilled leaders. Therefore, the focus of leadership research became to examine how leadership roles were taken up in organizations to find the most effective method to facilitate their skills, and to analyze their effective behaviors.

Another issue is whether the actor associated with leadership is limited to the official leader. As was discussed in the first section, leadership scholars traditionally focused on leadership associated with a specific position. This view of leadership was suitable for the industrial society of the twentieth century, where most employees were asked to work according to predetermined ways. However, from the late twentieth century, the number of employees with specialized knowledge and highly educated employees began to increase. Some of these employees are required to work together and collaborate with others, sharing their specialized knowledge. In other words, employees are required to identify problems as well as resolve them on their own. During this process, each employee is asked to take on a leadership role and to involve others in solving the problem(s). Given these changing practical interests, leadership without authority or emerging leadership is receiving greater attention. Thus, leadership today is regarded as something that is taken on and shared by every member of the team.

Definition of Leadership Development

Leadership development is defined as the process of expanding the collective capacities of organizational members in order to enable them to effectively engage in leadership roles and processes (Day, 2001; McCauley et al., 1998). Leadership development

is closely connected to leadership theory. Therefore, according to the extensional view of leadership theory, the focus of leadership development has changed in recent years. The traditional school of leadership development research followed two research streams. First, most prior researchers on leadership development focused on transactional and transformational leadership. Second, they focused on the employees who occupy leadership positions. In the new school of leadership development research, scholars attempt to expand the scope of leadership development and include followers in the process of leadership development (Pearce, 2007).

Although the number and scope of leadership development studies have increased significantly, there are few extant studies on leadership development in the context of Japan. In the following section, the prior studies conducted in Japanese organizations are reviewed; subsequently, the research questions that are addressed in this study are discussed.

Leadership Development in Japan

Academic interest in leadership development in Japan began to increase in the 1970s. There are two main streams of research in the Japanese context. First, several studies were conducted by Misumi and his colleagues based on Misumi's Performance-Maintenance (PM) theory of leadership (Misumi, 1984). PM theory is one of the most famous behavioral approaches to leadership in Japan. Practical applications of this theory are well evidenced in Japan. According to Misumi (1984), there are two important types of behaviors. Performance behaviors include planning and identifying reasons for poor performance and direction. Maintenance behaviors include trusting one's subordinates, considering another member's private affairs, and recognizing good performance (Misumi, 1984). Misumi & Fujita (1971) suggested intervention programs for leadership based on the PM theory. Further, Seki, Takaoka, Misumi, and Misumi (1992) evaluated the effect of such leadership development intervention programs; they reported that some leaders enhanced their leadership scores evaluated by subordinates, and some leaders changed their leadership style after the intervention programs. In addition, they reported that organizational objective indicators, such as the stability of the workforce and ordinary profit, also improved as the result of such intervention programs.

Second, some studies focused on learning from experience (e.g., Taniguchi, 2006). Following McCall (1998), most of these studies adopted a quantitative research approach to answer the question: What kinds of experiences and jobs make employees effective leaders?. According to McCauley et al., (1998", these studies suggested that improving job experiences is the one of the most important factors for leadership development. This finding is useful for some Japanese companies that are considering how to develop their employees' leadership skills. Such findings have been applied to job rotation or for training managers in Japanese companies.

Research Questions

Although there have been several studies on leadership and leadership development in Japanese companies, there are some gaps in the literature. Most prior studies had two limitations. First, most of them involved case studies of leadership development in certain companies that have advancing leadership development programs in Japan. A quantitative research approach for analyzing the process or way of leadership development is useful because other companies can imitate the identified processes in their human resource development strategies. However, the complete picture of leadership development in Japanese companies remains vague. Therefore, a questionnaire research would be useful to depict the overall picture in a period.

Second, most of the prior studies focused on formal leaders with a management position. Some Japanese researchers suggested that the actors associated with leadership should not be limited to formal leaders, and that all employees should take on leadership roles (Higano, 2012; Iga, 2012). However, whether Japanese companies actually want every employee to take on leadership remains to be examined. There could be some gaps between the extant academic discussions and practical interests. Therefore, it is important to evaluate the actual need for leadership in Japanese companies.

To address this gap in the literature, we surveyed the leadership development principles and practices in Japanese companies. Our research questions were: 1) What leadership behaviors do you expect from your employees? 2) What leadership development training programs have you conducted?

METHOD

This research is part of the “Research of Developing Business Leadership” project conducted by the College of Business at Rikkyo University in Tokyo.¹ In June 2010, we sent out questionnaires to the human resources departments of 1,297 Japanese companies, including listed, unlisted, and foreign capital companies. We asked the companies to respond within two weeks. We received 101 responses (7.79% response rate).

The questionnaire consisted of three parts. Part 1 was a company profile about each firm’s industry, number of employees, percentage of full-time employees, type of organizational structure (from a pyramidal organization to a flat organization on a scale of 1 to 5), and its decision-making process (from top-down to bottom-up on a scale of 1 to 5). Part 2 explored what leadership behaviors the companies expected from managers and non-managers. We divided the employees into four categories and asked the respondents about each category: executives, middle management or middle, young employees or young (more than three years of service with the firm), and newcomers (fewer than three years of service with the firm). Part 3 investigated the content of the leadership programs conducted by the company.

Most of the respondent companies belonged to four industries: manufacturing (40.6%), services (10.9%), wholesale trade (9.9%), and retail (9.9%) (see Table 1). Approximately one-third (39.6%) of the companies employed 300 to 1,000 people, and approximately one-third (36.6%) of the sample employed 1,000 to 5,000 people. Table 2 provides additional details.

Industry	Frequency	Percentage
Agriculture, forestry, fisheries	0	0.0%
Metal mining	0	0.0%
Manufacturing	41	40.6%
Finance and Insurance	7	6.9%
Construction	1	1.0%
Wholesale	10	9.9%
Retail	10	9.9%
Information and Communication	9	8.9%
Electricity, gas, heat supply, and water	1	1.0%
Real estate and good rental and leasing	1	1.0%
Transport and postal activity	4	4.0%
Service, N.E.C.	11	10.9%
No answer	6	5.9%
	101	100%

Number of employees	Frequency	Percent
less than 50	1	1.0%
50~100	0	0.0%
100~300	6	5.9%
300~1000	40	39.6%
1000~5000	37	36.6%
More than 5000	16	15.8%
No answer	1	1.0%
	101	100%

RESULTS

Important Leadership Behaviors

The results of the analysis showed that the Japanese companies in the sample expected all the four categories of employees to demonstrate some form of leadership behavior. Specifically, 94.1% of the companies expected leadership behavior from middle managers, 86.1% expected leadership behavior from the executives, 79.2% from young employees and 34.7% from newcomers. It is noteworthy that one-third of the surveyed companies expected leadership characteristics among newcomers, who are junior employees and seldom have subordinates.

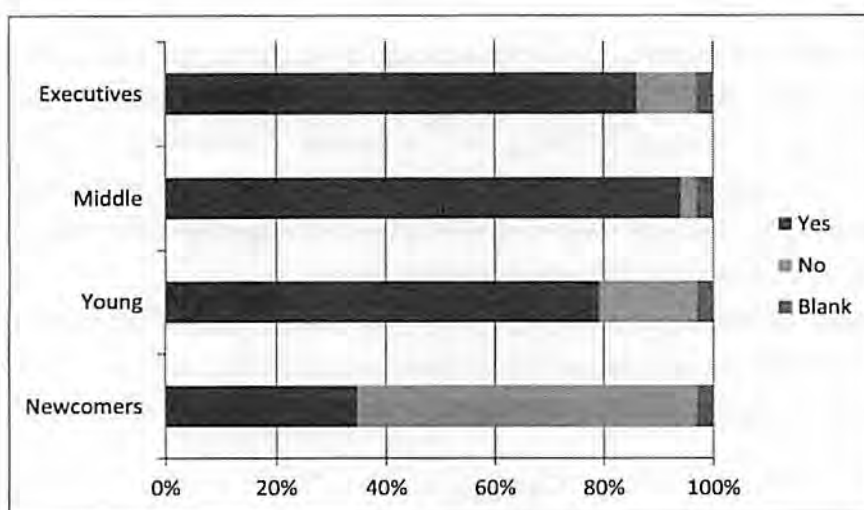


Figure 1: Companies' expectations about leadership behavior from different employee types

The companies were found to have different expectations and definitions of leadership for each category of employee. The respondents identified three types of leadership expectations for their executives: "Establishing the company's vision" (57.5%), "Disseminating the company's vision" (34.5%), and "Developing the next leader" (3.4%). In short, "leadership" for executives entails creating a vision, disseminating the vision throughout the organization, and ensuring effective plans for succession.

For middle managers, the important leadership qualities included "Coordinating with senior management and other departments" (22.1%), "Disseminating the company's vision" (20.0%), and "Assigning and designing jobs and providing adequate suggestions" (9.5%). Our research results showed that middle managers were expected to disseminate the senior management's vision to their subordinates and to implement this vision by managing their departments effectively and interacting with other departments.

The companies we studied expressed different expectations and definitions of leadership behavior for non-managerial employees. We classified the non-managerial employees into young employees and newcomers. According to our research results, the leadership behavior for young employees includes “Acting proactively” (20%), “Setting an inspiring example, (12.5%)” “Taking initiatives, thereby setting an example for others” (12.5%), and “Getting things done by involving others” (10.0%). The management creates and disseminates the company vision; thus, Japanese companies do not expect leadership from their contributor-level employees. However, young employees are expected to interpret the senior management’s vision and to display it through proactive behavior. Moreover, they are encouraged to be role models for their peers and to achieve goals by involving their colleagues. For this group, leadership involves achieving their assigned work goals and influencing others.

Although newcomers have no subordinates and have less experience compared to young employees, approximately one in three companies expected them to display leadership behaviors. These behaviors included “Getting their job done on their own” (22.9%), “Acting proactively” (22.9%), and “Completing their work within the deadlines and following the rules.” These results suggest that the companies expected newcomers to motivate and discipline themselves and to be proactive, not passive.

In summary, the employees were divided into four categories, and the employees in each category were expected to show leadership behaviors. In addition, as shown in Figure 2, the four categories of employees were asked to take on different leadership roles.

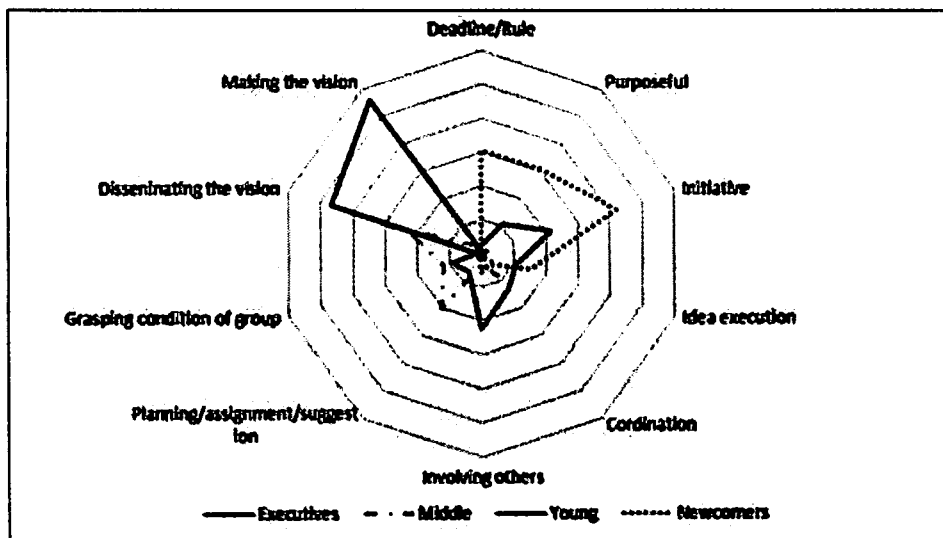


Figure 2: Differences in leadership behavior expected from employees in different positions

Leadership Development Training in Japanese Companies

Our research results showed that 85.1% of the respondents had implemented some form of training program for leadership development. Their reasons included: "To develop employees to lead our company" (81.4%), "To heighten the ability to execute the company's vision and strategies" (65.1%), "To motivate our employees and strengthen trust among employees" (57.0%), and "To develop each employee's leadership potential" (53.5%). The reasons why some of the companies did not implement leadership development training included "Excessive budget requirements" (50.0%) and "Takes too much time" (42.9%).

Companies can introduce many types of training programs to encourage leadership behaviors among employees. They might be able to develop leadership solely through on-the-job training (OJT) programs. However, leadership is more effectively developed through a mix of OJT and off-the-job training (Off-JT) programs. In this section, we focus on the current status of Off-JT programs in Japanese companies.

The analysis proceeded in three steps. First, we divided the employees into four categories as before. Second, we divided the leadership training programs into four categories; authentic leadership training (Authentic), facilitating leadership training (Facilitating), diversity leadership training (Diversity), and self-control. Authentic programs include training programs in which participants try to identify their own strengths and suitable leadership style. Facilitating programs are intended to enhance facilitation skills such as coaching. Diversity programs focus on leadership in the global situation or in the context of a diverse team. Self-control programs involve training based on the self-leadership theory or the concept of self-management. Third, we aggregated the survey data according to the types of leadership training conducted for the different categories of employees. As shown in Table 3, there are two interesting findings related to employees without official positions (i.e., young employees and newcomers). First, although authentic leadership training programs mainly target young employees, quite a few newcomers were trained in this type of training program. Second, both young employees and newcomers were trained in self-control skills.

Table 3
TYPES OF LEADERSHIP DEVELOPMENT TRAINING

	Authentic	Facilitating	Diversity	Self-control	Others
Executives	23.3%	7.0%	9.8%	17.4%	3.5%
Middle	5.8%	46.5%	1.4%	36.0%	2.3%
Young	4.5%	32.6%	7.4%	40.7%	3.5%
Newcomers	7.4%	3.5%	0%	17.4%	4.7%

* Multiple answers were obtained

DISCUSSION

This study investigated the current state of leadership and leadership development among Japanese companies using a survey questionnaire. We asked the companies two questions. What leadership behaviors do you expect from your employees? What leadership development training programs have you conducted?

We reported two main findings. First, Japanese companies expect employees to display leadership behaviors during all stages of their career. Companies expect different kinds of leadership behaviors from employees at different career stages. In particular, while companies expect managerial employees to create and impart their companies' vision, leadership among non-managerial employees entails proactive behavior. In other words, when they have no subordinates, employees are expected to internalize their company's vision in their personal work. Once the employees become managers, the company's expectations change. They expect managers to disseminate the company's vision among their subordinates and to influence others directly and indirectly.

Second, 85% of the responding companies sponsored some form of leadership development training program. For the executives and middle managers, the authentic type of training is mainly provided. However, self-control training is mainly provided for the young employees and newcomers. These results indicated that Japanese companies understand that it is important for each employee to find his/her suitable leadership style. However, they thought that this type of training should be provided after the employees understood their selves. The results of this study seem to confirm the process model of leadership development (Morinaga, 2012).

These findings provide us with some implications. First, most of Japanese companies asked all stages of employees to take leadership. It is unexpected results and this result seems to suggest that the view of leadership concept is gradually changing in the Japanese companies. Second, Japanese companies seem to ask their employees to "share" the different functions of leadership within the hierarchical organization. Although employees are required to take leadership, newcomer is not required to make an company's vision. It seems to be basic result but new findings about leadership development in Japanese companies. It is seemed that there are any differences between western countries in this point.

Limitations and Future Research

Although this research produced useful conclusions about the current state of leadership development among Japanese companies, which is a little researched area in Japan, there are some limitations. The response rate for our survey was relatively low, and we did not have sufficient data to arrive at conclusions about Japanese companies in general. Since this study involved a one-shot survey, the changing views of leadership and leadership

development are not fully captured. The basic findings presented in this paper can serve as starting points for future research. Future research needs to follow a larger-scale design and devote greater attention to identifying the differences in the Japanese companies' definitions of leadership.

ENDNOTES

1. The results of this study are based on the re-analysis of "Research of Developing Business Leadership"; some of the results of this study were reported in "Research of Developing Business Leadership Report" (in Japanese).

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産学連携型 PBL 授業における質問を活用した振り返り手法の検討[†]

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本研究は、大学における産学連携型 PBL (Project-Based-Learning) 授業において、質問を活用した振り返り手法を導入し、その効果について検証した。具体的には、「質問会議」(清宮 2008) と呼ばれる手法を用いて、グループワークの進め方に関する振り返りを行った。本研究では、この手法が、グループワークの進め方の改善に役立ったかについて検証した。分析に用いたデータは、1. 学生が記入したアンケート、2. アクション・ラーニング・コーチ (ALC) が記入したワークシート、3. 振り返り中のプロトコルデータである。分析の結果、質問を活用した振り返りは、グループワークの改善に役立つことが示唆された。

キーワード：産学連携、PBL (Project-Based-Learning)、グループワーク、振り返り

1. はじめに

近年、大学教育において地域や企業と連携をし、体験を通じて学ぶ教育方法の重要性が高まっている。これらの教育方法は、学生の学習意欲の向上や、目的意識を持った自律的な学習者の育成につながる (河井・木村 2013) という点で大学教育に導入する意義が大きい。

その一方で、これらの効果を得るためには、学生同士のグループワークの質の担保が問題となる。グループワークの問題として、一人に負担が偏りすぎる問題 (亀田 1997) や、学生同士が授業時間外に対面でグループワークをする時間の確保が難しいといった問題 (西森ほか 2005) が指摘されている。よって、これらの問題を、学生が適切に振り返り、改善できるような授業のデザインが必要になる。

振り返りの支援は、体験を重視する学習方法において重要であることが指摘されているが (河井・木村

2013, 和栗 2010)、グループワークにおいて、どのような振り返りの手法が、学生のどのような問題に対して効果を持つのかについては明らかになっていない (和栗 2010)。

そこで本研究では、「質問会議」(清宮 2008) という、主に企業の文脈で活用されている振り返りの手法を取り入れ、グループワークの振り返りに有効であるか検証を行った。この手法を大学教育の振り返りに導入し、その効果について詳細に分析・検証した研究は見られない。

大学教育において体験を重視した教育方法の重要性は高まっており、振り返り手法の確立を行うことは急務である。以上を踏まえ、本研究を行う。

2. 実践と方法

2.1. 授業について

本研究で対象とした授業は、立教大学経営学部の「リーダーシップ入門」という授業である。この授業では、企業からプロジェクト課題が提示され、その課題にグループワークで取り組むというものである。本研究では、これを産学連携型 PBL 授業と呼ぶ。授業目標は、1. 自分なりのリーダーシップの発揮方法の理解、2. 専門知識の必要性を知る、という二つが設定されている。授業は経営学部の1年生387名が受講した。授業は18クラスに分かれ、1クラス約20名の学生で行われる。クラス内でさらに4-5名のグループを作り、プロジェクトに取り組む。各クラスに教員と SA (Student

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表1 授業の進み方

	内容
1	イントロダクション
2	プロジェクト課題発表
3	専門知識の理解1 (SWOT分析)
4	専門知識の理解2 (STP分析)
5	プラン構築
6	中間発表 (クラス内発表)
7	中間振り返り (質問会議)
8	プランの再構築
9	2クラス合同発表
10	クラス内プラン発表 (予選1)
11	3クラス合同プラン発表 (予選2)
12	全クラス合同プラン発表 (本選)
13	個人振り返り1
14	グループ振り返り2

Assistant) が1名ずつ担当となる。

授業内容は全てのクラスが共通である(表1)。授業前半(1～6回目)では、プラン構築のために必要な専門知識を学び、中間発表を行う。7回目でグループワークの振り返りを行い、授業後半(8～12回目)は、プランの再構築を行った上で、ビジネスコンテスト形式で進む。具体的には、プレゼンテーションの内容を、教員・連携企業の社員が審査を行う。最後に、授業全体を通しての振り返りを行う。

本研究で対象とするのは7回目の中間振り返りである。前半のグループワークの進め方について振り返り、グループワークの質の改善を目的としている。次節で振り返り手法の詳細について述べる。

2.2. 質問会議を取り入れた理由

本研究では7回目の授業に「質問会議」と呼ばれる手法(清宮 2008)を取り入れた。この方法は、マーコード(2004)のアクション・ラーニング・セッションをもとに開発された手法である。この手法は、主に企業などにおいて、チームや組織開発に用いられるものである(マーコード 2004, 清宮 2008)。チームの抱えている問題に対して、質問を活用した振り返りを行うことで、問題の問い直しが起こり、問題解決につながる事が期待されている。以上の特徴から、グループワークの振り返りに有効な手法であると考え、導入した。

2.3. 質問会議の進め方

最初に、一般的な質問会議の進め方について説明する(表2)。全体は約1時間である(時間は目安)。人

表2 質問会議の進め方

	内容	時間(分)
1	問題提示	3
2	問題の明確化	20
3	問題の再定義	10
4	解決策の検討	5
5	アクションプランの提示	5
6	質問会議の振り返り	10

数は4～8名が推奨されている。参加者の役割には、アクション・ラーニング・コーチ(ALC)、問題提示者、メンバーの三つがある。ALCはファシリテーター役である。ALCは会議の内容には介入せず、会議の進行及び学習過程に対してのみ質問を用いて介入する。問題提示者は、現在自分が抱えている問題を提示する役割である。例えば「グループワークの負担が自分一人に偏っている」といった問題を提示する。他のメンバーができることは質問である。提示された問題について、意見やアドバイスではなく「いつからその問題は起こっていますか?」といった質問を通して、問題そのものを掘り下げることが求められる。問題が明確になってきた後に「問題の再定義」を行う。問題提示者は、質問されたことを通して、あらためて現在の問題は何かを提示する。その問題にメンバーが同意できれば、解決策の検討を行う。最後に、質問会議全体の振り返りとして「セッションはうまくいったか」「よい質問はあったか」などを振り返り、終了する。

本授業で実施した質問会議では、問題提示者とメンバーは受講生が行った。ALCは事前に数ヶ月の研修が必要であるため、研修を受け、「リーダーシップ入門」の授業をすでに受講した2年生以上の学生(SA含む)が担当した。SA以外の学生は7回目の授業のみALCとして授業に参加した。問題を率直に話してもらうために、普段のグループワークのメンバーとは別の組み合わせで実施した。人数は、ALCを加えた5～6名で実施した。

3. 分 析

3.1. 分析の視点

本研究の分析の視点は、質問を活用した振り返りがグループワークの進め方の改善に役立ったかである。受講生387名から、データが取得できた個人・グループのデータを用いて分析した。問題提示を行った受講生は78名で、全体の20.2%であった。評価に用いたデー

タは3点である。1点目は、質問会議中のワークシート ($n = 62$) である。このワークシートは、ALCが質問会議のやりとりを聞きながら「セッションで取り扱われた問題・再定義した問題・解決策」をメモしたものである。2点目は、質問会議後(12回目の本選終了後)に記入したアンケート ($n = 353$) である。12回目に実施したのは、質問会議後の行動変化を検証するためである。3点目は、質問会議中のプロトコルデータである。SAがALCを担当したグループにICレコーダーを置き、発話を録音した。SAのグループにした理由は、SAにのみ事前に研究の目的について説明する機会を得られたからである。SAは特定のクラスや教室に偏ることなくALCを担当した。受講生には、質問会議の前にデータ取得の許可を得た上で実施した。

3.2. 問題の分類

最初に質問会議においてどのような問題が取り扱われたかについての結果を示す。ワークシートに記入された62グループの問題を、記述内容ごとに4つに分類した(表3)。問題の1つ目は「負荷の偏り」である。これは亀田(1997)が指摘している問題と同様であると考えられる。2つ目は「メンバーの欠如」である。グループメンバーが揃わずに困っているといった例が挙げられる。3つ目は「ディスカッションの不活性」である。これは2つ目と異なり、グループメンバーは集まるのだが、「ディスカッション中に反対意見がない」・「時間はかけているが議論が進まない」といった問題のことを指す。4つ目は「モチベーションの低下」である。具体的には「全体のやる気が下がっている」といった問題である。問題の分類は、筆者に加え、大学院生1名が独立して評価を行った(一致率88.7%)。評価が一致しなかった場合は協議において分類を行った。

その結果「ディスカッションの不活性」が最も多かった。自分の意見を言うこと(反対意見含む)に困難を抱えている学生が多くいることがわかった。

3.3. グループワークの改善への有効性

次に、質問会議がグループワークの振り返りに有効だったかについて検討する。アンケートとして「質問会議が、それ以降のグループワーク(7回目以降)を改善する上で役に立った」について「まったく当てはまらない(1)」から「非常に当てはまる(5)」までの5件法で尋ねた。

結果は、平均値が3.69、標準偏差が1.00であった。5件法の回答のうち「5・4」、「3・2・1」をグル

表3 問題の分類

	カテゴリ	例	個数
1	負荷の偏り	一人で全てやっている	14
2	メンバーの欠如	授業時間外の打ち合わせに全員が揃わない	10
3	ディスカッションの不活性	反対意見が出にくい 議論が進まない	32
4	モチベーションの低下	全体のやる気が下がって いて雰囲気が悪い	6

ープ化し二項検定を行った。その結果、有意な差が見られた($p < .01$)。この結果から質問会議はグループワークの改善に役に立ったと考えられる。

3.4. グループワークの行動の変化

続いて、質問会議後にグループワークにおける行動を変えたのかについて検討する。上述したアンケート内に「質問会議後にグループワークのやり方や自分の関わり方を变化した点があれば教えてください」という自由記述の設問を設けた(なければ、「なし」と回答)。アンケートの結果を見ると、行動を変えたと報告したのは全体の83.0%(293/353人)だった。以上の結果から、問題提示者及びメンバー全体に行動の変化が起こったと考えられる。以下にそれぞれの行動の例を示した。

【問題提示者】「反対意見を出すことに抵抗を感じていたが、質問会議以降、臆せずに出せるようになった。」

【問題提示者以外のメンバー】「問題提示者ではなかったが、自分たちの班にも当てはまることだったので他の班の人たちの具体的なやり方などを聞いて良かった。良いと思った事は取り入れた。出来る限り4人で集まれる時にグループワークを行うようにしたうえで、最低2人でも集まれる時にもグループワークを行うようにし、私自身の意見に偏りすぎないように努めた。」

グループワークの具体的な進め方の変化から、反対意見を言うことへの心理的ハードルの変化まで様々な変化が見られた。問題提示者以外のメンバーも、問題提示者と似た問題を抱えているケースが多く、問題解決の参考にしている様子が見られた。

3.5. 振り返りにおける質問の役割

最後に、振り返りにおける質問の役割について検討する。質問による振り返りが有効な理由として、問題の捉え直しにつながる事が挙げられている(清宮2008)。本授業でこのような過程が見られたかについて具体的な事例を一つ取り上げ検証する。

この事例では学生Aが「自分の意見を上手く表現できない」という問題を提示した。序盤は学生Aの状況を確認する質問が行われた。

B「グループのみんなと自分の意見をいざ話すっていう時に緊張とかしますか？」

A「あーちょっとするかもしれないです。」(後略)

C「自分からはあんまり？」

A「自分からはそんなに言えなかったです」

状況が確認できると徐々に「学生Aが問題をどのよう
に考えているか」に焦点が移っていった。

B「(学生Aは、意見を)言いたい?言いたくはないけどど
て感じ?」

A「なんだろうな。これを言っちゃたら、会議とかでこう作り
上げてきたものがちょっと壊しちゃうんじゃないかなって
いうのがあって、それで雰囲気が悪くなると、また嫌だ
なっていうのがあって。」

B「そこが怖いんだ?」

A「難しいところです。タイミングが。」

B「他のチームの人たちはみんな言うタイプなの?」

A「うんそうだね。結構ガンガン言うタイプ。積極的に
言うタイプの人が結構揃っている。」

B「それ辛いな。」

A「いやでも逆にそれに甘えている自分もいて、やっぱ
こう問題出しているけど、これ言わなくても、誰か言
ってくれるかなって待ってて、でそれでタイミン
グつかめなくなってる。」(下線は筆者)

学生Aは質問に対して「甘えている自分もいる」
と話した。その後ALCから「問題は明確になっ
てきたか?」と聞かれ以下のように答えている。

学生A「なんかこう自分の意見が上手く言えない
って言うて、でもなんかこう、なんだろう。この
状態だと、さっきまではこう自分の周りの環
境のせいにしてた分があったんですけど、や
っぱでも話聞くと、やっぱまだ自分がこう、周
りに甘えていたんじゃないかなって思っ
てて、そこが問題かなと。」(下線は筆者)

学生Aはグループワークの問題の主体を「環境」か
ら「自分」へと変化させていった。

今回は一事例のみの分析であるが、質問を使
った振り返りは、問題の捉え直しにつながる
可能性が示唆された。具体的な例として「問
題の主体に対する認識の変化」に影響を
与える可能性が示唆された。

4. まとめと今後の課題

本研究は、大学における産学連携型PBL授業
において、質問を活用した振り返り手法を導
入し、その効果について検証した。分析の結
果、質問を活用した振り

返しを行うことは、グループワークの改善に
役立つことが示唆された。

今後の課題について述べる。実践の改善につ
いては、アンケート内に、問題提示者の提示
した問題が、メンバーの抱えている問題と
離れていると自分のグループの参考にする
のが難しいという記述が見られた。以上の
点から、比較的近い問題を抱えた受講生
でグループを組む、質問会議を複数回
行うといった工夫が必要になる可能性が
示唆されたといえる。

今後は実践の修正を行った上で、どのよ
うな問題を抱えたグループがどのような過
程を経て、どのような行動変容を行うか
の一連の流れについて、複数の事例を整
理し、分析を行うことで検証を行って
いく。その上で、大学教育における振り
返りのデザイン指針をより詳細に提示す
る。

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「健康経営」とは何か

——職場における健康増進と経営管理の両立

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本稿の目的は、健康経営に関する研究動向を明らかにし、今後の課題を明らかにすることである。本稿は大きく分けて3つのパートから構成されている。最初に、健康経営と心理的健康職場の基本的な考え方を概観する。文献サーベイから、健康経営は、個人の健康だけではなく職場や組織レベルの活性化も対象としていることが明らかになった。また健康経営で目指す従業員の状態は狭義の概念である健康 (health) に留まらず、より広い概念であるウェルビーイングであることも明らかになった。本稿では、このような特徴を反映させた概念として心理的健康職場の基本モデルを紹介し、成果変数や施策を説明する。次に、健康経営施策の効果を示す最新の介入研究を紹介する。本稿では、健康経営施策の実施が従業員の健康及びウェルビーイングと組織的成果に良い影響を与えた2つの研究を取り上げる。最後に、健康経営を進める上で今後取り組むべき課題について指摘する。具体的には健康経営施策に参加する従業員のモチベーションを喚起し、努力を継続させるための取り組みが十分に明らかになっていないこと、健康経営施策を効果的に運営するための部門横断体制の構築プロセスに関する研究が必要であることを指摘する。

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- II 健康経営と心理的健康職場
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- IV 先行研究の貢献と課題
- V おわりに

I はじめに

「健康経営」¹⁾とは、「利益を創出するための経営管理と、生産性や創造性向上の源である働く人の心身の健康の両立をめざして、経営の視点から投資を行い、企業が事業として起業しその利益を創出すること (岡田 2015: 10-11)」と定義される考え方である。健康経営においては、健康増進施策を通じて、従業員の健康を維持・増進すること、従業員の健康の維持・増進を通じて生産性を高めることが期待されている。さらに中長期的に

は、健康経営に取り組んでいることが社会に広まることで企業イメージの向上につながり、株式市場や人材市場における優位性の獲得に結びつくことも期待されている (岡田・高橋 2015)。

近年、健康経営という考え方が急速に注目されるようになり、様々な先進事例が紹介されるようになってきた (例えば、井上 2014)。しかしながら、健康経営の捉え方や実践は、各企業が直面している状況や取り組みの背景にある狙いによって異なるのが実情であろう。そのため、健康経営とは何か、健康経営を進めるためにどのような取り組みが有効なのかについての共通認識が得られず、混乱した状況が生まれているように思われる。一方欧米では、健康経営という概念が提唱されたのち、いくつかの有力な研究枠組みに基づいた科学的な知見が蓄積され始めている。

本研究の目的は、このような現状を踏まえた上で欧米の先行研究を概観し、健康経営の基本概念

を明らかにすることである。その上で、日本の企業が健康経営を推進していく上で今後明らかにしていくべき課題を検討することである。

II 健康経営と心理的健康職場

1 健康経営の研究動向

健康経営は、英語で Health and Productivity Management と表現される。病気やケガ、ワークライフバランスの問題に際して、従業員が利用できる様々な種類の施策をまとめて管理することを指す考え方である。具体的には、療養給付、障害・労働災害補償制度、EAP、有給病気休暇、職業安全施策等が含まれる。また、従業員のモラルを高めて離職率を下げ、職場における生産性を高めるための施策等も含まれる (Goetzel, Guindon, Turshen, and Ozminkowski 2001)。

健康経営の源流の1つは、職場における健康増進の取り組みに見ることができる。米国の企業は、1970年代ごろから従業員の健康の維持と増進を目指して、企業内にフィットネスクラブを設立したり、民間のフィットネスクラブを利用できる制度を整備したりするようになった (Falkenberg 1987)。このような取り組みは、企業の医療費負担が増加するとともに注目が集まるようになり、より幅広い施策が取り込まれるようになった。また健康関連で企業が負担する総コストは、医療費そのものよりも、通院や体調不良による病欠（アブゼンティーイズム）に基づくコスト増や、出社していても健康状態が損なわれていることによって生じる生産性の低下（プレゼンティーイズム²⁾）に基づくコスト増から大きく影響を受けることが指摘されるようになった。特にプレゼンティーイズムに基づくコスト増については目に見えないコストとしてより一層注目されるようになった。その結果、欠勤率を低下させることに留まらず、生産性の向上に向けた取り組みを行っていくことが重要であると認識されるようになった (Goetzel and Ozminkowski 2000 ; Goetzel, Guindon, Turshen, and Ozminkowski 2001 ; Hemp 2004)。

健康経営のもう1つの源流として、本稿では経営管理論及び組織行動論を取り上げる。初期の経営管理論では、組織の生産性を管理する上で従業員の疲労や健康について極めて強い関心を持っていたからである。例えば Mayo (1924) は、工場働く従業員の疲労を軽減する管理を行うことが、従業員の健康維持につながり、生産性を高めると指摘している。しかしその後、Herzberg, Mausner, and Snyderman (1959) の動機づけ-衛生理論によって、従業員の不満を高める作業条件の悪さや人間関係の問題を解決しても従業員のモチベーションには結びつかないことが提唱されるようになる。経営管理論における従業員の健康に対する関心は、一旦薄れていく。経営管理の主たる対象は、モチベーションを高めるための職務設計や承認に集まるようになり、従業員のストレスや身体的な健康は、モチベーションを高めるための前提とみなされるようになっていった (金井 2010)。ところが、1990年代になると、健康に関する関心が再び高まるようになった。経済状況が悪化し、企業間の競争が激化することによって企業内でメンタルヘルスの不調者が増加し、メンタルヘルスに関する人事施策の充実が求められるようになったからである (Rosen 1986)。特に組織行動論においては、職務設計が健康に与える影響にも注目するようになった (Parker 2014 ; Tetrick and Winslow 2015)。

このように健康経営は、健康増進と経営管理の2つの研究領域の延長線上にある考え方であると位置付けられる。そして、従来の健康増進の先行研究と比較すれば、従業員の健康管理の費用対効果を考慮すること、健康管理を通じて最終的に組織の生産性を高めることまで関心を拡張している点に特徴がある。経営管理の先行研究と比較すれば、これまで前提としてきた従業員の健康を経営管理の対象として取り入れている点に特徴がある。従業員の健康増進のみに注目すれば、企業の経営が立ち行かなくなる場合がある。一方、組織の効率性のみを追求して利潤を増やそうとすれば、従業員が疲弊してしまう。健康経営を効果的に進めるためには、健康増進と経営管理のジレンマを乗り越えていくことが重要である。

健康経営に関する初期の調査では、このジレンマを乗り越えるための基本的な知見が蓄積された。まず健康増進施策で得られる効果が徐々に数値化されて示されるようになった。例えば Goetzel, Guindon, Turshen, and Ozminkowski (2001) では、43社に対する調査を通じて従業員1人当たりの健康関連のコストの平均値は9992ドルであることを示した。同調査では同時に、支出額の少ない企業（上位25%）のレベルまで支出を引き下げることができた場合には、従業員1人当たり2562ドルの経費削減が期待できることも示された³⁾。

また、O'Donnell (2000) は、健康経営施策が組織的成果に結びつくメカニズムを示す基本モデルを提示している（図1参照のこと）。O'Donnell は、健康経営施策を展開することは3つの経路を通じて個人業績に影響を与えると考えている。第1に、施策が従業員の健康状態を向上させ、健康状態が良くなった従業員の仕事を遂行する能力と欲求を高めた結果、業績が高まるという経路である。すでに体調面に不調がある従業員の健康管理を行うことで健康状態を改善し業績を向上させていくという伝統的なアプローチがこの経路で説明されていると考えられる。

第2に、施策を実施することにより職場全体の風土や雰囲気向上させることで、従業員の仕事遂行能力や欲求が高まり、業績に結びつくという経路である。健康経営は、単純に個人の健康を維持・増進するだけでなく、職場の健康状態を増進することも目的の一つとして位置付けられている。職場内のコミュニケーションを増加させる等の方法を通じて職場の風土を改善することで、職場で働く一人一人の業績を高めていくという経路が想定されている。

第3に、施策が直接従業員一人一人の仕事の遂行能力や欲求を高めることで業績を向上させるという経路である。例えば従業員のコミュニケーションスキルを開発する施策を実施することは、従業員の健康状態とは関係なく従業員の職務遂行能力を高める可能性がある。このことは、現状体調面に不調を感じていない従業員が健康増進施策に参加することでより意欲的に業務に臨むように

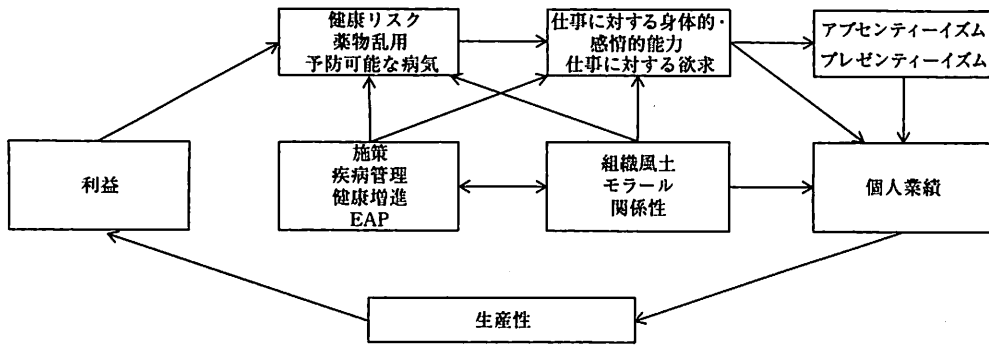
なり、業績を高めていくことも健康経営の効果として期待されていることを表している。

これらの先行研究を通じて、健康経営の基本的な考え方が整理されるようになった。初期の先行研究の貢献の1つ目は、健康増進施策と組織風土の関係に注目したことである。健康増進施策が組織風土に与える影響を考慮することから、従業員一人一人を健康にするだけでなく、職場や組織全体を健康にしていくことが重視されるようになった（Goetzel and Ozminkowski 2000）。個人のみに焦点を当てた取り組みは、既に体調不良であることを自覚している従業員や、元々健康に対する意識が高い従業員に対しては有効であることが多い。一方、現段階では健康に異常が認められず健康に対する特別な意識を持っていない従業員の健康を増進することは難しい。職場や組織全体で健康増進に取り組み、組織風土を同時に形成していくことで、普段から運動や健康的な生活習慣を意識していない人を巻き込むことに注目ようになった（Falkenberg 1987; von Thiele Schwarz, Hasson, and Lindfors 2014）。

2つ目の貢献は、健康経営がもたらす従業員の健康増進の成果項目としてより広い範囲を想定するようになったことである。米国の健康経営では、従業員の健康に関する成果として身体的健康や精神的健康からなる狭義の健康（health）だけでなく、従業員のウェルビーイング⁴⁾全体を高めることも想定している。そのため健康経営の成果として健康と共にウェルビーイングが併記されている（例えば Goetzel and Ozminkowski 2000）。また Danna and Griffin (1999) は、マネジメントの文脈では生理学的・心理学的指標によって病気の診断を報告されるような場合にのみ限定的に狭義の健康を用い、より広い概念に対してはウェルビーイングを用いることを提言している。これらの議論を踏まえて本稿では、ウェルビーイングを健康も包含する、より広い概念として扱っていく。

3つ目の貢献は、健康経営を他部門協働で推進することの重要性が指摘されるようになったことである。既に述べたように健康経営は疾病管理に留まらず、幅広い施策を対象としている。異なる

図1 健康経営施策と健康、生産性、利益の関係



出所：O'Donnell (2000)

部署が独立してこれらの様々な施策を行うことは、部分的な目的達成に留まり、健康経営が目指す従業員のウェルビーイングと組織の生産性の両立に向けた効果的な取り組みができないことが多いことが指摘されている (Rosen 1986)。そのため健康経営を進める際には、部門横断的な体制を構築することや取り組みに対して上級管理職による支援を取り付けることが重要であることが認識されるようになった。

2 心理的健康職場とは

(1) 心理的健康職場の成果項目

初期の健康経営の先行研究は、2つの異なる研究領域の考え方を架橋するコンセプトを提示した。しかしながら、健康経営施策が従業員の健康だけでなく、職場で働く従業員の業績を高めて組織的成果に結びつくという実証的知見を体系的に蓄積するには至っていなかった (Goetzel, Guindon, Turshen, and Ozminkowski 2001)。そもそも健康経営施策と組織的成果の関係については検討が始まったばかりであり、組織的成果を捉える項目や組織的成果に結びつく従業員の職務態度を測定する指標に関する議論が十分に行われていないことが、より根本的な課題として挙げられていた (Falkenberg 1987)。

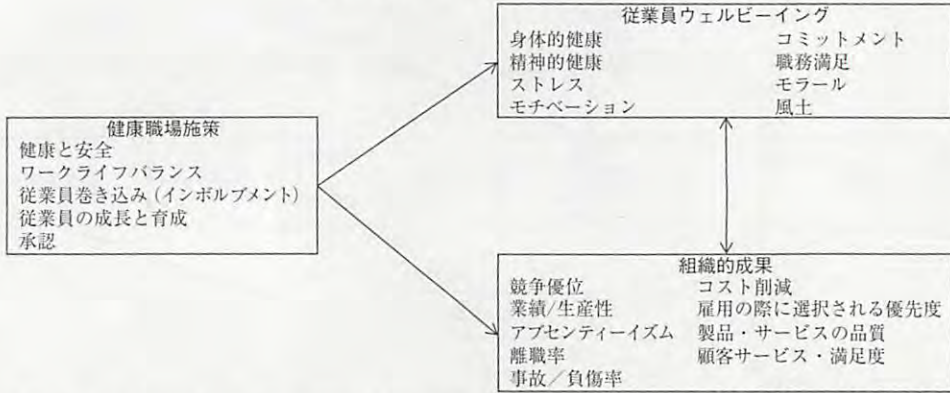
このような状況を踏まえて、欧米では従業員の健康と組織的成果の両立をめざすマネジメントに関する様々な研究が蓄積されるようになった。健康経営の先行研究の基本的な考え方を引き継ぎつつ、実証的な知見を測定していくための項目を示

した研究の1つが心理的健康職場 (Psychological Healthy Workplace) の研究である。

Grawitchの一連の研究 (Grawitch, Gottschalk, and Munz, 2006; Grawitch and Ballard 2016) は、組織的成果と従業員ウェルビーイングの具体的項目を提示している。まず組織的成果は、9つの変数が取り上げられている。具体的には競争優位、業績 (生産性)、アブセンティーズム、離職率、事故/負傷率、コスト削減、雇用の際に選択される優先度 (労働市場における優位性)、製品やサービスの品質、顧客サービスや顧客満足度である (Grawitch and Ballard 2016)。古くから重視されてきた事故やアブセンティーズム、離職率に加えて雇用の際に選択される優先度や製品・サービスの品質、あるいは顧客サービスといった幅広い項目が想定されている点に注目する必要がある。また個人の業績や生産性だけでなく、職場レベルの成果項目により多大な関心が注がれている点にも注目する必要がある。

次に、従業員のウェルビーイングに含まれる具体的変数は、以下の8つである。第1に身体的健康、第2に精神的健康、第3にストレス、第4にモチベーション、第5にコミットメント、第6に職務満足、第7にモラル、第8に風土である (Grawitch and Ballard 2016)。先に触れた狭義の健康だけでなく、モチベーションやコミットメント、職務満足といった仕事意欲や職場に対する態度に関する変数がウェルビーイングの具体的な変数として含まれている。また、健康経営で重視された職場レベルの変数であるモラルや風土も取

図2 心理的健康職場のバスマデル



出所：Grawitch, Gottschalk and Munz (2006) を基に一部修正の上筆者作成

り上げられている。

(2) 心理的健康職場を実現するための実践

心理的健康職場の研究では、健康な職場作りを推進していくための具体的な取り組みについても例示している。Grawitch, Gottschalk, and Munz (2006) は、以下の5つを挙げている。第1に、健康と安全に関する取り組みである。健康リスクを評価し、健康的な生活習慣を取り入れるためのサポートをする取り組みが重要である。具体的には、心身の健康に関する知識やスキルを伝達する講習会を開催したり、禁煙を促すイベントの開催をしたりすることが挙げられる。また、事故が生じないような安全な職場作りを心掛けたり、職場における身体活動量を増加させるような遊歩道の整備やフィットネス設備を設置したりすることも有効であると考えられている (Grawitch and Ballard 2016)。

第2に、ワークライフバランスの実現を後押しする取り組みである。組織が従業員の柔軟な働き方を認めることも従業員の健康と組織的成果を両立する方法の1つであると指摘されている (Grawitch and Ballard 2016)。例えば在宅勤務制度を取り入れることは、従業員が通勤に使っていた時間を仕事に回すことを可能にする。フレックス制を取り入れることは、スケジュールの柔軟性を高めて、私生活との両立をしやすくする。このような取り組みは、従業員のストレスを低減し、モチベーションを向上させることが期待できる。

第3に、従業員巻き込み型の取り組みである。

具体的には、組織の意思決定に対して従業員を巻き込む意思決定プロセスを構築することや、仕事を遂行するプロセスで従業員に大きな自律性を与えて従業員の自発性を引き出す取り組みが挙げられる (Grawitch and Ballard 2016)。組織が抱える問題について従業員がチームを結成し、問題についての解決案を提供し、実行するという一連のプロセスを通じ組織的成果の向上が見込める。この取り組みで扱う問題は、必ずしも健康問題に直接関わる問題とは限らない。しかし職場で従業員が直面している問題に対して取り組みを行うことで、従業員のストレスや負担を減らし、健康状態をよくする間接的な効果が期待できる。また、このような問題解決プロジェクトに参加することで、組織の問題を自分と関連する問題であると感じるようになったり、従業員が他の従業員とコミュニケーションをとる機会が増加したりすることで、組織に対する愛着を感じるようになることも期待される。

第4に、従業員の成長と育成に関わる取り組みである。従業員を教育し、コンピテンシーを高めしていくことも従業員の健康と組織的成果の両立に貢献すると考えられている (Grawitch and Ballard 2016)。挑戦的な業務に従業員を割り当てることは、その従業員の能力を高めるだけでなく、仕事に対する意欲を高めることが期待できる。また社内ではメンタリングやコーチングを受ける機会を提供することは、従業員の適応を促すことを通じてモチベーションの向上やストレスを低減すること

が期待できる。

第5に、従業員を承認するための取り組みである。従業員の貢献を認め、金銭的・非金銭的報酬を与えることは従業員の健康と組織的成果にとって重要である。より公式的な要因としては、公正な報酬制度を設計することが有益である。また卓越した貢献をした従業員に対しては、特別な表彰を行うなどの制度も有効であると考えられている。この他、非公式の取り組みとして上司が従業員に感謝する機会を増やしたり、仕事の区切りにお祝いしたりすることも有効であるとされている。このような取り組みを通じて、従業員は職場で自分が重要な存在であると認められていると感じられるようになるからである (Grawitch and Ballard 2016)。

このように心理的健康職場の研究では、健康的な職場作りを進めるために人材開発、組織開発を目的とした取り組みが有効であることを指摘している。また、それらの取り組みを健康や安全を推進する取り組みと組み合わせて用いることも有効である可能性を指摘している (Grawitch and Ballard 2016)。

III 健康経営施策の介入効果

健康経営や心理的健康職場では、風土やモラルなど職場レベルの変数に注目している。その結果近年では、職場単位で実施された介入研究の効果が蓄積され始めている。本稿では、従業員巻き込み型の職場単位の取り組みが従業員の健康と組織的成果の双方に効果があることを示した2つの代表的研究を紹介する。

1 DeJoy, Wilson, Vandenberg, McGrath-Higgins, and Griffin-Blake (2010)

DeJoy et al. (2010) は、従業員総数およそ30万人、総売上700億ドル以上の米国の大手小売業で実施された介入研究の結果を報告している。11店舗を介入群、10店舗を統制群と設定し、介入前と介入後2年間にわたり12カ月ごとのフォローアップ調査を行っている。

介入の内容は、店舗内の様々な部署や階層から

選ばれた8～12名の従業員問題解決チームを結成し、店舗の問題を解決するためのアクションプランを作成、実施するというものである。職場の問題を解決することで、従業員のウェルビーイングが高まることが期待されている。問題解決チームは5つの段階を経てアクションプランを作成した。第1段階は、習熟期間である。参加メンバーが問題解決チームの目的やプロジェクトのタイムスケジュールを理解する期間である。第2段階は、スキルビルディングの期間である。チーム内での役割分担やグラドルルールを決め、週に一度のミーティングを実施した。問題解決やコンフリクトマネジメントのスキルをトレーニングするだけでなく、チームのコミュニケーションを良くするためのスキルもトレーニングした。第3段階は、サーベイ調査をもとに店舗の解決すべき問題に優先順位をつける段階である。第4段階は、アクションを起こす期間である。チームの目標や優先順に沿うようにアクションプランを作り実施した。メンバーは、この期間に作成したアクションプランを店舗のその他の従業員に対してミーティングで説明し、詳しい内容を休憩室に掲示した。第5段階は、リアクションである。アクションプランを再評価し、進捗をチェックし、計画全体を調整・洗練するためにとられるべきステップについて残りの従業員や他のメンバーとコミュニケーションをとった。なお、各段階での取り組みの概要は、全てのチームで共通である。また全チームに対してファシリテーターが支援したが、店舗ごとの特別な取り組みは実施していない。ファシリテーターの支援は、チームが形成されるにつれて徐々に減少するようにし、最終的には、より独立的に実施されるようになった。

調査の結果は、まず介入群と統制群で共に各種成果変数が低下する、という事前の予想とは異なるものであった。このような結果が得られた理由として、調査対象企業の経営者の交代を含む組織内部の変化に加えて、2001年9月11日に米国で発生した同時多発テロに端を発する経済状況の悪化と、競争状況の激化といった外部環境の影響を挙げている。

次に、より詳しい分析からは、介入が一定の効

果を与えているという結果が得られた。介入群と統制群の値を比較した結果、従業員によって知覚された主観的な健康と安全、離職意図、時間当たりの生産性の3項目で、介入群の方が値の下がる程度がなだらかであるというバッファ効果が統計的に有意な水準で得られた (DeJoy et al. 2010)。この調査から、従業員の働く環境が悪化している状況の中で従業員巻き込み型のプログラムを行うことが、その店舗で働く従業員のウェルビーイングと組織の生産性に関する成果変数の低下を食い止める効果を果たすことが示された。

2 von Thiele Schwarz, Hasson, and Lindfors (2014)

von Thiele Schwarz, Hasson, and Lindfors (2014) は、スウェーデンの大規模な歯科ケア施設における介入研究の結果を報告している。一連の取り組みは、従業員による問題解決提案のワークショップと、その後組織的に行われた介入研究の2つの段階から構成されている。第1段階はワークショップである。まず51の診療組織を対象に仕事環境の評価を行い、その結果を踏まえながら従業員が仕事環境の改善方法を提案するワークショップを行った。歯科で働いている従業員は、業務時間中、体に負担がかかる姿勢を強いられることが多い。そのためワークショップでは、歯科で働く従業員の身体的負担を軽減するために勤務時間を削減すること、勤務時間中に運動をする時間をとること、といった提案が行われた。

第2段階では、第1段階で提案された内容を人事部が主導した上で介入研究を行った。介入研究の候補として、以下の3つの条件を満たしている職場が候補に挙げられた。(1) 前年度が黒字、(2) メンバーが25人以上、(3) 職場の管理職と従業員の大部分が参加に賛成している、である。これらの条件を満たした職場のうち、前年度の病欠頻度が最も多い職場の3つと少ない職場の3つの合計6つの職場を介入対象として選定した。6つの職場は、2.5時間の労働時間を削減する介入を受ける職場(労働時間削減群)と、労働時間のうち2.5時間をエクササイズにあてるように求められる職場(エクササイズ群)と統制群とに分けられた。

調査対象者の中で最も多い職業は歯科衛生士であり全体の48%であった。次に多かったのが歯科医で32%であった。

1年間に及ぶ介入の結果、得られた結果は以下の3つである。第1に、従業員の身体活動量が増加した。統制群を含む全ての職場で身体活動量が増加したものの、エクササイズ群で最も増加した。第2に、身体活動量の増加が健康の改善につながった。エクササイズ群では、血糖値と上肢障害の自己評価が改善した。またエクササイズ群と労働時間削減群では、統制群と比較して体の不調についての自己評価が改善した。第3に、生産性が高まった。全ての群で前年と比べて患者数が増加した。労働時間を削減したにもかかわらず、前年以上の患者の診療を行っていることから、時間当たりに診察した患者数が増加し、生産性が高まったと解釈されている。また全ての群で病欠も減少し、病欠に関わるコストも削減された。

IV 先行研究の貢献と課題

本稿では、健康経営の最新研究として2つの介入研究を取り上げた。両者は共に、従業員巻き込み型の取り組みを実施している点では共通しているが、従業員が働く環境という点では対照的である。DeJoy et al. (2010) は、働く職場の状況が悪化している中でも、健康経営施策を行うことが、従業員のウェルビーイングや組織的成果の悪化をある程度食い止める効果があることを示している。一方 von Thiele Schwarz, Hasson, and Lindfors (2014) は、好調な職場で介入を行うことが、組織的成果と従業員のウェルビーイング双方をさらに高める効果があることを示している。健康経営施策は、このように異なる状況でも、それぞれ効果を発揮するという結果である。

一方、2つの研究は共に、単に身体活動施策を行うだけでなく、職場で従業員が直面している問題について従業員の視点から特定し、解決策を提案するような巻き込み型のプロセスを含んだ2段階の取り組みを行っている。従業員巻き込み型の取り組みと職場の健康に関わる取り組みを組み合わせる行うことが有益であることを示す結果とい

える。

しかしながら、健康経営を進める上で十分に解決されていない課題もある。本稿では、今後わが国の企業で健康経営を推進していく上で明らかにされるべき課題について2点指摘する。第1に、健康経営施策に参加する従業員を増加させ、活動を持続させるための動機づけ戦略の問題である。先行研究で調査に参加した従業員は、組織で働く従業員の一部に過ぎない。また自発的に参加した従業員が、元々健康への意識の高い従業員である可能性もある。健康経営を進め、組織への影響を増大させていくためには、従業員の健康に対する意識を高めると同時に、健康経営施策に対する認知を高めることで、多くの従業員に参加してもらう必要がある。また Scherrer et al. (2008) は、健康経営施策に自主的に参加した従業員でさえ、プロジェクト期間中にモチベーションが低下していくことを指摘している。今後は、健康増進に対する従業員のモチベーションを喚起し、維持するための取り組みとその効果についても検討していく必要があるだろう。

第2に、組織における健康経営施策の位置づけや運営体制が施策の効果に与える影響について依然として十分に検討できていない。先行研究は健康増進活動に関する施策を制定するために経営トップのリーダーシップが重要であることを指摘してきた (Tetrick and Peiró 2016)。しかし、たとえトップの主導で単発の施策が実施されても、そのような取り組みが組織のミッションや価値に基づいて位置付けられ上で、健康管理室や人事、経営企画などの関連部署の連携を通じて実施されない限り成功には至らないことも指摘されている (Grawitch and Ballard 2016)。経営陣の支援が健康経営施策の効果に与える影響に加え、それらを効果的に進める健康経営施策の運営体制の形成プロセスを明らかにする研究も今後求められるだろう。

V おわりに

本稿では、海外の健康経営の先行研究の動向を整理し、近年の介入研究の効果を明らかにした。健康経営は、企業の医療費負担の増加を契機に注

目されるようになった考え方であった。そのため、健康増進を投資対効果に注目しながら実施し、医療費の削減をすることは、重要な目的の1つであった。一方で先行研究は、従業員の健康だけを高める取り組みではないことを強調してきた。健康経営は、職場や組織全体を活性化していくことや、従業員の健康そのものを狭義の健康の範囲に留めず、より広いウェルビーイングの範囲で捉える必要があることを指摘していた。また近年の研究からは、従業員の問題意識を活用した巻き込み型の健康増進施策が有望であることが指摘された。

わが国で健康経営が注目されるようになってからまだ日が浅く、科学的な知見に基づいた研究蓄積はまだ不足している。健康経営を一時期の流行に終わらせるのではなく継続的な取り組みとして企業経営に取り込むためにも、欧米の先行研究を基に概念の特徴や狙いを正しく理解し、わが国に適した形で取り入れられていくことを期待したい。

- 1) 「健康経営」[®]は特定非営利活動法人健康経営研究会の登録商標である。
- 2) プレゼンティーイズムの定義については、伝統的な組織論の文献と近年の医療系の文献で異なることが指摘されている。詳しくは Johns (2010) を参照のこと。
- 3) 近年のメタ分析では、職場の健康増進施策に関する支出1ドル当たり、医療費が3.27ドル、アブセンティーイズム関連の支出が2.73ドルの効果があることが指摘されるようになってきた (Baicker, Cutler, and Song 2010)。このように近年では、医療費やアブセンティーイズムコストに対する健康増進施策の費用対効果のエビデンスが蓄積されるようになってきている。
- 4) ウェルビーイングは幅広い概念である。近年のウェルビーイング研究では、主観的ウェルビーイングと心理的ウェルビーイングという2つの異なるパースペクティブに基づいた概念定義が行われ、それぞれの定義に基づいた尺度が開発されている。また近年では、仕事に関わる肯定的な側面のウェルビーイングの1つとしてワークエンゲージメントへの注目が集まっている (Sonnetag 2015)。一方、日本でもワークエンゲージメントに注目したメンタルヘルス対策の重要性が指摘され始めている (島津 2015)。健康経営や心理的健康職場の先行研究では、仕事に関わるウェルビーイングを捉える変数として、伝統的に組織論で用いられてきた様々な変数を挙げている。

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組織内起業から全国普及へ

—日本のリーダーシップ教育の発展—

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〔キーワード：リーダーシップ教育, アクティブラーニング, PBL, 起業, ピアサポート〕

はじめに

立教大学で始まった大規模な正課リーダーシップ教育は、中学・高校を含む十代からのリーダーシップ教育に発展する可能性が出てきた。本稿の目的は、(1)他大学にない(海外でも珍しい)「必修を含む学部リーダーシップ・プログラム」を立ち上げた経緯から何を教訓として抽出できるか(それはリーダーシップ以外の新しい教育プログラムを大学で開始するとき共通に役立つことを含む)、(2)その仮定で成果の可視化に役立ったことは何か、また、(3)今後リーダーシップ教育が、アクティブラーニング運動を介して全国の十代の教育(中学から大学まで)に普及していく可能性と必要性について論ずる。

小生が立教大学に着任した2005年から、最初の8年すなわち2012年ごろまでの経緯は日向野(2013)に詳述した。ここではスペースの制約からその内容を繰り返すことは最小限にとどめ、どのような目に見える成果があがったか(第1節)、高等教育研究はどのように役に立ったか(第2節)、その後4年間2013-16年の新しい展開は何か(第3節)、新しく類似の教育プログラムを立ち上げる方々のために抽出できる教訓は何か(第4節)を順に説明する。その後日本のリーダーシップ教育の将来について論ずる(第5節)。

1. 成果の可視化

(1)「リーダーシップ最小3要素」と持論(theory in practice)の進化

学習目標はリーダーシップの向上であるからリーダーシップそのものを各学生について計測できれば一番良いのであるが、しかしリーダーシップの「数量化」はリーダーシップ教育の先進国である米国でも全然成功していない。また、リーダーシップにはどんな行動が必要かについ

てもいくつも理論があるが、いずれかの理論を使って振り返りやフィードバックを行わないと効果が無い(成果が生まれない)。そこで、著名なリーダーシップ開発論者 Kouzes & Posner (1988) の提案する5原則をさらに簡略化した「リーダーシップ行動最小3要素」(成果目標の設定・共有, 率先垂範, 同僚支援の三つ)を教員・学生に明示し、これにもとづいてリーダーシップに関する自分の経験を言語化した「リーダーシップ持論」を毎学期, 期中と期末に書かせてポートフォリオ上に蓄積している。この持論が進化していれば成績にも反映させる。なお成績評価は「出席率」「クラス全体に貢献する個人発言」「毎週の提出物の提出率と質」「グループとしてのコンテスト順位」の4つで採点する。近年になって、三要素に基づいたルブリック型チェックシートを卒業生とSAたちとともに作成し到達度やクラス診断に用い始めた。

(2) ミーティング

授業やミーティングの公開(毎週火曜)も可視化の試み。毎週多くの参観者が全国の大学・高校・企業人事関係から訪れ、今春からは学生が案内役も担当するようになった(次節で詳述)。

(3) 競争的資金の獲得

内外の競争的資金を獲得する努力を続けることも可視化に役立つ。BLPでは2008年度から十年間(2017年度まで)で約1億2000万円の学部外資金を獲得し学部財政を支援できた(教育GP, 立教GP, 企業からの寄付)。

(4) 各種顕彰

顕彰も学内の支援を得るために特に効果的であった。2006-07年度の二年間は、予算・人員・スペースが与えられず極めて厳しい条件であったが、2008年教育GPにより徐々に好転し、2010年河合塾の全国調査でベスト・プラクティスに選ばれる。2011年教育GPの成果審査により「他大学に波及が見込まれるイノベティブな取り組み」という評価。同年日本アクションラーニング協会年間賞。2014年世界アクションラーニング機構の「アカデミック部門年間賞」。

(5) 取材

マスメディアからの取材申し込みはゆっくりとしたペースで増えた。いまだに大学広報の世界に根強い「無いものがあるかのように見せる」ことはせず、課題と対策を併せて開示して、「見せる」ことが改善に繋がるように工夫した。

(6) 大学主催の授業評価アンケート

公式の大学授業評価アンケートでも多くのクラスで90%台の満足度であった。また、学生部主催の学生生活アンケートで、経営学部生がかなりの数の項目で他学部生と違う行動をとっていることが判明し、例えば「進路について誰と相談したいですか」で「教員」が圧倒的首位(他学部では両親)であった。満足度も極めて高い。サークルに入る必要性を感じない学生が多い(学部でグループワークが多いので友人を作るのにサークルに入らなくて済む)。ウェルカムキャンプは97%の支持率(5段階評価で5と4の合計)。リーダーシップ教育によって学部の組織開発までできている可能性が高い。中途退学者は経済的理由以外にはほとんど居ない。入学時には早慶に落ちて来る不本意入学者がかなりの割合と推測されるが、1年次のうちに多くが不本意でなくなっていると思われる。

(7) 受験生からの支持

高校生・受験生は学習目標よりむしろ学習方法・形態に反応する面あり、BLPのアクティブラーニングを好感して偏差値が上がってきたと思われる。10年間で早大商学部の偏差値に追いついた(58から65へ、河合塾調べ)。

(8) 就職状況

就職率は就職氷河期の時期から一貫して他学部に比べて高い。B2B企業に早い時期から応募し、グループディスカッションやプレゼンテーションに慣れている。最近是新入社員にもリーダーシップを求める企業が増えたことも幸いした。

2. 高等教育研究

報告者は、2010年河合塾のアクティブラーニング全国調査で綿密な調査を受けたときに「アクティブラーニング」を初めて知った。アクティブラーニングは「学生のリーダーシップを活用した授業」という面がある(次節にて再説)ので、極めて自然にアクティブラーニングになっていただけである。

PBLについては、2016年にBLPを開始した直後、ケーススタディを用いたらどうかという提案があり、検討した結果、フルタイムの就業経験のあるMBA学生であれば有効な方法であろうが、大学初年次の学生には状況を想

像することすらできないのではないかと懸念されたため、フィールドでの調査に基づく提案プロジェクトを行うことに決着した。ケーススタディや高名なリーダーの講演という授業方式をとらなかつたため、授業は自然に双方向になった。

初年次教育については、他大学と同様の「読む」「書く」「調べる」などを扱う基礎演習がリーダーシップ・プログラムとは別に計画されていたが、統括する教員が見つからなかつたため敢えて報告者が統括に志願し(2005年秋)、1年次後期から始まる予定だったリーダーシップ教育を前倒しして始めることを教授会に認めてもらい、事実上初年次教育がリーダーシップ教育に変わり、のちに基礎演習は「リーダーシップ入門(BL0)」に改称した。当初基礎演習で行う予定であった「読む」「書く」「調べる」は、プロジェクトの中で、必要に迫られてからjust in timeに集中的に練習する形で組み込んだため、すぐ使わないものを初年次春学期にまとめて学ぶという、ありがちな基礎演習の弊に陥ることがなく、この点はむしろ学生に好評であった。

ハイ・インパクト教育については、新入生対象1泊2日のウェルカムキャンプの開催が予定されていたが、セレモニー以外のコンテンツが無く、これもリーダーシップ教育の前倒しに使わせてもらうことにして、春学期の「リーダーシップ入門(BL0)」と連続して、非常にインパクトのある体験を用意できた。

ピア・サポート、ピア・ラーニングについては、同じことを伝えるのに教員が言うよりゼミ等の先輩が伝えるほうが効果を出せるという経験から、全クラスに1名、一年先輩(SA)を配置し、授業の進行も原則としてこのSAが行うクラスが多かった。全クラス共通スライドを使う方式をよく思わない教員が独自の授業を行い、これに苦しんだ担当SAが他クラスのSAに悩みの相談をしたことから、SA全員が集まる定例ミーティングが始まり、そこに教員も加わるようになって、授業改善・プログラム発展のためのミーティングに発展して現在に至る。映像は館野監修(2015)「BLP教員SAミーティングのご紹介」参照されたい。現在では授業本体と並んで、このミーティングがBLP見学ツアーのハイライトになっている。

ここまでは、高等教育研究の成果を使って大学教育を改善したというよりは、高等教育研究の成果を知らずに(日本に紹介されるより前に)始めていた点を挙げてきた。しかしながら、ごく最近になって、ルブリックの開発・利用などについては高等教育研究の成果を活用するようになった。

3. 2013-16 年度の展開

ここでは、日向野(2013)よりも後の時期に本格化したこと・開始したことについて述べる。

(1) 授業公開

従来も授業見学は歓迎していたが、近年2つの点で新しい展開があった。第一に、ほぼ毎週見学希望者があるので、案内役を教員から職員、さらに学生に交替して見学者と学生が会話する機会を増やした。第二に、館野助教の発案により 2015 年から授業後のミーティングをワークショップ形式とし、各グループに授業見学直後の訪問者を対等な立場で配置して、このミーティングが授業改善の活動そのものであることを間近に体験してもらうように改造した。

(2) 長期的目標の再設定

経営学部で BLP を開始し数年経ってようやく離陸したときには、BLP が経営学部を牽引して学部のブランディングに役立ることが基本戦略であったと言ってよい。しかし、アクティブ・ラーニングを経由して(後述)リーダーシップ教育を進展させることの意義を考えたとき、リーダーシップ教育をいわば立教経営の専売特許であるかのようにふるまうよりも、積極的にリーダーシップ教育を他大学に広めることのほうが、より大きな社会的意義を持つと確信するに至った。そこで、次のゴールを「全国すべての大学に何かしらのリーダーシップ教育プログラムがある状態」に再設定することにした(2015 年春)。

(3) 他大学との連携

2)の再設定にともなって、他大学との連携も積極化した。従前は BLP 非常勤講師は主に人事系のビジネス関係者が多かったが、2015 年度からは、他大学でアクティブ・ラーニングないしリーダーシップ教育を本格的に開始したい・あるいは開始している他大学専任教員を BLP 教員としてお迎えして、半年ないし一年一緒に授業を運営・改善する経験を共有した後に、それを自大学に持ち帰って試していただき、逆にその試行結果を共有していただき、という試みを開始した。既に、早稲田大学、國學院大学、成城大学、武蔵大学、実践女子大学の専任教員がこのプログラムに参加している。また、報告者自身、2016年4月から早稲田大学に本属を移して、全く新しくリーダーシップ開発プログラムを立ち上げるようになった。

(4) PBL 科目間の位置関係の明確化

BLP のなかには BL0, BL2, BL4 という三つ(それぞれ 1 年次、2 年次、3-4 年次の春学期)の PBL 科目が配置されている。BL2 は BL0 との差別化が曖昧で BL0 に比べて学生の意欲が下がっていた。そこで、主に高橋俊之特任准

教授のリーダーシップで、2014 年度から 3 年をかけて、BL2 の位置づけの確立をはかった結果、2016 年度には、専門性を高めてプロジェクト内容を高度化することに成功した。また、BL4 については、2015 年度から、従来の「PBL の仕上げ」という方向から、「大学と社会の橋渡し」に転換して、インターンシップと組み合わせることを試みている。

(5) アクティブラーニングとリーダーシップ教育の関係の整理

既述のように、BLP の授業は全てアクティブラーニングにより行なってきた。しかしながらそれ以外にもアクティブラーニングとリーダーシップ教育に深い関連性がある予感があったが、整理しきれていなかった。2014 年 3 月頃、翌年発刊されることになる日向野 (2015) の執筆によりすっきりと整理された。すなわち、アクティブラーニングを準備する教員の努力のほぼ全ては、リーダーシップ教育の初歩と同じく、「どんな発言・質問をしても安全であるという環境を作って学生・生徒の発言を促す」ことに尽きる。逆に、リーダーシップを備えた学生が数人居れば、彼らの影響力(リーダーシップ)によって教員は格別の努力なくアクティブ・ラーニング型の授業を実現することができる。ここからアクティブラーニングの新しい定義を行うことも可能で、それは「アクティブラーニングとは学生・生徒のリーダーシップを引き出し活用する授業である」というものである。さらに、アクティブラーニング型のどんな授業においても「きょう諸君が発揮したリーダーシップを教室外でも発揮してみよう」と促せば、それはリーダーシップ教育の始まりになりうる。教育方法であるアクティブラーニングを、教育目標であるリーダーシップの涵養にも活用しうる道を示したとも言える。また、単なるアクティブラーニングを苦手とする(価値を感じない)優秀で内向的な学生・生徒にとって、リーダーシップの習得であるという目標はより大きな魅力を持ちうる可能性をも示した。

(6) 「リーダーシップ最小 3 要素」の採用

本稿冒頭に述べた「リーダーシップ最小 3 要素」も、日向野 (2015) で提案したものである。なお、当該論文のなかでは第三の要素は「他者支援」と呼んでいたが、2014 年春の BLP/GLP 合同教員 SA 合宿での試用の際に、誤解を受けやすいことに気づき、「同僚支援」に変更することにした。

(7) リーダーシップ教育自体の意義の再確認

(5) で述べたように、確かにリーダーシップはアクティブ・ラーニングに貢献するのであるが、それ以外に、もともとリーダーシップはこれからの企業人にますます必要

なスキルである。特に、環境変化が激しいときに上意下達だけでなく権限を下位に委譲する形で全員がリーダーシップを期待されるようになりつつある。その意味で学生時代からのリーダーシップ開発は、就業力や employability の強化に役立つ。さらに、学生時代から、キャンパス内・友人関係・家族関係・サークル・部活・アルバイトなど、多くの場面で発揮の機会があり、リーダーシップは学生時代を含めて人生を豊かにするものである。このことを改めて教員と学生で確認するようになった。

(8) GLP の開始

時期が前後するが、全学部学生を対象とするリーダーシップ・プログラム(GLP)の開設を2012年に総長室に提案し、これが受理されて2013年4月から開講した。

GLP は発足当初から、定員にたいして三倍以上の履修申請があり選考に苦労するという嬉しい誤算があった。その後クラスの増設を続けているが追いつかず、当初の5クラスから10クラスに増えて今でも二倍以上の倍率である(GL101の履修申請数)。これは、経営学部 BLP の評判が、他学部生にもよく知られているためと推測される(学内の学生フリーペーパーで、経営学部は「他学部生からの憧れの学部 No. 1」選出を続けているなどの傍証もある)。

(9) 職員リーダーシップ研修

経営学部の学生の様子が他学部生とは違うことや BLP/GLP の内外の評判から職員も徐々にリーダーシップ教育に興味を持つようになったようである。まず希望者を対象にアクション・ラーニング(質問会議)によるリーダーシップ研修を試行した。これが高い評価を得たので、翌年度から立教学院人事課の主催する公式の三級職職員研修に毎年採用されることになった。この研修では、他の集合研修とは異なって、職員が自分の仕事上の問題を他の(多くの場合部署の異なる)職員数人と議論する方式をとっており、業務に密着する形でリーダーシップ研修を行なうことができた。

(10) 体育会リーダーシップ研修

卒業生の多くや大学職員とは異なって、大学生には集団で高い目標を達成する場が極端に少ない。BLPやGLPで、授業内部にグループ・プロジェクトを設けているのは、いわばそれによって職場経験のような「リーダーシップを必要とする(あるいはリーダーシップがあれば成果が上がりやすい環境)」を用意するためである。卒業生・職員であれば、必ずしもその必要はなく、日々の職場を念頭においてリーダーシップ目標設定や振り返りを行うことが可能であると言える(他者からのフィードバックは、教室での練習ののちに職場の同僚に依頼する必要がある)。

この職場やプロジェクトに当たるものが、体育会所属

の学生にとっては、部活動である。団体競技はもちろん、個人競技であっても団体戦が重要な場合は同様に、集団で高く明確な目標を達成しなくてはならず、リーダーシップの必要性は高い。こうした部活動について、部単位でリーダーシップ研修をカスタマイズして貼り付けると、部員個人のリーダーシップ開発と並んで組織開発の効果を期待できる。立教大学体育会テニス部を皮切りにいくつかの部で実施して好評を得ている。またその成果については経営行動科学学会(2016年11月)において、石山恒貴氏(法政大学)とイノベスト社が報告する予定である。

なお、ここで体育会活動について書いたことは、高校の校内・校外活動の多くについてもあてはまる。高校にリーダーシップ教育を導入すべき所以である。

(11) 早稲田大学での展開

3)で述べたように、全国の大学・高校でリーダーシップ教育を展開するというプロジェクトの一環として、報告者自身が早稲田大学に移籍して新しくリーダーシップ開発プログラム(LDP)を立ち上げることになった。早稲田大学では、伝統的に「危機や逆境に強いリーダー」を輩出してきたという自負がある一方、創立150周年をにらんだ「早稲田 Vision 150」においてグローバル・リーダーを引き続き輩出すると宣言しているものの近年そのペースが落ちていのではないかという問題意識がある。そこで正課のリーダーシップ教育の開始によって、伝統の復活を図りたいという意図である。新しく大学にリーダーシップ・プログラムを開始する場合、その大学のミッション・ステートメントや中長期の人材育成計画に沿った形でカスタマイズすることは円滑なプログラムの開始のために必要であり、また望ましくもある。

早稲田大学LDPにおいては、イノベスト社と共同で、教室内の典型的行動を例示する形でルブリックを作成して、学生の個人目標設定や振り返り・フィードバックに役立てた。この形のルブリックは行動が明示されているのでわかりやすい反面、その行動自体が目標になってしまっただけで形式化するという危険を常にはらんでいるように思われる。これを「学生がルブリック改訂に常に参加する」などの方法で減殺する方法を検討中である。

4. 日米の大学の事例から学べること

ここでは、米国のいくつかの大学を参考にしながら、立教大学において学部必修を含む正課 BLP、全学対象の正課 GLP、非正課の体育会付設プログラム、職員対象プログラム、早稲田大学で全学対象の正課 LDP などを立ち上げ拡充し、さらにいくつかの大学においてリーダーシップ教

育導入のコンサルティングをイノベスト社とともに行なってきた経験から、報告者らが学んだことを列挙したい。

(1) リーダーシップを必要とする環境と経験を用意するだけではリーダーシップ開発プログラムとは言えない。

日米の多くの大学で、リーダーシップ学習機会となる素晴らしい経験を用意しながらも、学習目標(リーダーシップ獲得)の設定・相互フィードバック・改善目標設定などが不十分であるためにせっかくの経験が行かされていない例がしばしば見られる。これは、学習目標が不明確なPBL やビジネスコンテスト、海外学生との合同プログラム(「三カ国グローバル・リーダー・プログラム」のような)等に特に多い。逆に、経験は既に各自で別のところで積み、振り返りと改善目標改訂だけに特化したプログラムもあり得て、そちらのほうは地味でありながら大きな学習効果をもたらす可能性はある(早稲田大学にある「体験の言語化」プログラムは、その例であるが、学習目標はリーダーシップとは別のところに設定されている)。また、前節(10)で説明したように、体育会部活動にリーダーシップ研修を組み合わせると、大きな学習成果が得られる可能性があり、これも「経験と環境」をリーダーシップ開発担当者自身が提供せずに、目標設定・相互フィードバック・振り返り・改善計画設定だけを提供してリーダーシップ開発をおこなうものである。

(2) 学部全体でリーダーシップ開発を継続して行くと、学部の組織開発も行われる。

立教大学経営学部がその成功例であると言えよう。ただし3-4年次では組織開発の結果として「新たなメンバーを巻き込む」練習の場としては物足りなくなるという副作用もあり、その場合は新たな経験のために学部外・学外・国外に出ることを促す必要が出てくる。

(3) プログラム運営者への支援が不足すると、成功の可能性を掴むか、あるいは成功したとしてもプログラム自体が属人的なものになり、継続性に問題が発生する。

組織内起業とも言えるプログラム立ち上げ期には試行錯誤がつきものであるから、少々の失敗は許容されるべきこと(失敗がないことを条件にすればイノベーションは生まれない)、特にこの時期には運営者自身の「権限のないリーダーシップ」が問われること、また数年経って成功した場合には人員や資金の面で支援を強化しないと運営者が報われず、また、後に続く人が出てこなくなり、現運営者が退職したとき等にプログラム自体が下降線を辿ることになりやすいことに要注意である。

5. 日本のリーダーシップ教育の将来

早稲田大学、國學院大学、淑徳大学などで立教大学の方式に強い影響を受けたリーダーシップ教育が始まっている。これに加えて、東京都教育庁は全都立高校の新しい必修科目「人間と社会」を2016年度から設置して、道徳教育とキャリア教育の統合をはかっている。その教科書(2016)の中の一つの章で、本稿でも紹介してきた「リーダーシップ最小3要素」がそのまま引用され使用されている。首都圏のいくつかの私立高校でもリーダーシップ教育導入の動きがある。高校は、大学以上にリーダーシップ教育の素材となる「経験」を積める機会に満ちているし、年齢的にも十分にリーダーシップについて考えるにふさわしいので、今後はリーダーシップ教育入門は高校で行う「十代からのリーダーシップ教育」が主流になる可能性がある。さらに、文科省の指導でアクティブラーニングの導入も急務となっており、本稿で述べたようにこれはリーダーシップ教育と親和性が非常に高い。高校でリーダーシップの初歩を身につけた学生は大学に進学して教室内のアクティブラーニングでの活躍やキャンパス内外でのリーダーシップが期待されるであろう。

これらの要因が重なったため、十年前には夢想すらできなかったであろう「全国の大学と高校にリーダーシップ開発プログラムがある状態」は、今から十年後の未来図としては、それほど非現実的ではないと言えるかもしれない。2016年が後から振り返ってみた場合「リーダーシップ教育普及元年であった」と言われるようになる可能性がある所以である。

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Grand Hall C (LL2) | Presentations | Leadership Education**Explorations of Emerging Programs in the Asia Pacific Region**

Chair: **Mariko Gakiya**, Visiting Research Scientist, School of Public Health, Harvard University

Ironically, as our world becomes more global, our design and approach to developing relevant leadership education must become more contextualized. This session will highlight several context-based approaches to developing significant and sustainable leadership education programs.

Leadership Education in Japan as Paratrooping

Mikinari Higano, Professor, Center for Higher Education Studies, Waseda University

Yoshikazu Tateno, Assistant Professor, Collage of Business, Rikkyo University

Ten years ago, teaching leadership in Japan was like paratrooping behind enemy lines — surrounded, outnumbered, and isolated. With the help of several allies, leadership education is now beginning to take hold. The presenters will share their experiences from the front lines fighting for the legitimacy of leadership education in Japan.

Teaching Leadership Inclusively: Lessons From A Solomon Islands Story

Kabini F. Sanga, Associate Professor, School of Education, Victoria University of Wellington

In developing country settings, leadership education programs are commonly imported from donor countries. Often, program content and pedagogy are not easily transferred. In this Solomon Islands study, lessons are shared on leadership education that uses contextual understandings adaptively to be inclusive of religious, ethnic, positional, generational, and other differences.

The Globalization of Leadership: Women's Leadership Development in a Multi-Cultural Environment

Maria Guajardo, Deputy Vice-President, International Liberal Arts, Soka University

As women pursue education and careers across the globe, cross-cultural leadership development provides opportunities to explore the intersection of culture, gender, and leadership. This case study explored emerging leadership development training strategies in Japan adapted to meet the cross-cultural needs of an international community of women. Findings, recommendations, and directions for future research will be shared.

E-Leadership for 21st Century Schools in Mauritius

Mahboob S. Sohawon, Senior Lecturer & Head, Department of Educational Administration and Management, Mauritius Institute of Education

This study employed qualitative methods using observation and semi- structured interviews to explore the experiences of 15 heads of secondary schools who are reading for their post graduate certificate in educational leadership and management at the Mauritius Institute of Education (MIE). The presenter will share research results and an emergent framework.

Grand Hall D (LL2) | Papers | Leadership Scholarship**Context Matters: Leaders & Followers in an International Context**

Chair & Commentator: **Kristin M.S. Bezio**, Assistant Professor, Jepson School of Leadership Studies, University of Richmond

A Social Constructivist Theory of Batad Leadership in the Philippines Using Grounded Theory

Emerald Jay D. Ilac, Assistant Professor, Psychology, Ateneo de Manila University

This paper uses an exploratory framework for generating theory to understand better the concept of leadership as a social process, specifically from the lens of the Batad people of Ifugao. Interdisciplinary methods were utilized through group and individual interviews with ethnographic observations. Results show a novel model of leadership where communality is highlighted.



Struggle for legitimacy: Leadership Education in Japan as paratrooping

Mikinari Higano, PhD

Waseda University and Rikkyo University

This is a war story.

- Dr. Higano is the founding director and professor of the Business Leadership Program (BLP) at Rikkyo University and has fought 12 years (2005-2016) for legitimacy of leadership education and now at Waseda University.
- Dr. Tateno is in the third generation of assistant professors of BLP is making tremendous contribution to the BLP, illustrated later in this presentation.

The First Field: Rikkyo University



COB and BLP

- Rikkyo started COB in 2006.
- The first dean intended BLP to be the core program of the Business Department of COB.

Milestone #1: 2006

- Only very few people in Japan regarded leadership as a relevant learning outcome.
- Starting a leadership education program in Japan (with some required courses!) at undergraduate level in 2006 was just like...



Para-trooping

- Jumping out of a perfectly stable airplane (academic career in other fields),
- Going down into an hostile area, deep behind the enemy line (nobody understands the relevance and legitimacy of leadership education),
- Easily surrounded,
- Outnumbered, and
- Cut off (you are on your own until the main force arrives to relieve you, breaking through the enemy line, and its arrival is not guaranteed).

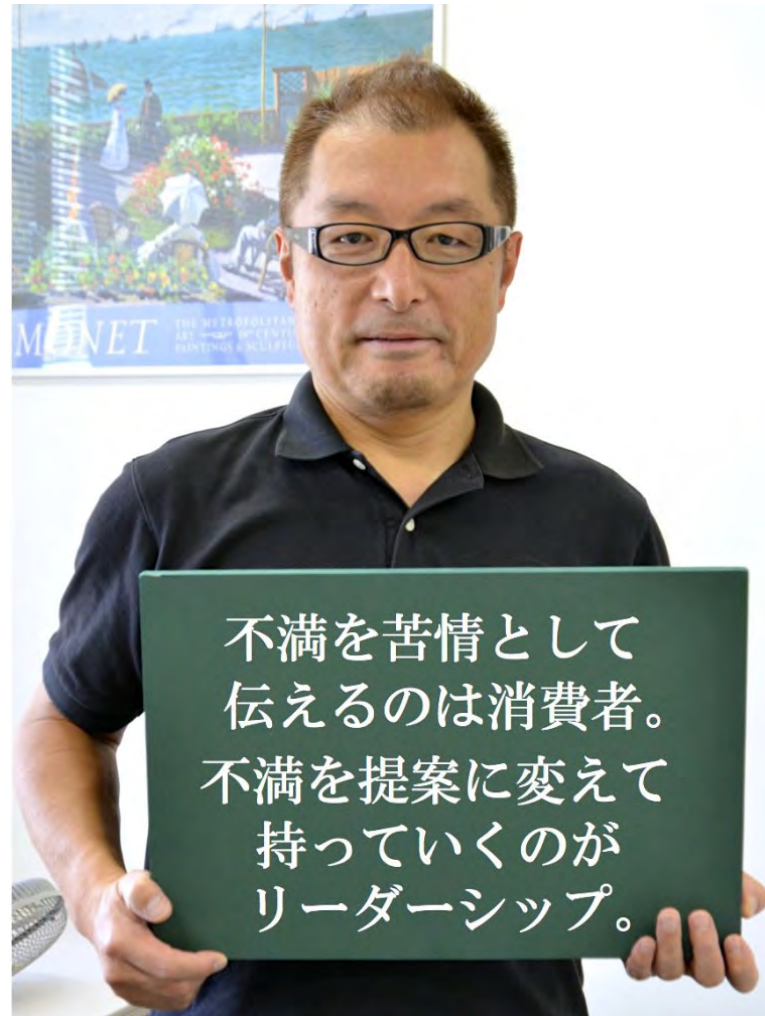
Combats and skirmishes

- We needed 18 rooms for concurrent classes. University admin did not allow it, just because there was no precedent for it. (Bureaucracy)
- The Dean tried to promote our program, while the department chair did not fully support it just because he did not like interactive class and active learning. (Differences of opinion on education)
- There have been a lot more of these...

What we did to hold the ground: constant improvement and innovation

- Kept all classes interactive.
 - A little bit of lecture and a lot of group work and workshop
- Found corporate clients for student group project even for freshman course.
- Welcomed proposals by students, TA's and new professors, and used them as the main source of innovation.

Stop complaining. Start proposing.



Milestone #2(2008): BLP received the first government grant.

- Hired fist staff and junior faculty.
 - Before that, Higano and adjunct professors are all there were.
- Built e-Portfolio.
- 939 programs applied and only 148 were selected for the grant (The only leadership program).

Milestone #3: 2011

- By two awards, people at Rikkyo University suddenly recognized us. Paratroopers were re-supplied from the air.
 - Awarded by Japan Institute for Action Learning (JIAL) for excellent action learning practice.
 - Awarded by Ministry of Education for excellent active learning practice (by peer assessment of 2008-2010 performance). Only 17 were awarded.

Milestone #4: 2013

- Main force broke through the enemy line.
 - Leadership finally started to be recognized as important in business and society.
 - Some enemies yesterday are friends today.
- I proposed the President to expand the leadership program **university-wide**. Admitted.
- People I met at ILA Conference introduced us to New York Times Online.

Milestone #5: 2016

- Waseda University, Kokugakuin University and Shukutoku University started their own leadership program in the Rikkyo way.
 - Infiltration rather than paratrooping
- Everybody sees Rikkyo BLP/GLP as the no.1 undergraduate leadership program in Japan.

Our next goal:
Every university in Japan has
its own leadership program.

- Rikkyo and Waseda will help other universities with introducing undergraduate leadership development programs.

My early mistakes

- When I found someone attack the program politically, I tended to think I should....
- Dr. Tateno is free from the tendency.
- He is the course leader of 18 concurrent classes of BL0 for the past three years and still keeps improving BLP in many ways.

リーダーシップ教育における自己評価・他己評価のズレが 学習に及ぼす影響

—過大評価者から適正評価者への変化に着目して—

~The Effect of Gap between Self and Peer Assessment on Study in Leadership Education

~Focusing on Transfer from Overrater to In-agreement~

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〈あらまし〉本研究では、リーダーシップ教育の介入としてよく用いられる「学生によるリーダーシップ行動の相互評価」の活動に着目し、自己評価・他己評価のズレがどのように学習に影響を及ぼすかを検討した。本研究では特に、他者評価より自己評価が高い「過大評価者」に着目し、1. フィードバックを受けることで適性評価者に変化するのか、2. 過大評価者から適性評価者に変化することは学習にどのような影響を与えるのかについて検討した。分析の結果、フィードバック後に約 5 割が適正評価者へと変化し、変化しなかった者と比べ、1. リーダーシップ行動における目標設定・共有、2. 自らを振り返る習慣、3. 専門知識に活用・学問的興味、の 3 点で高い成果を得ていることがわかった。

〈キーワード〉 大学教育、リーダーシップ教育、アクティブ・ラーニング、フィードバック

1. はじめに

近年、日本の大学においてリーダーシップ教育の実践が増えてきている。その一方で、我が国におけるリーダーシップ教育に関する実証研究は少なく、具体的な介入とその成果について詳細に検討された研究があまりなされていない。

そこで本研究では、リーダーシップ教育の介入としてよく使われる「学生によるリーダーシップ行動の相互評価」の活動に着目し、自己評価・他己評価の認識のズレがどのように学習に影響を及ぼすかを検討した。

2. 先行研究

リーダーシップ教育においては、リーダーシップ行動に関する調査票を用いて自己評価・他己評価を行い、その結果のズレをもとに自己認識を高め、成長につなげる手法（例えば、360 度フィードバック）がよく採用される (MCCAULEY *et al.* 1998)。日本のリーダーシップ教育においても、チームメンバー同士で相互評価をおこなう事例がある (館野 2018)。しかし、国内では、自己・他己評価にズレが、どのように学習に影響を与えているのかについて詳細に検討した研究はほとんど見られない。

自己・他己評価にズレを学習に活かせるかどうかについては、自分に対して過大評価・過小評価

する傾向が影響を与えることがわかっている (高橋 2001)。高橋 (2001) は、適正評価者や過小評価者の方が、過大評価者よりも、高い成果を生むと述べている。ただし、過大評価者においても、本人に評価結果がフィードバックされると、行動を修正し、業績を向上させることが明らかになっている (高橋 2001)。つまり、1. 自己認識の正しさは成果にポジティブな影響を与えること、2. 過大評価者においても、結果がフィードバックされれば、業績を向上させることがわかる。ただし、これらの研究は、海外の企業や海軍士官学校における文脈において、360 度フィードバック (同僚だけでなく、上司・部下・顧客などからも評価) をした結果であり、日本のリーダーシップ教育における学生同士の相互評価の文脈とは異なる。

そこで本研究では、「学生によるリーダーシップ行動の相互評価」の活動に着目し、自己評価・他己評価の認識のズレ、特に「過大評価者」に対してフィードバックをおこなうことが、どのような影響を与えるのかについて検討した。

3. 評価

本研究で対象とした授業は、立教大学経営学部の「リーダーシップ入門 (通称 BL0)」である。授業目的は、企業から与えられたプロジェクト課題に対してグループで取り組むことで、自分なり

のリーダーシップの発揮方法を理解することである。経営学部の1年生425名全員が対象で、18クラスに分かれ、1クラス約20名の学生で行われる。授業は「リーダーシップの目標設定・実践(プラン構築・プレゼン)・振り返り」のサイクルを、前半(1~6回目)、後半(7~14回目)で2回体験する設計となっている。「学生によるリーダーシップ行動の相互評価」は、前半は6回目の授業(事前)、後半は13回目の授業(事後)で取り扱っている。

本研究では、リーダーシップチェックシート(館野 2018)を用いて、リーダーシップ行動に関する自己評価と他者評価のズレの程度から、1) 過大評価者、2) 適性評価者、3) 過小評価者の3グループに分類した(ATWATER & YAMMARINO 1992; VAN *et al.*1993)。本授業におけるグループ人数は4人あるいは5人であるため、他己評価の平均値は本人以外の3人あるいは4人の平均値を採用した。他己評価の平均値から自己評価の平均値を減ずることによって求めた乖離得点(d)の分布に基づいて、1) d についてのグループ平均値から1.0 $s.d.$ より低い乖離得点を得た対象者を過大評価者、2) 平均値の上下1.0 $s.d.$ 以内の乖離得点を得た対象者を適性評価者、3) d についてのグループ平均値から1.0 $s.d.$ より高い乖離得点を得た対象者を過小評価者と分類分けした。この分類をもとに事前・事後での変化を検討した。その結果、事前で過大評価者に区分された41名のうち、事後でも過大評価に留まった人は18名(43.9%)、適正評価へと移った人は22名(53.7%)となった(表1)。

次に、過大評価者から適正評価者に変化した群(適正変化群)と、過大評価者のまま留まった群(過大継続群)において、学習に関する項目の平均値の差について t 検定をおこなった。その結果、適正変化群は、1.リーダーシップ行動における目標設定・共有、2.自らを振り返る習慣、3.専門的知識の活用・学問的興味、の3点において、高い成果を得られたと認識していた(表2)。

4. まとめと今後の課題

本研究では、リーダーシップ教育における自己評価・他己評価のズレに着目し、適正変化群が過大継続群よりも学習にポジティブな影響を与えていることを明らかにした。今後は、過大評価から適性評価に変化する要因について検討する。

表1 区分の推移

		事後			合計
		過大	適正	過小	
事前	過大	18	22	1	41
	適正	20	224	22	266
	過小	1	21	28	50
合計		39	267	51	357

表2 結果の概要

		平均値	標準偏差	
目標共有	過大→過大	3.89	.963	***
	過大→適正	4.64	.581	***
自ら振り返る習慣	過大→過大	4.11	.900	*
	過大→適正	4.55	.671	*
専門的知識の必要性	過大→過大	4.06	1.056	*
	過大→適正	4.59	.908	*
学問的興味	過大→過大	3.83	1.043	**
	過大→適正	4.55	.739	**

*** $p < .01$ ** $p < .05$ * $p < .1$

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講演 2

立教経営と早稲田でのリーダーシップ教育 — 各学部での初年次教育 vs 全学での選択科目 —

日向野 幹也

早稲田大学

こんにちは、日向野です。最初に簡単に自己紹介しますと、1983年から大学に勤務するようになったんですが、22年間は、都立大学という昔あって、いったん名前が変わって、それからまた戻るといって都立大学ですが、22年間はそこで経済学をやっていました。専攻は金融論でリーダーシップは全く関係ない普通の経済学者だったんです。2005年に立教大学に移籍して、その翌年から経営学のBLPというリーダーシップ・プログラムを開始しました。そこで10年、それから兼任を含めると11年ですが、立教でリーダーシップ教育を行って、16年に早稲田に移籍して、早稲田のほうでもリーダーシップ・プログラムを始めたというのが仕事の概要です。

今、話ますとちょっと失礼かもしれないですけども、初年次教育という概念を知らずに、というのは2006年でしたよね。そのころはおそらくあまり知られてないのかなと思いますけど、初年次教育学会の設立も2006年だったですよ。結果としては、初年次の教育としてリーダーシップ教育があつて、組織開発的な成果も出ていました。同様に、これはアクティブ・ラーニングの方にも申し上げると苦笑いされるんですけど、アクティブ・ラーニングという概念も知らずにアクティブ・ラーニングをやりましたし、PBLという概念もあんまり知らずにPBLもやっていました。こういうことは全てリーダーシップ教育のために使えるものは全部使うということをやっている、たまたまこういう結果になったので、例えばこれがリーダーシップ教育じゃなくて英語教育で、例えば効果があつたかというところ違ふところになったというふうには今では思っています。

釈迦に説法という面もあるんですけど、リーダーシップという言葉の意味が変わってしまっていて、ここからしばらくのスライドは、この種の話としてはちょっとハンディキャップが私たちにあって、例えば英語教育の話ですと、英語という学習目標についてはあんまり説明の必要はないんですね。ところが、リーダーシップですと学習目標の説明をして、それからその後本体の話をする必要があるんです。と言いつておきますが、世界標準のリーダーシップというのは、権限とも役職ともカリスマ性とも関係ないんです。このぐらい広くて、複数の人がリーダーシップを発揮するのは自然だというふうに想定します。これがshared leadershipという考えですね。ですので、極端な話、人間が2人いて一緒に何か仕事を、何かの目標を達成しようと思ったら、その2人のうちの片方の人か、できれば両方の人がリーダーシップを持っているほうが成果が出やすいという考えです。それが1つです、2番目ですね。もう1つ、3番目は、こういうリーダーシップというのは技能であつて、教育・習得可能であるという考えです。

じゃあ、そういうリーダーシップって実際には、どういう観察できる行動なんだということが問われます。クーゼスとポズナーは、1986年に5つの準則というのを唱えていて、それを単純化して3つにまとめて提案したのが2015年の私の論文の一部です。達成したい目標。さっきの2番の、例では2人、あるいはグループでも集団でもいいですが、達成したいゴールを共有する。ゴールを設定して共有する。それから2番目に率先垂範。この場合、命令する権限がないので、ほかの人にも一緒にやってほしかったら自分がやってみせる必要があるんですね。「やってくれよ」というふういきなり頼んでも、動く義理が相手にない。そこで率先垂範が必要。ここまでで納得してついてきてくれるというか、一緒にやってくれるならば話は終わりますけれども、多くの場合は動けない事情があるとか、動きたくないとかいうのがあって全員は動いてくれない。そこで動きやすくするように同僚を支援する。あるいは動き出してめげてしまった場合も支援して、もう1回動いてもらう、ということをする。この3つが最小の行動だというふうに考えました。この3つは比較的実例としても分かりやすいので割合多く使っていただいている、例えば都立高校の新設必修科目で「人間と社会」というのが2016年からできたんですが、その教科書の中にもこの3つの行動というのはそのまま書かれています。

今日みたいに台風の影響がある日というのは、こういうことが全国で起きていると思いますが、街で急に人が倒れたとか、それから雪とか台風でタクシーとか、その乗り場に長い列があるとか。札幌では起きますか、こういうことは。場所によってこれをやると、そういうことは起きないって。名古屋でお話ししたときは、タクシー乗り場に行列はあり得ないということをお聞きしたので、例として不穏当なんです。例えばそういう災害とかでは起きますし、東京でも深夜の郊外でのタクシー乗り場では列ができます。

雪とか台風するときには相乗りをしようというふうに誰かが言い出したら、すんなり受け入れられるんですね。ドライバーも嫌な顔をしません。それからほかのお客さんも3人ぐらい乗ろうということになるんですけど。何でもない普通の夜に、終電の郊外のタクシー乗り場で長い行列があったときに相乗りを募ると、何だ、こいつ、という顔をすぐされるんですね。これはどうしてかというのが先ほどの3つの行動で説明できます。それは、最初の目標共有が簡単な場合というのは、すんなり事が進むんですね。つまり街で急に人が倒れたらこの人を助けるという合意はすぐできますよね。ゴールが共有できます。それから台風とか災害のときだったら、みんな早く帰りたいよねという合意がすぐできますね。だから、目標共有が簡単な場合というのは、相乗りとか助け合いとかはしやすい。ところが、普通の夜でちょっと待てば1人で乗れるタクシーなのに3人乗りませんかというの、人によって1人で乗りたいという目標と、早く帰りたい目標が違って、すぐには共有できない。それが、目標共有が困難になって相乗りはできない、しづらくなるという原因なわけです。

目標共有の話のついでに、先ほど、人が2人いて、同じ共通の仕事をして2人ともリーダーシップがあるのが一番いいと申しましたけれども、そうすると船頭が多くいて船や山に登る状態にならないかなというご心配がすぐ出てくるんですけど、実はそれは目標が共有できてないからなんですね。というのは、このことわざは、普段号令を出している船頭級の人たちが同じ船に乗り合わせて、口々に号令を出そうとするので号令と号令が矛盾したりするという、それで混乱するという意味ですね。ところが、本当にリーダーシップがある船頭でしたら、さっきの3つの行動がスッとできるので。今日は号令を出すことにこだわらないから、自分がかじを取るとか、掃除をするというふうにサッと分担を変えられるはずなんです。それができないということは、実

はこの船頭たちはリーダーシップが不足している。特に目標共有が苦手であるということなんです。

こういう世界標準のリーダーシップへのニーズというのは、1980年代にアメリカのグローバル企業にニーズができて、特に企業の環境変化が激しいときには上意下達、情報収集も下から上、命令も上から下というふうに一々やっていると追いつかないので、権限を下に付与するというで始まりました。それからイノベーションも、イノベーションをやれと言ってできるものじゃないので、イノベーションのために使う資源の処分権を下位に下ろすということで進みました。

日本のほうではコンサルと外資は、1980年代、90年代でもそういうリーダーシップに理解があったんですけども、それ以外はなく、私が立教で2006年にリーダーシップ教育を始めたときも、そういうリーダーシップへの需要というのが実はあんまりなかったんですね。ところが、2013年になると、この本が原因とは言いませんが、伊賀泰代さんの『採用基準』というのが書かれて爆発的に売れて、この本の中身というのは実は今ご説明したリーダーシップそのものなのです。そのころから非常に普及してきて、今、企業の人事部の、特に大企業とベンチャーですかね、常識になっています。これは採用方法の変化も促進する可能性を含んでいて、というのは面接よりも、少し長い時間を取って行動を観察するほうが学生のリーダーシップを把握しやすい、あるいは在学中の記録とかを見るとポートフォリオとかですね、そのほうがリーダーシップを見やすいので、採用方法の変化を促進するファクタの1つでもあります。

こういうリーダーシップへのニーズに対応して教育の方法は、アメリカの大学では80年代に企業からのニーズが出て、90年代に大学で始まりました。90年代の半ばに爆発的に増えて、今ではどのキャンパスにもリーダーシップ・プログラムはあります。日本では2006年に私どもが立教の経営で始めたんですが、最初はアクティブ・ラーニングとかPBLとして注目をいただいただけだったんですね。2018年現在ではそのころとは全く様変わりしてしまっていて、立教と早稲田方式のリーダーシップ授業を12の大学で展開しています。8月末には、一橋・共立女子・名古屋・名古屋工業・早稲田の、同じ方法でリーダーシップを学んだ学生たちが集まって、混成のチームでグループワークするといった試みも行っています。それがリーダーシップ・キャラバンです。それから2019年4月には立教の経営に続いて初めてだと思うんですが、1つの学科まるまるリーダーシップ・プログラムをコアにするというビジネスデザイン学科というのが、桃山学院大学で今度の春に立ち上がります。そういう情勢ですね。

学生がリーダーシップを身に付けると何がいかというのは、学生を勧誘するときに言っているわけですが、もちろん最初は就活に有利である、企業が求める人材であるということが第一ですが、実は就活じゃなくて、もっと手前に授業を受けている間から大学生活がいい方向に変化します。1つは、一番下に書いてある、友人・バイト先・サークル・部活・家族関係、どこにでもリーダーシップは使えます。こういう関係が変わるんですね。それからもう1つは、これは教員にとっても良くて、アクティブ・ラーニングを実行しようとお考えになる先生は、教室でいろいろな工夫をなさいますよね、教室での授業の前も後も。それが結構大変なわけですけど。リーダーシップを持っている学生が教室に来て、そのリーダーシップを発揮しようというふうには火をつけると、これが結構簡単にアクティブ・ラーニングになってしまうので、アクティブ・ラーニング型授業に苦痛なく参加できる。教員の負担は下がるという、こういうありがたい効果もあります。こういうリーダーシップというのは、その専門科目の勉強の時間にとって変わるものではなく

て、専門知識をほかの人と一緒に生かすために使う。ですから、専門知識と両輪ですね。社会人になった後ですと、この後輪のほうが業務実施とか業界知識とかいうふうに替わるわけです。

それでは、そういうリーダーシップを身に付けるにはどうしたらいいかという、王道はリーダーシップを発揮しないといけない状況に身を置いて発揮してみて、ここからがちょっと大事なんですが、発揮したつもりになっているのに発揮できてないことがあるわけです。ほかの人に影響してないというか。なので、適切に発揮できたかどうかというのを周囲にフィードバックしてもらおうと効果的です。伝わらなかったとか、全然気が付かなかったとかいうふうに言われると、やり方が悪いわけです。そこでフィードバックをもらったら、それを参考に自分のリーダーシップの行動を改善するんですけど、改善するときには次のラウンドではこうするという宣言をして、本当にできたかどうかをまたフィードバックをもらうんです。これをお互いするわけです。こういうことを繰り返していくとどんどん良くなっていきますね。

2006年から立教でどういうことをしたかという、2系統のプログラムを走らせたりして、まずは経営学部では1年次の実質的な必修科目でした。これは学年進行とともに上がってくる。同じ年度の学生のみで構成していて、2年次後期からは選択制になりますが、その後は1年半というのは実質的に必修で、380人です。それからもう1つは全学を対象とする選択科目で、これは経営学部の上のBLPが人気が出たので、ほかの学部の学生にも知られてきた。そういう時期に2013年、いわゆる全学カリキュラムということで始めてみたら、計画どおりといいますか、うまくヒットして、それがずっと2倍とか3倍とかの受講生がいて、クラスを増やしても追いつかない人気です。こちらは実質、新規の受講生は年220人くらいです。これは先ほどの経営学部のほうのBLPで、こういうふうに積み上げ式の科目構成になっています。

それから経営学部のBLPの効果なんですけれども、分かりやすいところでは、授業改良、こうしたらいいですよという提案を学生が持ってきてくれるんですね。そうしてくれというふうに促したという面もあるんですけど。リーダーシップとオーナーシップとの関係なんですけど、不満があっても、それを苦情として伝えるのだと、どんなにアクティブな苦情であってもそれは消費者としての行動にすぎなくて、不満を提案に変える、つまり、そういう不満が起きてくる原因を除こうという提案をつくって、それを自分でやり始めるとか、一緒にやってくれる人を探すとか、やってくれる人がいたら頼むとかいうのが、というのがリーダーシップの始まりなんです。これをその授業についてBLPの学生は実際にやってくれるようになりました。

それからこれが本日の重要な論点なんですけれども、学生の学部への帰属意識が非常に高く、例えば1年生の間は、BLPというリーダーシップはホームルームがこの機能を実質的に持っています、公式ではないですけど。その帰属意識が高いというのは、例えば友達をつくるために、普通、大規模私立ではサークルに入るんですよ。ところが、経営学部ではそれが無い。それが無いんです。いったんサークルに入ってもやめちゃう人が多いくらいで。というのは、このリーダーシップの科目ですごく友達ができて、半年ごとにクラスが変わるので、3年生ごろには380人の学生のかなりが顔なじみになっているという、非常に特徴ある集団になっています。上級生のほうも競って後輩のこの科目のアシスタントになったり、最初のウェルカムキャンプの支援スタッフになったりしてくれます。さらに大学全体の学生部が学生生活アンケートで、相談相手としてほかの学部の学生は親とか先輩を挙げるんですが、経営学部だけ学部教員が断トツでトップに来ています。教員としては名誉なことですけども、それだけ学生同士も近いし、それと教員も近い学部になっています。それから最後に中退率も非常に低くて、これはあまり公式の

数字じゃないんですけれども、1%ないです、中退率が。その中退の理由も経済的理由だけなんです。やめたくないんです。

立教も実は半分以上は不本意というか、第1志望で来てないんです。それをわれわれも分かっているんで、4月の頭のオリエンテーションで私がやったのは「第2・第3志望の皆さんへ」というタイトルのスライドを作って、BLPという科目を使って夏までに考えが変わるかもしれないというふうに、ちょっと何と申しますか、リスクを取って、そういう、洗脳ではないんですけど、オリエンテーションをしていました。

もう1個の効果は、これは始めてみて気付いたんですけど、2年次から専門演習が始まるんですが、1年生で1年間リーダーシップ教育を全員やって、それからゼミに行くので、その専門ゼミが自然にアクティブ・ラーニング化したんですね。というのは、少人数授業ってアクティブ・ラーニングをやるに決まっているじゃんというふうに思い込んでいるんです、1年生は。それで2年生になって専門ゼミに行くので、先生のほうが特にアクティブ・ラーニング的なことを提案しなくても、そういうようなものだというふうに学生は思っていて、「もし今までプロジェクトをやらないんだったら、これからプロジェクトをやりましょうよ」というふうに、学生が提案してくれるというふうに聞いています。

それから受験生の人気も非常に上昇して、この辺はちょっと宣伝すぎるのかな。でも、私はもう立教の人間じゃないので。AO入試ではほぼ必ずBLPが志望理由になっていますし、一般入試の偏差値も10年間で7つ上がっています。それから付属校からの志願者も最初はそうでもなかったんですけど、断然、経営学部がトップになっています。

ここまでお話しすると、ほかの学会でお話ししたときにはこういうご質問を受けるので、紹介しておきます。そういうリーダーシップの授業で成績評価はどういうふうに行っているのかということ。それから、そもそも2006年という、そんな早い時期にリーダーシップというのを教育目標に定めたのはどうしてか。必修にできたのはどうしてか。学部内で反対はなかったのか。さらに、これは私自身ですけれども、経済学者としてのキャリアを捨てて、リーダーシップ開発者に転じたのはどうしてか。その辺りが、上位4つ、5つのご質問です。それは今日時間がないので、この本をごらんください。Kindle版ですごく安くなって出ております。

それからもう1個のこちらは、経営学部じゃない全学のほうの。こちらが積み上げ式になっていてグローバルという名前が付いていて、後半は英語での授業になっています。こちらは全学GLPのほうの効果。第1はBLPと同じで、授業改善の提案は持ってきてくれます。それからプログラムへの帰属意識も非常に高く、TAの志願者には困らないですね。それから、さらに経営学部は今一番難関になっていますから、仮に経営学部に落ちても立教には全学GLPがあるから立教を志望する学生がいるということも、しばしば耳にしていますし、実は入学センターもこのトークを使っていると報告を受けました。

こちらは、私が手がけた、立ち上げた3番目のプログラム、早稲田LDPというので、これも立教をヒントに作っているので積み上げ式になっています。大きな違いは学期がクォーター制。早稲田の授業ってクォーター制とセメスター制が併存していて、全学授業で新設されるものはクォーターでやるというお達しがあったので、仕方なくクォーターにしてみたんです。プロジェクトの科目なんか大変だろうなと思っていたら、やってみたら結構いろいろと多いので、今では学生も教員もそっちにすっかり慣れてます。

この3つお話ししたBLP/GLP/早稲田のLDPの比較なんですけれども、帰属意識が高いと

いうのは共通です、3つとも。それがリーダーシップ教育の文脈ではとても必要な、自己開示とフィードバック効果を促すので、大変役に立っています。ジョハリの窓でいうところの“Blind Self”というのを小さくする。それから“Secret Self”のほうも小さくするという効果があるんですね。フィードバックをもらおうと自分には見えなかった自分の姿が見えるので、“Blind Self”が小さくなる。それから自己開示すると他人には見えなくて自分が知っていた“Secret Self”が小さくなる。その2つが小さくなると、チームとしてはお互いの長所・短所を知り合っている仲間になるので、強いチームになるということですね。もう1個、BLPに見られた専門科目のアクティブ・ラーニング化促進効果は、GLPとか早稲田のLDPでは各学部に分散してしまっている、これは観察できてはいないです。

立教から早稲田に移って私はこういうことを経験したので、ご紹介します。早稲田の学生の一部には、自分がリーダーシップに対する優越性を持っていることを証明しなくちゃいかんと思っている学生がいる。権限は確かにないわけですね。なので、リーダーシップを発揮しなさいって言われたら、自分が優越していることを仲間に対して証明しなくちゃいかん。その方法として周りの言っていることを否定から入る、論破するというをしている学生が結構いて、3分の1はいないですけど、感覚的に言うと5人に1人ぐらいいて。でも、5人に1人だとグループに1人の割合でいることになりますから、それは結構、コミュニティーをつくるのには十分破壊的な数なんですよね。この場合、さっきのリーダーシップ3行動でいうと、成果目標がチームの成果ではなくて、自分の優位性を証明するというに行ってしまうんですね。それから同僚支援に無関心です。同僚を支援することに無関心ですし、同僚に支援されるのも嫌い。というのは、支援されるとか支援を要請するというのは自分の劣位を認めているようなものだと、彼らは考えるんですね。

早稲田に行ったときにこれが目についたので、なんか面倒くさい所に来ちゃったなというふうには最初は思ったんですけど、最近ほかの大学の先生方と話したり、あるいはアンケートを見たりすると、これは難関校あるある、なんですね。早稲田・一橋・名古屋にもあって、私は立教を離れて1年半たちましたが、立教の先生に今聞いてみると、「それは増えてきました」というふうに言われているので、難関校あるあるではないかと今ところ思っています。これは実証すべき命題ですから今後調べてみたいと思います。あるあるというちょっとふざけた表現を使っているのは、学生にこれを、「君は論破マニアだね」とかいうふうに否定的・個人的に出しちゃいけないわけです。「難関校にはよくあるんだけど」というふうに言うと、そうか、自分はそういう症状なんだと、ほかにもいるんだ、じゃあ、直そうかなというふうに思ってもらえるという意味で「あるある」といった、ちょっとふざけた表現も使っているわけです。

こういう学生を含んでいる。そういう優越性の論破マニアを含んでいる学生に必要なリーダーシップ開発の要素というのは、優越性とリーダーシップに直接関係がないということを自分で体験しないと納得しないですね。それから周囲に支援を与えろとか、支援をもらおう、要請するというのと、優越性とはこれまた関係ないということも納得してもらう必要があります。これに効くのはまた帰属意識でして、帰属意識を活用して、これを実現する方法を、今いろいろ手を替え品を変え早稲田で実験しているところです。こういう帰属意識というのは、学習に貢献するのであれば、使い道は非常に高いというふうには私は思っています。

ところが、ちょっと脱線ですけども、帰属意識が高いこと自体を目標にするというのは教育としてどんなもんだらうかということも、一応、申し上げたいです。というのは、専門ゼミでゼ

ミだけが命という学生がいるというのは、ゼミの効果が上がっているという証明でもあるんですが、せっかくゼミに帰属意識が高いのだったら、その高い帰属意識を生かして何かしないともったいないんじゃないかなというふうに私は思っています。その教育効果のほうが大事とお考えであるならば、帰属意識が高くても、学生ってその関心は揺れ動きますし、留学も増えて出たり入ったりしますから、帰属意識が高いならずとゼミに居るはずだという考えではなくて、ゼミを変更するとか、履修中断するとか、出戻りするとかいうことも許容するのが自然じゃないかなというふうに今は考えるようになりました。

開発要素に戻りますが、上のほうはさっきと同じ、繰り返しですね。このサイクルは生涯繰り返させるわけです。リーダーシップを発揮しようとやってみただけ、駄目だった、フィードバックをもらって、また直す、ということを生涯やると生涯その人のリーダーシップは進化し続けるわけですね。大人も教員もそうです。ですから、生涯学習の典型的なわけです。そう考えているときに素晴らしい言葉に出会ったんです。Nilson という研究者が、「高等教育の主要な目的は、生涯学習者を育てることである」と言いきってしまっているんです。ある本の最初のセンテンスでこう言いきってしまっていて、なるほどと。リーダーシップ教育というのはこれにぴったり当てはまるなというふうに今考えています。

そういう意味で、初年次リーダーシップ教育の意義というのは、第1番目に生涯学習の手始めとして非常に好適である。その意味は、リーダーシップを涵養して、アクティブ・ラーニングを自然なものにする。結果としては教員の負担も減らす。それから学生が獲得したリーダーシップを用いて、豊かな学生生活を送ることを支援します。就活にも役に立ちやいます。2番目に、健全なというのは、それ自体を目的としていない帰属意識を育む場としても好適であるということですね。フィードバック交換と自己開示を促進して、生涯リーダーシップの学習サイクルを回すということができるようになります。

そういう教育を受けて、ちょっと変わりましたと言ってくれる証言をお聞かせしたいと思いますので、早稲田大学社会科学部2年生の佐藤萌さんに話を聴きたと思います。

<佐藤さん>

皆さん、こんにちは。あらためまして早稲田大学社会科学部2年の佐藤萌と申します。私自身がこのリーダーシップの授業を取ったのが大学に入学してすぐでした。実際に何で取ったのかというところなんですが、ずっと部長とか生徒会長とかいうのをやっていく中で、どうしても権限があったりとか、前に1人だけが立って、なんかどうにか引っぱっていこうという意識がすごく強くて、でもそれじゃ、どうしても組織として回らないって状況がすごくたくさん起きていたんですね。そこでどうにか自分を変えたい、どうやったらもっとうまく回るようになるんだろうというふうに興味を持って、実際にこの授業を取ってみました。

さっき帰属意識というところがあったと思うんですけど、大学にまず入って感じたことが、とにかく人が多いし、まず授業もたくさんあって、友達ができないという悩みはもちろんあったんですね。でも、このリーダーシップ開発という授業を取ることによって、毎週同じ仲間に来て、またプロジェクト・ベースト・ラーニング (PBL) という授業形態を通して、1つのプロジェクトに長い期間を通して一緒に取り組む仲間ができたんですね。今、実際に2年生になって、そのときからずっと続いている関係の友達にフィードバックをもらって、1年生のときと2年生のときとの違いというのを実際に一緒に話し合ったりすることもできているんですね。普通の大学の

友達だとどうしてもその場限り、同じ授業を取っていてもその授業が終わってしまうと関係性も切れてしまったりとか、趣味の話などはたくさんすると思うんですけど、フィードバック、自分がどのように振る舞っていて、どういう行動によって人に対して影響を与えているのかということの振り返りをする機会がなかなかないんですね。しかし、このリーダーシップで知り合った仲間たちはずっと同じプロジェクトをやってきてて気心も知れていて、とてもフィードバックをし合う仲間としてはとても貴重な関係だと思っています。

実際に私がこの授業を受けて変わったなって思うところが、先ほど早稲田生あるあるというのがあったと思うんですが、実際、私も論破をすごくするというわけではなかったんですが、どうしても何か成果を残す上で目立ちたいとか、やっぱり権力を持って輝いている自分でありたいとかいう願望がどうしてもあったんですね。でも、実際それじゃ、人はついてきてくれないし、みんなでも何かを成し遂げるといえることができなかつたんですね。

そこで、みんなが発揮するリーダーシップという考えを私は1年生のときに知ったことで、今、活かされていることがあります。実際に社会科学部の専門のほうのゼミでいろいろみんなを取り組まなきゃいけないとことがある中で、どうしても誰かが言わないと動かない。誰かが言えば動くけど、その人だけの意見に従うという状況があるんですけど、その中でみんなを巻き込む。同じ権力が、上から言うのではなくて、同じ立場から一緒にやろうというふうにまず目標共有ですね。目標共有をちゃんとして、その中で率先垂範はどうしてもやらないといけないことなので、今まで私自身、誰か周りの人がやらない中でまず動き出すというときに、何で私がやらなきゃいけないんだろう、誰かほかの人がやってくれたらいいのと思っていた部分があったんですが、1回動き出すと意外とみんなもついてきてくれて、しかもまた同僚支援ということで、「私も一緒にやりたい」とか、「私、こういうところができるんだけど、手伝えることあるかな」というふうに言ってくれる仲間が出てきたり、周りにも変化が起きたんですね。この授業を受けて自分が変わったことで、周りにも変化を及ぼすことができたという経験を通して、私自身、すごくこの授業を取って良かったなと思っています。

<日向野先生>

どうもありがとうございます。それでは、こういうリーダーシップ教育は立教と早稲田とさっき申し上げた何校かで行っているんですけども、難関校あるあるとか早稲田あるある、のように各大学の学生の特質とか大学のビジョン、つまり教育目標とか校訓、そんなものに合わせてリーダーシップ教育をカスタマイズするほうが効果は上がります。高校も同様だというふうに思われます。各大学で得意・不得意なリーダーシップ行動がパターンとして違う。そうすると当然伸ばす・補う点も異なっていて、リーダーシップ教育の内容も違うというのがその理由です。

その内容の変更例、カスタマイズしている例としましては、難関大学では議論をリードすることが得意と思っている学生が一定数いる。つまり、これが先ほどの論破しちゃうパターンですね。そういうときに論破的に意見を言わずに議論をリードする力として、質問で他者の意見を引き出すスキルというのを強化するのが、今われわれが試していることです。ここでコーチングとかアクションラーニングというのをを使うんですね。それから難関大学以外の私立大学ではそれが得意な人というのは少ないので、逆に誰もリードしようとしなない場合にはサイレントクラスというふうに言って、教員が何もしない。教壇に立つんですけど、何十分も黙っている。こんなに大きいところだとちょっと難易度は高いんですけど、10人とか20人なんていう量で教員が現れて何

もしないでいると、学生が何か始めるんですよね。誰が何をどう始めたかということを経験者のほうは覚えていて、しっかり振り返りをして、あれがリーダーシップ行動だとかいうふうな振り返りもするという手があります。そういうことでリードするというのは意外にできることだとか、どういうところが難しいとかということを経験者から学ぶということをしていきます。

今このグリーンというんでしょうか、ベージュのようなところにある大学では、立教・早稲田方式の経験学習型の、それから多くの場合産学連携を含むリーダーシップ教育というのをやっています。この中で学生を募って5つの大学が混ざって8月にリーダーシップ・キャラバンというのをやっていました。キャラバンという名前の如く、これから当番校を作って移動していく、ガタガタ移動していくという企画です。

予定よりも早く終わっちゃいました。どうでしょう、よろしいですか。じゃあ、私たちの話は以上です。ありがとうございました。(拍手)

初年次教育学会

ニュースレター 第11号

Japanese Association of First Year Experience
at Universities and Colleges

初年次教育学会 事務局分室

〒162-0801

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事務局

法政大学 藤田哲也研究室内

今号の内容

1. 巻頭言 「2040年に向けた高等教育のグランドデザイン(答申)」に思う
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9. 編集担当より

1. 巻頭言 「2040年に向けた高等教育のグランドデザイン(答申)」に思う

会長 藤本 元啓(崇城大学)

2007年12月に設立した本学会は、今年12年目を迎えることとなります。この間、各地で地震や台風による大きな災害が起り、昨年の酪農学園大学での大会2日目には北海道胆振東部地震が発生しました。改めて被災地のみなさまに、衷心よりお見舞いを申し上げます。復旧にはいまだ少し時間がかかるものと存じますが、一日も早い復興を願って止みません。

会員各位には新年度を迎えご多忙と存じますが、この「ニュースレター」第11号にて本学会の動向や今年度の予定等をご確認ください。そして9月の創価大学での大会と各地での実践交流会において、初年次教育を含めた高等教育に関する理論・実践の情報を交換し、我が国の高等教育が目指すべき姿を熱く語り合えることを楽しみにしております。

さて、昨年11月に中央教育審議会から「2040年に向けた高等教育のグランドデザイン(答申)」が公表されました。答申は大きく6項目にわたっていますが、初年次教育との関係から少しく述べさせていただきます。

答申の「2040年の展望と高等教育が目指すべき姿」には、「普遍的な知識・理解と汎用的技能を文理横断的に身につけ」、「時代の変化に対応して積極的に社会を支え、論理的能力を持って社会を改善していく資質を有する人材」

を育成するために、「個々の教員の教育手法や研究を中心にシステムを構築する教育からの脱却」を目指し、「何を学び、(何を)身につけることができたのか」という「学修者本位の教育への転換」が示されています。

初年次教育担当者は、個々の教員として、あるいは教育センター等の組織の一員として、様々なプログラムを実践していらっしゃいます。一方で、本学会でもしばしば議論の対象となることですが、担当者がどんなに尽力しても初年次教育プログラムで学修したことが、その場限りのものになっている場合が多いという問題です。2年次や専門教育課程との接続・連携等の重要性を認識していても、その解決のための学科・学部等学内での調整がうまくいかないことを痛感されている方も少なくないと思います。

小生は一教員の尽力だけでは目指す教育が「点」になりがちで、それを「線」に、さらに「面」に拡大して教育プログラムの連動をカリキュラム上に設定することこそ、教育システムの根幹と考えています。例えば、基礎的・汎用的能力を身につけるには、教養教育と専門教育さらには正課外教育を含めた、つまり学士課程教育全体で連続・反復すべきなのです。そしてこれは決して新しい考えではなく、至極当然のことでもあります。

しかし今日まで我々は、恐らくそれは機能しているはずと都合のよい理解をしていたのか、あるいは等閑視していたのではないのでしょうか。大学組織全体でこの問題を認識して解決する方向に向かわなければ、いつまでたっても成果はあらわれないでしょう。大学を取り巻く環境が一層厳

しさを増すなか、多様な新入生を対象とする初年次教育の
カリキュラム上での位置づけが、これまで以上に重要にな
ったと思えてなりません。しかもこれは初年次教育に限っ
たことではなく、数理科目と理工学専門科目との関係のよ
うな教養教育と専門教育との接続・連携、またあらゆる学
科(分野)のキャリア教育や倫理教育等についても同様と
考えます。

異論があることを承知の上で申しますと、各大学には、
その「立ち位置」をとおして、「個々の教員の教育手法や
研究を中心の教育システムからの脱却」を目指すべきか
(目指すことができるか)、否かの判断が、改めて問われ
ているのではないのでしょうか。答申が唱える「時代に変化
に応じた迅速かつ柔軟なプログラムの編成」について全学
を挙げて検討し、速やかに実行に移す最後の機会が「いま」
であると再認識した次第です。みなさまは、いかがお考え
でしょうか。

2. 事務局からのお知らせ

事務局長 藤田 哲也 (法政大学)

いつもお世話になっております。事務局長の藤田哲也
(法政大学)です。事務局から3月6日に皆様に向けて配
信したメール内容と重複するものも含まれますが、以下に
ついてお願い申し上げます。

(1) 2019年度年会費納入のお願い

既にお手元に2019年度年会費納入のための振替用紙が届
いているかと思えます。5月31日までに納めていただけれ
ば幸いです。

(2) マイページ活用のお願い

2016年度からマイページの運用が始まっています。マイ
ページからは、会員情報(所属等)の変更が行えます。4月
以降、異動される方、メールアドレスを変更される方などは、
ご自身で登録情報を変更することができます。年会費の納入
状況もご確認いただけます。ぜひご活用ください。

初年次教育学会マイページへのアクセス方法

- a. 下記 URL からマイページへアクセスする。
- b. 「会員番号」「パスワード」を入力し「ログイン」
をクリックする。

マイページ URL :

<https://iap.jp.org/jafye/mypage/login/login>

※学会ホームページからもマイページにアクセス
できます。

ログインに必要な「会員番号」「パスワード」は、2015年
度に既に会員だった方には2016年3月16日頃に、2016年
度以降に入会された方には入会時にお送りしたメールに記
載されています。今後も必要となりますので、お手元にお控
えください。

その他、何かご不明な点などございましたら、お気軽に事
務局にお尋ねください。引き続きよろしくごお願い申し上げま
す。

(3) 役員(理事)選挙を行います

2019年度は、2年ごとに行われる役員、すなわち理事選
挙の年にあたります。現在、4月15日投票開始、5月7日
投票締め切りという期間で実施できるよう、選挙管理委員会
を設置して準備を進めているところです。役員被選挙権およ
び選挙権を有するのは、2018年度に個人会員であり、当該
役員選挙投票締切日(2019年5月7日)において引き続き
個人会員であり、2018年度までの学会費を納入している方
になります。4月15日前後に投票用紙および選挙要項をお
送りする予定です。お手元に届きましたら、要項をよくお読
みいただいた上で、投票をよろしくごお願い申し上げます。

その他、何かご不明な点などございましたら、お気軽に事
務局にお尋ねください。

3. 学会誌編集委員会からのお知らせ

編集委員長 川島啓二 (京都産業大学)

2019年3月発行予定の『初年次教育学会誌』第11巻第
1号の発行が遅れております。昨年に引き続いての発行遅
れとなり会員各位には深くお詫び申し上げます。現在編集
作業を進めておりますので、今しばらくお待ちください。
今号より新しい編集委員会体制での編集作業です。

今号では査読を経た研究論文3本、事例研究論文1本が
掲載され、また、酪農学園大学で開催されました学会第
11回大会での大会企画シンポジウム(「初年次教育とチーム
づくり ― 動機づけとリーダーシップの側面から ―」)の
内容もそのまま掲載されます。ただ、ご案内のように、課
題研究シンポジウムは北海道胆振東部地震のため中止と
なりましたので、シンポジウム「報告」としてではなく、
「課題研究」論文としてシンポジウム登壇予定だった先生
方に新たに書き下ろしていただきました。ご執筆いただ
いた先生方には大変なお骨折りをいただくこととなり、厚く
御礼を申し上げます。

巻頭言は、現在諸方面で大活躍中の山本啓一理事(北陸
大学)にご執筆いただきました。その他自著紹介など充実
した内容となります。

次号は第12巻第1号となります。会員の皆様の積極的な投稿をお待ちしております。以下、原稿募集の概略をお知らせいたします。

(1) 次号の発行時期について

2020年3月の発行を予定しております。

(2) 投稿論文の締切について

第12巻の投稿締め切りは2019年5月末日となります。ただし、学会誌の編集規程および論文の執筆要領に従っていない場合には、投稿論文を受領することはできません。そのような理由で返戻された論文を修正した上で再投稿する場合の期限も5月末日となります。提出期限間に投稿された論文については、規程・要領に従っているか否かの確認が期限後となり、結果的に査読対象から外れることもあり得ます。特に執筆テンプレートの利用、および図表については本文中には該当箇所を示すだけとして、図・表いずれもテンプレート末尾のページに掲載することについて、該当されるかたは改めてご注意いただければ幸いです。

(3) 原稿の執筆、投稿、その他詳細について

初初年次教育学会のホームページに記載している「初年次教育学会誌執筆要領」「執筆テンプレート」をご参照ください。指定した書式通りでない原稿は受け付けることができませんのでご注意ください。

<http://www.jafye.org/society/regulations/shippitsuyoryo/>

(4) 投稿論文の提出先について

初年次教育学会 HP の電子投稿システムからお手続きください。皆様からの投稿をお待ち申し上げます。

<https://iap-jp.org/jafye/post/Login>

(5) 投稿資格および1巻あたりの投稿数について

本誌に論文を投稿することができる者は、共同執筆者を含め、前年度までに入会し3月末までに会費を納入している個人会員および機関会員に限られます。また、1巻あたりに投稿できる論文の数にも定めがあります。詳細は、初年次教育学会誌編集規程第9条をご確認ください。より多くの会員の皆様から、充実した研究論文および事例研究論文の投稿をお待ちしております。

<http://www.jafye.org/society/regulations/henshukitei/>

4. 第11回大会 開催報告

第11回大会実行委員長 大和田 秀一（酪農学園大学）

初年次教育学会第11回大会は、酪農学園大学（北海道江別市）において、2018年9月5日（水）、6日（木）両日にわたって執り行われるはずでしたが、4日から5日にかけての「非常に強い勢力」を持った台風21号の上陸、6日未明の北海道胆振東部地震とそれによる全道ブラックアウトの二重災害に襲われ、初日午後の学会総会、大会企画シンポジウム、自由研究発表の8部会、そして情報交換会を行うことしか叶いませんでした（他に、教育実践賞のポスター発表、賛助会員企業によるブース展示とランチタイムPRも実施）。

心血を注いで発表やラウンドテーブルの準備をされた会員の皆様、ワークショップの準備をされた理事の皆様、課題研究シンポジウムの講師の皆様、台風の被害に遭われ来道が叶わなかった皆様、そして、万難を排して参加して下さったにもかかわらず地震と停電の憂き目に遭われた皆様に、改めて心よりお見舞い申し上げます。また、このような苦労をされた参加者・関係者の皆様から、逆に「せっかく準備されたのに残念でしたね」との温かい慰藉のお言葉を度々いただきました。実行委員を代表して厚くお礼申し上げます。

大会テーマの「初年次教育とチームづくり ― 動機づけとリーダーシップの側面から ―」は、初年次教育プログラムへの学生の関与の濃淡を克服するために如何に共同体意識を育むか（もしくは共同体意識の育成そのものが初年次教育プログラムの重要な目的の一つではないでしょうか）という筆者の課題認識と、酪農学園の沿革にかかわる協同精神を重ね合わせる思いで設定されました。同タイトルの大会企画シンポジウムは、中谷素之先生（名古屋大学）と日向野幹也先生（早稲田大学）をお迎えして、幸運にも行うことができました（一方、このテーマに関連して用意された二つの大会校企画ワークショップは、他のプログラムと同様に行うことができませんでした）。

第11回大会は、学会設立10周年の記念すべき大会でしたが、このような残念な仕儀に終わってしまいました。大会参加者は合計217名で、内訳は事前登録者140名、当日参加登録者77名です。会員種別では、学会会員は136名、非会員48名、賛助会員企業からの参加18名、大会校からの参加15名でした。2017年の第10回大会（中部大学）の参加者総数324名と比較すべくもありませんが、この悪条件の中、“四分の一”開催であったことからすれば、多数のご参加を得ることができたと言えるのではないのでしょうか。

次回の第12回大会は、2019年9月6日（金）～8日（日）の3日間（！）、東京八王子の創価大学で開催されます。

関田実行委員長に第 11 回大会の経験を引き継ぐことに努め、微力ながら第 12 回大会のお役に立てればと思います。森の中に荘厳な建物が立ち並ぶキャンパスで皆様と再会することを楽しみにしております。

5. 第 12 回大会について

2019 年度の大会は、2019 年 9 月 6 日(金)～9 月 8 日(日)の 3 日間、「初年次を超えた初年次教育」をテーマに東京都八王子市の創価大学で開催されます。大会 HP は 4 月 9 日公開の見通しです。これに合わせ発表申込は 4 月 9 日頃から、参加申込は 6 月 11 日頃から受付を開始する予定となっております。会員の皆様多数の発表申込・参加申込をお待ちしております。大会 HP が公開されましたら改めて連絡差し上げますので、今しばらくお待ちください。

大会では、発表申込と同時に発表要旨原稿も提出いただく必要があります。余裕を持って準備を進めて下さるようお願いいたします。発表申込及び要旨原稿の提出期限は 5 月 15 日頃の予定です。

6. 2018 年度「初年次教育実践交流会」報告

地域活動活性化委員会委員長 安永 悟 (久留米大学)

今年度は、5 月に北陸(金沢)、7 月と 10 月に久留米大学、8 月に創価大学で初年次教育実践交流会を開催しました。その概要を以下に報告します。

実践交流会は地域の実情や参加者の要望に応じて自由な企画をお願いしています。参加者も本学会会員に限定する必要はありません。企画内容は、初年次教育に関係していれば幅広く柔軟に考えていただいて構いません。ただ、単なる講演会はご遠慮ください。あくまでも初年次教育の一環として実施している、正課や課外の授業・プログラム・取組等の成果や失敗例など、現場担当の教職員各位の報告や話題提供、および意見交換を趣旨としています。

第 1 回 初年次教育実践交流会 in 北陸

日 時：平成 30 年 5 月 26 日(土)

会 場：石川憲政記念館しいのき迎賓館

主 催：初年次教育学会地域活動活性化委員会

共 催：石川県公立大学法人「楽しい活動性の高い授業つくろう会」

プログラム：司会・澤田忠幸(石川県立大学)

1. 趣旨説明：垣花涉(石川県立看護大学)
2. 実践報告 1 寺西望(金沢高校)『総合的な学習の時間』の実践～真正の学びを目指して～
3. 実践報告 2 井川健太(金沢泉丘高校)「本質的理解

につなげる授業作り～Brain's on を目指して～

4. 実践報告 3 北山幸枝(石川県立看護大学)「大学生としての学び入門～情報リテラシー教育を通して～」
5. 実践報告 4 小椋賢治(石川県立大学)「専門課程の導入としての AL～有機化学と食品学各論の実践～」
6. パネルディスカッション 「高校と大学の接続教育と AL に関するフロアとの意見交換」
コーディネーター 藤本元啓(崇城大学)
指定討論者 山本啓一(北陸大学)
7. 総括：西村 秀雄(金沢工業大学)
8. 概要

①高等学校教員の報告には、ワークシートの活用を前提とした「個人思考→グループ討議→発表→討論」のサイクルでの授業(総合学習)をおこなって効果をあげている。

②高等学校「物理」では、「講義→実験・演習・発表→確認テスト→振り返りシート(紙媒体のポートフォリオ)」をサイクルとする授業形態を実施

③高等学校全体の課題として、学習指導要領の制約、教科間の連携等があげられた。

④大学側の報告は目新しいものはなかったが、振り返りシートの活用は学生教員双方に有効なツールとして認知されているとの報告があった。

⑤パネルディスカッションでは、学修サーキット、カリキュラム上での初年次科目の位置づけ、組織的な学習スキル展開(例えば表現力、思考力、発進力、協働など PBL 型科目の学年進行にともなう質的实施)が最も重要であることへの議論が集中し、各大学・高等学校での課題となっている点が確認された。

参加者 52 名。遠方は鹿児島からの参加者あり。次年度も金沢で開催の予定。(文責：藤本 元啓・崇城大学)

第 2 回 久留米「協同教育フェスタ」

日 時：平成 30 年 7 月 21 日(土)、10 時～17 時

会 場：久留米大学御井キャンパス学生会館ミーティング
＝ルーム 3

1. 挨拶・導入 安永悟(久留米大学)
2. 実践研究 1 清藤弥希(福岡県立輝翔館中等教育学校)「化学的な見方や考え方を育てる『化学基礎』学習指導—『シンク・ペア・シェア』を取り入れた単元構成を通して—
3. 実践研究 2 石山信幸(久留米市立南筑高等学校)「協同学習による評価の始め方—高校数学の授業づくりを通して—

4. 理論研究 原田信之 (名古屋市立大学) 「子どもの学習に何が最も効果的か ―ジョン・ハッティの学習者を生かす教育のエビデンス―」
5. 協同教育カフェ (全体交流)
6. 事務連絡・閉会
7. 概要
協同教育研究所「結風」主催の「協同教育フェスタ」を「初年次教育実践交流会」としてお認めいただき、初年次教育学会との共催という形で開催している。今回の参加者は北海道から沖縄まで、70名を超える参加者があった。

第3回 初年次教育実践交流会 in 東京

日時：平成30年8月29日(水)、14～17時
会場：創価大学中央教育棟4階AW401教室
テーマ：新入生の文章表現・ライティング指導の課題と工夫
主催：初年次教育学会地域活動活性化委員会
共催：創価大学学士課程教育機構
後援：日本リメディアル教育学会、大学コンソーシアム八王子

プログラム：司会・関田一彦(創価大学)

1. 挨拶・開催趣旨説明 藤本元啓(初年次教育学会会長)
2. 実践報告1 佐藤広子(創価大学) 「全学必修化とライティングセンターにおけるチュータリングサービス」
3. 実践報告2 井下千子(桜美林大学) 「初年次教育で求められる文章表現・ライティング指導とは何か」
4. 実践報告3 藤本元啓(崇城大学) 「初年次教育におけるライティング指導の回顧と展望」
5. 休憩、意見・感想落書きタイム
6. フロアと意見交換
7. 総括・あいさつ 安永悟(久留米大学)
8. 概要

当日は50名を超える参加者があった。交流会の後にとったアンケート結果によれば(回答者数40名)、初年次教育学会の会員が18名、日本リメディアル教育学会の会員が9名、創価大学職員が1名、その他16名であった(複数回答あり)。報告内容について「大いに満たされた」18名、「概ね満たされた」20名、「やや不満が残る」1名であった。

第4回 久留米「授業づくり研究会」

日時：平成30年10月13日(土)、13～17時
会場：久留米大学御井キャンパス学生会館ミーティング＝ルーム3
1. 挨拶・導入 安永悟(久留米大学)

2. 実践・研究報告1 和田珠実(中部大学) 「LTDによる初年次英語リーディング授業の活性化―自己効力感を中心に」
3. 実践・研究報告2 甲原定房(山口県立大学) 「ゲームを用いた授業とそのアレンジ」
4. 全体交流・閉会
5. 概要
協同教育研究所「結風」主催の「授業づくり研究会」を「初年次教育実践交流会」としてお認めいただき、初年次教育学会との共催という形で開催している。参加者は46名であった。

7. 将来構想実行委員会からのお知らせ

将来構想実行委員会 山田 礼子(同志社大学)

(1) 初年次教育関連出版について

学会の設立10周年を記念して、『初年次教育の現状と未来』の後継となる書籍を世界思想社より2018年8月に刊行いたしました。「初年次教育のこれまでと現状」「高大接続といった現代的な課題と初年次教育」「初年次教育をめぐる実践的な方法・方略とこれから」といったテーマを柱に「学会の歩み」を加え検討を進めてきました。『進化する初年次教育』という題名で4部構成、17章からなる202頁の本です。本学会員はもちろん、大学教職員、高等学校教員はじめ中等・初等教育の関係者などを対象に、理論と実践の両側面から初年次教育について明らかにすることを通じて、将来に向けた視点が盛り込まれており、タイトル通りの進化する初年次教育の内容となっています。執筆者一同、皆様の初年次教育プログラムの構築や実践の参考になるものと期待しております。

(2) 教育実践賞について

初年次教育学会では、初年次教育に関する実践の発展とその成果の普及によって大学教育の改善に資するため、効果的な初年次教育の実践例を表彰し、学会内外に広く紹介することとしました。

しかしながら「4. 第11回大会 開催報告」(pp.3-4)にあるような事情で、審査および第11回大会での表彰が不可能となりました。この件に関して実践教育賞審査委員会が審議した結果、下記の方針を決定いたしました。

- ・審査を2019年4月中に終え、5月連休明けに審査結果を理事会および対象者に報告する。
- ・審査表を集約したうえで、最優秀賞、優秀賞等の名称と件数等を決定する。
- ・第12回大会で授賞式を行う。可能であれば大会会場に

受賞取組のポスターを掲示する。

8. 総務・広報委員会からのお知らせ：「初年次教育学会倫理綱領」の制定について（意見募集）

ご存知のように近年、研究者および学生・生徒を対象とした研究倫理とその教育の重要性が指摘されていますが、現在、本学会では明確な研究倫理規定が整備されていません。さらに本学会の場合、IRデータの取り扱いや、被験者を使用する場合の同意および、所属組織（研究倫理委員会等）による計画～実施～報告までの承認等について、大きな問題が潜在的に存在しており、研究倫理規定の整備が喫緊の課題となっています。

しかし研究倫理規定は本来、上位の学会倫理綱領を受けて定められるものです。そこで今回は、まず、研究倫理を含めた学会倫理綱領を制定することとし、理事会および第11回大会総会で承認されました。これを受けて総務・広報委員会が学会倫理綱領（案）を作成し、議論を経た後、添付の修正案が2018年度第4回理事会にて承認されました。

会員の皆様におかれましては、添付の学会倫理綱領案をお読みいただき、ご意見がある場合は5月31日までに総務・広報担当までにご意見をお寄せください。今後、皆様からの意見を受け、6月および9月の理事会で再度審議した上で、第12大会における総会で学会倫理綱領案のご承認をいただきます。

ご一読いただくとご理解いただけると思いますが、現在の案は必ずしも完全な案ではありません。学会倫理綱領は、本学会および学会員が目指すべき理想や理念、目標を掲げると同時に、それを受けて不正行為の禁止等に言及します。つまりいずれもかなり高い抽象性が求められます。しかし案では、一部においてかなり具体的な行為に言及しており、抽象度が必ずしも統一されておりません。倫理綱領と研究倫理規定を同時に制定できればこのようなことにはならないのですが、研究倫理規定については会員が所属する、広い分野や多様な所属組織の事情を考慮する必要があります。またあまりに厳格すぎると、大学院生等の次世代を委縮させることにも繋がりがねません。そこで今回は、抽象度が必ずしも統一されていないことを承知の上で、特に避けねばならない行為について取り急ぎ記すことにしました。

このような事情があるため、第12回大会の総会で学会倫理綱領案が承認された場合は、引き続き、

- ・研究倫理規定の制定（新規）
- ・投稿・大会発表規定の整備

を行います。

倫理綱領案に関するご意見は、メールにて総務・広報担当

の西村へお寄せ下さい。頂戴したメールには受領した旨を返信いたします。万一返信がない場合は、お手数ですが再度ご連絡をお願いいたします。西村のメールアドレスは以下の通りです。

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（文責：西村 秀雄）

9. 編集担当より

総務・広報委員会 西村 秀雄（金沢工業大学）

(1) 賛助会員による広告添付について

賛助会員には、年1回、会員への情報提供の際に、A4で1ページ分の広告・情報提供資料の添付が認められております。本学会ニュースレターでは第4号より、それまでのメール添付ではなく、学会ウェブに本文（このファイル）および広告データを次号刊行まで掲載します。

なお、学会および学会事務局は、これらの広告内容に関与しておりません。

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(2) 実践事例の募集について

ニュースレターに掲載すべき実践事例や事例紹介などを募集しております。掲載ご希望の方は学会事務局にお知らせください。

(3) 事務局分室について

本学会では国際文献社に事務局業務の委託を行っております。問い合わせ等につきましては以下をご確認ください。

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