

# **Success Factors for the Leadership of International Humanitarian and Development Organisations in South Asia**

By

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A thesis submitted in partial fulfilment of the requirements for  
the award of Doctor of Philosophy at Oxford Brookes University

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Dedicated to Mouse and my parents, Bryan and Julie.

*I wish you had been here to be a part of this mum...*





## **Declaration of Original Authorship**

I hereby declare that this doctoral thesis is entirely my own work and that it has not been submitted in any other college or university.

I agree that the Oxford Brookes University library may lend or copy this thesis upon request from the date of approval of this thesis.

A handwritten signature in blue ink, appearing to read 'Adi Walker', with a stylized flourish at the end.

Adi Walker

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## Foreword

Undertaking a PhD on a full-time basis is, in itself, challenging. It requires passion about the chosen subject, commitment and perseverance, willingness to adapt methodologies and approaches as one moves forwards, and self-conviction. It requires support, advice, encouragement and patience from those around: university supervisors, family, friends, and professional colleagues. It also requires adaptability as, over an extended period, situations, aspects and processes of the research, and external influences, continue to attempt to thwart the academic growth, learning, and ultimate research goals and contributions intended.

Undertaking a PhD on a part time basis, presented additional challenges. Balancing this research with a full-time job – initially as a Senior Government Advisor for a project implemented on behalf of the German Government in Pakistan, then moving after four years to Directing a Technical Advisory Facility for the Government of Nepal on behalf of the European Union – were two challenges that required adaptation. In parallel, and planning for the future, this researcher also set up a Consulting Company that, whilst allowing continuation of the same professional work, facilitated potential for future shorter-term consulting work in the aid sector, notably in the area of leadership capacity development, but also in the field of academia. Throughout this period (2012-2018) this researcher's family – based in both Pakistan and Nepal, but equally for periods in France, and with one child in international schooling in Thailand, added to the plethora of influences that required this researcher's attention and management. Equally, and aside from the necessary determination and time away from work and family to concentrate on this researcher's studies, the need to take care of his own well-being, through exercise, non-academic reading, and other pastimes, remained essential.

It is not known to what extent all these factors influenced – positively or negatively – the final results of this research. It is also not known whether embarking solely on a full-time PhD (for a shorter period than the nearly-six years taken) would have produced different results. It 'is' known that whilst there were downfalls, there were no regrets. This study tested and pushed this researcher's capacities and capabilities to the extreme, but as someone that sets very high standards for himself – as a researcher, IHDO leader, family member, and individual – the process was life-changing.

This doctoral research was undertaken with academic rigour and professional integrity as well as personal patience and perseverance. Above all, it required a strong resolve, commitment, self-determination, willingness and versatility to complete. This researcher's sincere hope is that this thesis leads to and inspires new ideas and positive change for the envisaged audiences. Ultimately, it is intended to encourage and support the necessary decisions and actions required for more successful IHDO leadership in South Asia, whilst, importantly, making a unique contribution to the world of academia.



## Abstract

Leaders of international humanitarian and development organisations (IHDOs) are part of the global network of actors providing aid to the South Asian countries of India, Pakistan, and Sri Lanka. These leaders steer and support the delivery of essential humanitarian and development assistance to many of the world's poorest, naturally-triggered disaster and conflict-affected people and their governments. However, the complexity, diversity and instability of the political and operational contexts in South Asia, continue to change and increase, presenting them with many challenges.

The effectiveness of IHDO leadership in capably handling these challenges has been questioned in the literature and in practice. Yet most of the leadership theories lack direct relevance; not necessarily providing IHDOs' leaders with the philosophical foundations on which to operate.

This research explores the factors necessary for successful IHDO leadership in South Asia. This cross-sectional study is founded on the philosophy of pragmatism, is based on an extensive review of the literature, and uses a mixed methods approach, applying the *explanatory sequential design* (a quantitative approach followed subsequently by a qualitative approach).

The main theories, concepts and definitions of leadership, and professionalism, and their relevance for IHDO leadership in South Asia are discussed, together with the relationship between leadership and management, leadership qualities, leader's 'followers', and the numerous dimensions and influences of culture. An overview of the research locus and the aid sector, and some of the main challenges for leaders working in the sector are presented.

The conclusions explain the implications of the existing leadership theories, and introduce a new, previously non-existent aid sector-specific leadership theory – the *Leadership Theory of Versatility*, together with six underpinning principles. Aligned to this theory, several methods for its application are proposed, including appropriate characteristics, competencies and attributes necessary for IHDOs' leaders working in South Asia. The research addresses the existing tenets of professionalism and recommends a new set of aid sector-relevant professional tenets for IHDO leadership. Additionally proposed are how IHDOs' leaders, and their organisations, can successfully address the numerous influences and challenges that they face, including constant change, increasingly dwindling institutional space, and lack of time to effectively undertake their roles, functions and tasks.





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## Acronyms

ADB	Asian Development Bank
ADRRN	Asian Disaster Reduction and Response Network
AEGIS	<i>(derived from Latin meaning 'protection or support' – referred to kidnapping)</i>
ALNAP	Active Learning Network for Accountability and Performance
ASEM	Asia-European Meeting
BMZ	Bundesministerium Für Wirtschaftliche Zusammenarbeit <i>(German Federal Ministry for Economic Cooperation and Development)</i>
BIMSTEC	Bay of Bengal Initiative for Multi-Sectoral Technical and Economic Cooperation
BRICS	Brazil, Russia, India, China and South Africa
CAFOD	Catholic Agency for Overseas Development
CBHA	Consortium of British Humanitarian Agencies
CCL	Centre for Creative Leadership
CPD	Continuous Professional Development
CERAH	Centre for Education and Research in Humanitarian Action (Geneva)
CHS	Core Humanitarian Standard
CIDOB	Centre d'Informació i Documentació Internacionals a Barcelona <i>(Barcelona Centre for International Affairs)</i>
CPCC	Canadian Peacebuilding Coordinating Committee
CPM	Character, Performance, Maintenance (Chinese leadership model)
CRED	Centre for Research on the Epidemiology of Disasters
CRS	Catholic Relief Services
CSR	Corporate Social Responsibility
DAC	Development Assistance Committee
DFAT	Department of Foreign Affairs and Trade <i>(Australian Government)</i>
DFID	Department for International Development <i>(British Government)</i>
DRC	Danish Refugee Council



EAD	Economic Affairs Division ( <i>Pakistani Government</i> )
ECHO	European Civil Protection and Humanitarian Aid Operations
EI	Emotional Intelligence
ELRHA	Enhancing Learning and Research for Humanitarian Assistance
EU	European Union
EUR	Euro ( <i>currency</i> )
FGD	Focus Group Discussion
GDP	Gross Domestic Product
GHP	Global Humanitarian Platform
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit, GmbH ( <i>German Society for International Cooperation, Ltd.</i> )
GLOBE	Global Leadership and Organisational Behaviour Effectiveness
GoSL	Government of Sri Lanka
HAP	Humanitarian Accountability Partnership
HDI	Human Development Index
HPG	Humanitarian Policy Group
HPN	Humanitarian Practice Network
HQ	Headquarters
HR	Human Resources
ICRC	International Committee of the Red Cross
ICT	Information Communication Technology
IDI	Inclusive Development Index
IFRC	International Federation of the Red Crescent
IHDO	International Humanitarian and Development Organisation
IIED	International Institute for Environment and Development
INGO	International Non-Government Organisation
INTRAC	International NGO Training and Research Centre

IRC	International Rescue Committee
KII	Key Informant Interview
LD	Less Developed ( <i>country</i> )
LGBT	Lesbian, Gay, Bi-sexual, Transgender
LLD	Lesser Developed ( <i>country</i> )
LTTE	Liberation Tigers of Tamil Elam
MANGO	Management Accounting for Non-Government Organisations
MDGs	Millennium Development Goals
MoF	Ministry of Finance ( <i>Sri Lankan Government</i> )
MPI	Multi-dimensional Poverty Index
MSc	Master of Science
MSF	Médecins sans Frontières
NGO	Non-Government Organisation
NVIVO	<i>(previously known as Non-Numerical Unstructured Data Indexing Searching and Theorizing)</i>
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
ODA	Official Development Assistance
ODI	Overseas Development Institute
OECD	Organisation for Economic Cooperation and Development
Oxfam	Oxford Committee for Famine Relief
PDF	Portable Document Format
PHAP	Professionals in Humanitarian Assistance and Protection
PhD	Doctor of Philosophy
PIU	Performance Information Unit
PQLI	Physical Quality of Life Index
PRS	Political Risk Services
SAARC	South Asian Association for Regional Cooperation

SCF	Save the Children Fund
SDC	Swiss Development Cooperation
SDGs	Sustainable Development Goals
SDSN	Sustainable Development Solutions Network
SIDA	Swedish International Cooperation Agency
SOAS	School of Oriental and African Studies
SPSS	Statistical Package for the Social Sciences
UK	United Kingdom of Great Britain and Northern Ireland
UN	United Nations
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UNISDR	United Nations Office for Disaster Risk Reduction
US	United States of America
WANGO	World Association of Non-Government Organisations
WEF	World Economic Forum
WHS	World Humanitarian Summit
WSSD	World Summit on Sustainable Development
WVI	World Vision International



# **1. Introduction**

## **1.1 Background to this study**

Leaders of international humanitarian and development organisations (IHDOs) are catalytic in the effective and efficient delivery of international aid. They play vital roles in conceptualising, designing and implementing strategies and interventions, monitoring, and evaluating them. They lead teams and processes, and work within numerous diversely-mandated organisations. They manage relationships with multiple stakeholders – often in complex settings and under demanding conditions – to achieve a broad range of short-term emergency through to long-term development objectives.

Leaders of IHDOs working in the aid sector in South Asia specifically, are pivotal in and accountable for ensuring the delivery of assistance, in various forms, to their target groups. These include many of the world's poorest, most naturally-triggered disaster- and conflict-affected people, their governments, and other entities responsible for contributing to the well-being of the population and the social, political, and economic stability and growth of the region and countries in which IHDOs operate. Leadership in these situations can be a significantly stimulating and rewarding experience, when tasks are accomplished, the right decisions have led to goals being met, and target groups are satisfied with the outcomes. Nonetheless, IHDO leadership in South Asia is also rife with challenges to face, hurdles to overcome, conflicts to mitigate, and problems to solve.

## **1.2 Statement of the research problem**

Several deficits have been found with IHDO leadership in the aid sector in South Asia, in both theory in the literature, and in practice, for which five primary reasons are seen to exist.

### **1.2.1 The appropriateness of the existing theoretical foundations for IHDO leadership.**

Firstly, and fundamentally, leadership in the aid sector or 'industry' generally has its philosophical basis and theoretical foundations in leadership theories that were predominantly developed for individual leaders in the western corporate and military worlds (Yukl, G. A., 2002; Williams, V., 2013). Whilst some of the elements of these theories remain of relevance today, the operating contexts, demands and challenges faced, as well as influences on IHDOs' leaders in 'their world', need a

different theoretical underpinning (Gulrajani, N., 2011). Some IHDOs adhere to the existing leadership models; some have elaborated, adopted and adapted their own (Dickmann, M. *et al.*, 2010; Jayawickrama, S., 2011; Knox Clarke, P. and Obrecht, A., 2015). Thus, leadership theories currently used in the aid sector are variable, divergent, and diffused. Whilst different organisations working in the sector have diverse mandates (short-term emergency aid, transitional or mixed humanitarian-development support, and longer-term development assistance to name the primary ones), many of the overarching contexts in which they operate are the same or similar. These include fragility (a lack of state authority, capacity, legitimacy or ability to protect the rights and well-being of its citizens) and increased complexity (in protracted conflicts or crises, working with internally displaced persons and refugees, forced migrants, against poverty, naturally-triggered and man-made disasters, and in dealing with corruption). IHDOs and their leaders work with teams, assisting victims of disasters and beneficiaries of their interventions. They advise and support governments, partner with local actors, and coordinate amongst themselves and with multiple other stakeholders. These actions are normally undertaken in multi-cultural environments, with an array of influences from these sources as well as from the changing demands and direction – both current and future – of the aid sector itself. Thus, the existing leadership theories are seen as not fit for purpose.

### **1.2.2 The complexity of the aid sector**

Secondly, the nature of the aid sector (in its entirety) has reached a point of such complexity that it holds multiple definitions (Christiansen, K. and Rogerson, A., 2005; Taylor, G. *et al.*, 2012). Several factors influence this including: new and diverse actors; increased donor proximity and priorities; the locus and focus of assistance required; the way funds flow as well as their volume; the rise of southern donors and south-south partnerships, as well as the sector's global declarations, agendas, and goals. Some refer to the provision of international aid as the aid sector or industry; others as the aid system, ecosystem or architecture. Some call it the humanitarian sector, the third sector or even the voluntary sector, whilst others refer to it as the development world. This confusion has led to more individualistic approaches being taken and fragmentation of the actors involved; "these" are growing and diversifying in their own right (Bigg, T., 2003; Rogerson, A. *et al.*, 2004; De Renzio, P. *et al.*, 2005; Gulrajani, N., 2011; Lundsgaarde, E., 2013). International, regional and local non-

government organisations, bi- and multi-lateral agencies, international organisations and institutions, philanthropic, socio-political foundations, civil society organisations, community-based organisations, as well as private 'for-profit' actors, constitute most but not all of the sector's main actors. Finding common ground for real coordination, cooperation and collaboration is increasingly problematic (Christiansen, K. and Rogerson, A., 2005; McIlreavy, P. and Nichols, C., 2013; Healy, S. and Tiller, S., 2014). Current thinking suggests a 'deconstruction and reconstruction' of the sector, with new architecture, and leaders 'letting go' (Bennet, C., 2018). However, initiatives have been taken. The 'cluster system' and sectoral working groups – predominantly for humanitarian organisations responding to crises – have been established. Other regional, global, and thematic platforms, networks and goals exist to bring IHDOs together around common causes (OECD, 2012; CHS, 2015a; Clarke, P. K. and Campbell, L., 2015; UNDP, 2015). Yet relationships (between actors such as the UN and INGOs, and their leadership within these constellations) are often asymmetric (De Renzio, P. and Mulley, S., 2006; Ferris, E., 2007; Sanderson, D., 2017). In some cases, these bodies either have exclusive membership (The Pakhumanitarian platform) or simply do not meet the needs of all actors now engaged in the aid sector (i.e. the cluster system is not focused on the work undertaken by more development-orientated organisations). IHDOs' leaders have to deal with this wide range of stakeholders and influences in parallel to getting on with the tasks at hand.

### **1.2.3 The leaders IHDOs' restrictive policies, procedures and practices**

Thirdly, inside their own IHDOs, leaders face an increasing demand for their time, stricter regulations for accountability and demand for transparency, as well as compliance with an increasing number of procedures and standards (Stoddard, A., 2003; Baron, R., 2007; Clarke, P. K. and Ramalingam, B., 2009; Featherstone, A., 2010). Diminishing space to look up and outside their own organisations (boundary scanning) as well as down and inside them, has become the norm. The human resource (HR) policies for recruitment, management, development, performance appraisal and retention of IHDOs' leaders vary enormously from organisation to organisation (Harris, H. and Brewster, C., 1999; Bonner, L. and Obergas, J., 2008; Dickmann, M. *et al.*, 2010; Buchanan-Smith, M. and Scriven, K., 2011; Hailey, J., 2015). Organisational culture – another strong factor influencing their own leaders – varies significantly between different IHDOs (Westwood, R. I. and Chan, A., 1992;

Silverthorne, S., 2010; Buchanan-Smith, M. and Scriven, K., 2011). Yet leaders moving into the aid sector, and within and between these organisations, and between different countries where they operate, are required to adapt to these new environments and influences (Mintzberg, H., 1975; Hailey, J., 2006; Maak, T. P. and Nicola, M., 2006; Hoppe, M. H., 2007; Bennis, W., 2009; Morris, B., 2011; Trompenaars, F. and Hampton-Turner, C., 2012). Not all IHDOs provide both specifically-targeted capacity development measures for their senior leadership, as well as providing enough space for leaders' self-development (Bonner, L. and Obergas, J., 2008; Silverthorne, S., 2008; Alnoor, E. and Rangan, V. K., 2010). Where capacity development measures exist, they dominantly address leadership competencies and not characteristics (Senge, P., 1990; Emmens, B. and Swords, S., 2010; Buchanan-Smith, M. and Scriven, K., 2011; ELRHA, 2012b). These, and many other aspects of the leadership of IHDOs, including: policy formation and strategic direction; development of a vision and mission; programmatic aspects; HR and finance management, and defining priorities and principles, are often viewed very differently by IHDOs HQs' personnel and those in the IHDOs' countries of operation (Curtis, D., 2001; Clarke, P. K. and Ramalingam, B., 2009). These divergent perspectives are an age-old debate that has still not been addressed but that still has real implications for how effective and efficient IHDO leadership can be.

The actual number and typology of IHDOs and the number of their personnel – in both international and national leadership and staff positions – remain unknown entities to this day (Marcos, F. R., 2010; Walker, P. and Russ, C., 2010; Taylor, G. *et al.*, 2012). Depending on the source, these numbers, both for the organisations and the staff, differ in their thousands and 100's of thousands respectively (Chapter 3, sections 3.4.1 and 3.4.2). The 'leadership structure and constellation' within IHDOs (depending on their size, mandate, *modus operandi* and objectives), also varies (Lyne de Ver, H., 2009; Knox Clarke, P., 2014; Hailey, J., 2015). Some establish 'collaborative leadership teams' (George, B., 2011; Knox Clarke, P., 2014); others remain with the 'flag-bearer' individual leader (Sida, L. *et al.*, 2012; Clarke, P. K., 2013). Where and how the role, functions, and tasks are undertaken by these different leadership constellations are also viewed from divergent positive and negative perspectives: by different IHDOs, by leaders, and by their followers (Chapter 6, section 6.3.6).



#### 1.2.4 The bi-polar debate on professionalism within the aid sector

Fourthly, the issue of professionalism and the global debate about more professionalisation of the aid sector abounds (Bonner, L. and Obergas, J., 2008; Nugyen, K., 2010; Camburn, J., 2011; Aidsource, 2012; Russ, C. and Smith, D., 2012; ELRHA, 2013; Roiphe, R., 2013). The roots of professionalism date back centuries, and include: a monopoly over the use of a specialised body of knowledge; technical specialisation and skills; qualifications from accredited academic institutions; self- or peer (internal) regulation; certified entry to the sector; appropriate attitude and behaviour; client service-orientation, and adhering to an established code of ethics and conduct (Friedson, E., 2004; Drach-Zahavy, A. and Somech, A., 2006; Crook, D., 2008; Malin, N., 2008; Muzio, D. and Hodgson, D., 2013). Many of these tenets are juxtapositioned to the requirements presented in the aid sector's literature, and to IHDOs leaders' needs (Ramalingam, B. *et al.*, 2009; Marcos, F. R., 2010; Cooper, G., 2012; Derderian, K., 2013). Hence, in parallel to the effectiveness of leadership being challenged, and perhaps in relation to this critique, professionalisation within the aid sector and IHDOs is also questioned. The current agendas of sharing lessons learned, and of leaders being appraised on performance, accomplishment and impact of their work, hold greater sway (Friedson, E., 2004; Ball, S. J., 2008; Lunt, I., 2008; Woods, N. *et al.*, 2015). Some IHDOs promote the need for certified entry to the sector, yet this is disputed as being exclusive (Stoddard, A., 2003; Walker, P. and Russ, C., 2010; Darcy, J. and Clarke, P. K., 2013; Shanks, L., 2014).

However, whether (and how) the sector as a whole, IHDOs, and individual leaders, should become more professional remains a bi-polarised debate (Buchanan-Smith, M., 2003; Van Wassenhove, L. N., 2006; Clarke, P. K. and Ramalingam, B., 2009; HAP, 2010; Camburn, J., 2011; ELRHA, 2012c; Kellerman, B. 2018). Many of these professional tenets are seen more as hindrances than measures that support IHDOs leadership, bringing increasingly more stringent and tighter regulations and controls, and less freedom for leaders to be able to manoeuvre appropriately within the increasingly complex environments in which they operate (Hochschild, F., 2010; Johnson, M., 2010; Buchanan-Smith, M. and Scriven, K., 2011; MSF, 2012; Knox Clarke, P., 2014). Recent discourse sees leadership as a profession, though Kellerman (2018) proposes that without changes in the way that leadership education, training and development are provided, it will remain just an occupation.

### 1.2.5 The multiplicity of IHDOs' leaders

Fifthly, IHDOs' leaders are a (currently globally-unknown) broad range of individuals, from diverse backgrounds and cultures, with varied experiences, characteristics, competencies, attributes, leadership styles, and approaches (Hailey, J., 2006; Bonner, L. and Obergas, J., 2008; Dickmann, M. *et al.*, 2010; Marcos, F. R., 2010). The backgrounds from whence they emerge are also diverse and changing, be they different countries, a range of organisations, or indeed from different cultural environments and contexts (Rotemberg, J. J. and Saloner, G., 1993; Tandon, R., 2000; Barnett, R., 2008; Lunt, I., 2008; CCL, 2012; Trompenaars, F. and Hampton-Turner, C., 2012). The capability, confidence, and willingness to use daily-demanded attributes such as intuition and versatility, are often overshadowed by the lack of institutional and organisational space and time provided (Suzuki, N., 1996; Van Ruler, B., 2005; Bennis, W., 2009; Hochschild, F., 2010; Morris, B., 2011; Clarke, P. K., 2013; GIZ, 2013). The complex environments in which IHDOs' leaders operate demand that they are able to draw on and capably utilise a broad range of skills, tools and approaches, and to tackle multiple problems and issues simultaneously (Schön, D. A., 1983; Barnett, R., 2008; Lunt, I., 2008; Bennis, W., 2009; Hailey, J., 2015; OECD, 2015; UNDP, 2016). They are often required to bring multiple solutions and options to decision-making and problem-solving: two of their daily undertaken functions (Locke, T., 2001; De Renzio, P. *et al.*, 2005; Bennis, W., 2009; HPG, 2009; Lyne de Ver, H., 2009; Hochschild, F., 2010; Kumar, R. *et al.*, 2011; Trompenaars, F. and Hampton-Turner, C., 2012). Yet many leaders are not provided with the tools and know-how by their IHDOs, and some apparently do not come to, nor operate within, their IHDOs with these capabilities (Clarke, P. K. and Ramalingam, B., 2009; UNDP, 2009; Harvey, P. *et al.*, 2010; Johnson, M., 2010; Buchanan-Smith, M. and Scriven, K., 2011; Russ, C. and Smith, D., 2012; Snook, S. *et al.*, 2012; Hailey, J., 2015; Fernández-Aráoz, C. *et al.*, 2017). Whoever the current and future IHDOs' leaders are, whether they were born as leaders, made, or both, from wherever they come and however, whenever and wherever they move and operate within the aid system, they should existentially be aware of, address and incorporate these five aspects (leadership theory, influences from the aid sector, from IHDOs and from themselves, and professionalism) in their work as leaders.

### 1.3 Rationale and purpose of the study

As an IHDO leader for eighteen years – fifteen of which have been specifically in South Asian countries – this researcher has witnessed, been party to, and felt the implications of the previously-mentioned issues and concerns. The need to address these issues is great, and growing. This researcher completed a distance-based Master's Degree in 2010, looking at *'the disengagement strategies of IHDOs in Sri Lanka'* (Walker, A. 2010) whilst working in Sri Lanka, the Democratic Republic of Congo, India and Haiti. Within this research, many of the issues raised were directly influenced by the way leadership in IHDOs was being handled. Already motivated to continue post-graduate studies, and following new empirically-grounded observations and reading, this researcher was inspired to continue with post-graduate research, initially on the effectiveness of IHDOs leadership in South Asia. So even when the Master's degree was completed, this researcher was not finished (nor academically satiated), as a new research target had already presented itself.

During the initial period after registration with Oxford Brookes University, the purpose of this study began as a bifocal look at effective leadership (with an emphasis more on the role of national personnel in leadership positions) and the emergent debate around professionalism in the aid sector. Yet, in addressing effectiveness without touching on efficiency, the study was felt to be lacking. Addressing national IHDOs leadership and excluding the international staff in these positions, also lacked substance. Hence, following substantial literature review, this research focuses on success factors for IHDOs' leaders. With IHDO leadership experience in three South Asian countries – India, Sri Lanka, and, at the time of commencing the research, Pakistan – and here too witnessing these same research problems, rationale was provided for the research locus. Having deep insights and understanding of the context in which this research was carried out posed advantages and disadvantages. On the one hand, this added certain risks of bias and perspectives (see Chapter 5, section 5.2.3) but on the other, the proximity to this research's locus provided for a much richer consideration of the nuances associate with the contexts in which IHDO leadership operated and functioned; particularly in relation to the perceived issues (e.g. cultural dimensions and their influence). With this background, this researcher set out to identify, analyse and present factors and influences that enable, improve, or constrain the successfulness of IHDOs' leaders and leadership.

## 1.4 Research objectives

Three main research objectives were established.

Firstly, the research aimed to identify, analyse and evaluate pertinent leadership qualities (characteristics, competencies and attributes), and influencing factors (from the aid sector, leader's own IHDOs, from culture, from themselves and their teams) that contributed to successful leadership. Results of the findings were to be presented as applicable and practical solutions for improved leadership in IHDOs in South Asia.

Secondly, the research targeted professionalism, and its relationship to IHDO leadership. This covered an exploration of its existing elements, their relevance for IHDO leadership today, and to advance if, whether and how, professionalism could be adapted to better support leadership success in IHDOs. This also included the elaboration of an aid sector and IHDO leadership-relevant framework of professionalism.

Thirdly, the research aimed to provide an individual, unique and new contribution to the literature in the field of aid sector leadership. This included the elaboration of a new aid sector-specific leadership theory and its underpinning principles.

## 1.5 Research questions

To identify solutions to the research problem and attain the research objectives, one overarching and three sub-research questions were established as follows:

*How can leaders and leadership be more successful<sup>1</sup> in international humanitarian and development organisations in South Asia?*

- 1. Which characteristics, competencies and attributes are essential for IHDOs' leaders?*
- 2. What factors influence the success of IHDOs' leaders and leadership?*
- 3. How can professionalism contribute to better leadership in IHDOs?*

Given the research problems, and the philosophical and epistemological perspectives of the research and this researcher, no hypothesis was established for this research; the rationale and

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<sup>1</sup> See Section 1.8 for an explanation of key terms used in this thesis

explanation for this approach is presented in Chapter 4. Pragmatism and the application of ‘mixed methods research’ – following the *explanatory sequential design* (Chapter 4, section 4.3-6) – focused the study on identifying practical solutions to the real-world problems faced by IHDOs’ leaders and leadership of becoming more successful.

## **1.6 Scope and scale of the study**

Leadership is an incredibly broad subject, already studied for many years, and not just in the aid sector. Thus, whilst addressing it as a subject, the focus of this research is more concerned with the factors for and influences on leadership – specifically within the aid sector in South Asia – which hinder or contribute to enhancing the success of IHDOs’ leaders and leadership.

South Asia as a region provides many if not all the conditions and demands where IHDOs are, and need to be, operational. Whilst covering all the South Asian countries in this study would have been more representative in nature, logistically, organisationally and financially this would have been impossible for this researcher. Consequently, the locus of the study centred on three of the region’s countries (India, Pakistan and Sri Lanka). Additionally, this researcher had worked extensively in all three countries as an IHDO leader in different types of organisations. This enabled a deeper exploration, and provided additional insights and perspectives, facilitating more advanced understanding of the conditions that IHDOs’ leaders face. However, as only three of the eight South Asian countries form the locus of this research, data collected was therefore more ‘inferential’ than ‘representative’ of the region as a whole.

Forming the foundations of this research, an extensive literature review – given the scope and scale of the subject matter (success factors for IHDO leadership in South Asia) – was undertaken. A total of 1494 documents (including books, articles, journals, working papers, web-pages, reports, and multi-media sources) were reviewed, documented, analysed and interpreted. Only the most pertinent of these feature in this thesis. EndNote was used as the instrument for managing and storing this information, and providing the basis for the elaboration of this thesis’ bibliography. This literature then provided the foundations of the research, formed the basis of the research questions and the background to the methodology applied.

Firstly, the methodology selected for this study obtained the opinions of a broad spectrum of IHDOs' representatives operating both in the three countries and in their organisations' HQs. A total of 180 participants of 22 nationalities from over 109 different IHDOs completed a quantitative online survey. These insights paved the way for the establishment of the qualitative sampling.

Secondly, rather than then trying to carry out the research with a broad spectrum of IHDOs operating in the three countries, three IHDOs (hereafter referred to as the 'sampling organisations') – Medicines sans Frontiers (MSF), the Oxford Committee for Famine Relief (Oxfam), and the Deutsche Gesellschaft für Internationale Zusammenarbeit, GmbH (GIZ) – were selected. This selection enabled numerous comparisons of responses between the different organisational types, and across the three different research countries. These IHDOs originate from three different European countries; they have three different backgrounds and cultures; use three different types of donor and funding sources; adhere to three different mandates; have different sets of stakeholders, and have very different objectives along the emergency-transitional-development continuum.

Yet to gain an all-encompassing perspective of IHDO leadership, it was also deemed essential to collect the opinions of representatives of the main stakeholders of each individual IHDOs' leaders, using a more qualitative approach. Thus, other opinions and perspectives were sought, using both KII's and focus group discussions (FGDs). In each of the three countries, these were held with a selection of each leader's direct team or followers (predominantly national staff), their IHDOs' main donor representatives, regional representatives of each IHDO dealing with HR issues generally and in their own recruitment specifically, and with representatives of the host governments responsible for dealing with international organisations working in these countries. This provided for a holistic understanding of IHDO leadership, incorporating the many perspectives provided. Sixteen KIIs and seven FGDs were undertaken. Their findings were compared against each other, across the different organisations and countries, with the literature reviewed, and with the results of the previously-undertaken survey.

The scope of issues covered was very broad, including their innate, learned and developed characteristics, competencies and attributes, the numerous influences that affect them, and how and whether professionalism plays its own role in contributing to leadership success. The research

methodology chosen was deemed as appropriate to cover this scope as ably and robustly as possible. Each research phase had its rightful place in playing a part in identifying responses to the research questions, and consequently the factors that contributed to IHDO leadership success. A range of research limitations have, however, been documented at the end of Chapter 5.

## **1.7 Significance of the study**

IHDOs' leaders play a catalytic role in the preparation, planning, delivery, monitoring, evaluation, and reporting of international aid to the three selected countries in South Asia: India, Pakistan and Sri Lanka. *Learning* from this study can provide five intended benefits for IHDOs leadership in the three selected countries from South Asia (India, Pakistan and Sri Lanka), for IHDOs operating in this region (and beyond), and for the world of academia.

Firstly, grounding IHDOs' leadership in South Asia upon new aid-sector relevant leadership theory, provides a common philosophical base that all IHDOs' leaders can adhere to. This can support their work as leaders, and enable their smoother transition between IHDOs and different countries and in and out of the aid sector. The study's empirical findings offer practical solutions for supporting IHDOs' leaders in the daily challenges they face (Chapter 9, sections 2-4).

Secondly, the proposed set of re-defined and additional tenets of professionalism can contribute to resolving the debate on how the professionalisation of the aid sector generally, and in South Asia specifically, can contribute to enhancing IHDOs leadership. More successful leadership can address and dissipate the deficits mentioned in the literature, responses from the survey and sampling organisations' participants, and personal observations and experiences of this researcher.

Thirdly, with the influential role that IHDOs' leaders play in the planning and delivery of international aid, the sector as a whole in South Asia can become more effective and efficient. This facilitates the potential for improved coordination, cooperation, and collaboration to take place between different IHDOs and leads to enhancing synergies rather than that they work in isolation (Chapter 3, section 3.3.2; 3.3.4 and 3.6.1; Chapter 7, section 7.4). The satisfaction of IHDOs leaders' key stakeholders, including their teams, IHDOs' beneficiaries, their donors, host governments, and IHDOs' HQs, can be improved.

Fourthly, and from an academic perspective, material from this research can be utilised in the necessary increased development of concepts and content for new syllabi and curricula in universities and other adult training centres. It can provide further opportunities for further research, based on the recommendations elaborated in Chapter 9.

Fifthly, with further trial and testing of the proposed theoretical and practically-oriented solutions, more effective and efficient planning and delivery of aid to the South Asian region, can be achieved by IHDOs and their leaders.

## **1.8 Explanation of key terms**

All the key terms presented throughout this thesis are elaborated on in Chapters 2 and 3 and in subsequent chapters. However, it is important to explain several of them ahead of this.

Leaders and leadership can be found at every level within an organisation. From Governors of Boards of Directors; Chief Executive Officers; Heads of Departments in IHDOs' HQs; Country Directors, Chief of Party's or IHDOs' Representatives in their countries of operation; Programme, Project, Finance and Administration Directors; Senior Advisors and 'Team Leaders'; right down to the 'lead' driver in a pool of drivers: leaders exist, and leadership is necessary.

However, the term 'Leader', for this thesis, refers uniquely to IHDOs' senior individuals and officials, with the highest levels of authority and responsibility in an organisation (either at HQ - at divisional or departmental level, or country-level - in the latter case Country and Programme Representatives). Leaders need a high level of a broad range of qualities and should use them effectively. In this thesis these include their characteristics, competencies, and attributes (a blend of both). Leaders are responsible for the effective and efficient exercise, use and distribution of power within their organisations. Their responsibilities include (but are not limited to) providing vision and both current and future direction for the organisation, representation, steering, innovation, strategic decision-making, motivating staff (followers) towards meeting common objectives, and being overall accountable for the achievements of these objectives.

'Leadership', for this thesis, comprises two meanings. The first is simply a collective of the above-mentioned leaders, (i.e. an IHDO's 'leadership team') or, if not directly working together or



collaboratively as a team does, the leaders within IHDOs (be they in HQs or in their countries of operations) that undertake the above roles, functions, and tasks. The second meaning is the art and approach of capably undertaking and carrying out the responsibilities and actions required of, and for, leading.

'Success' is often associated with personal achievement, accomplishment of goals in personal and professional life, excelling in multiple areas, attainment of a high level of financial status or volume of assets, or simply finding happiness. For this thesis, given that one of the aid sector's overall objectives is the improvement of the lives of others, IHDOs' leaders and leadership success signifies something less personal. Therefore, success in this context, and for this thesis, is described as, *'ensuring the well-being and satisfaction of the key stakeholders of the leader's IHDO, achieved through the way the leaders and leadership of IHDOs perform'*. This description is based largely on the Organisation for Economic Cooperation and Development's (OECD) Development Assistance Committee's (DAC) criteria of effectiveness, efficiency, impact, relevance and sustainability; all of which should, if accomplished by IHDOs leaders, improve the lives (both personal and professional) of the intended target groups and stakeholders, and fulfil their satisfaction (Austrian Development Agency, 2009). Many of these key stakeholders are mentioned throughout this thesis and examples were selectively targeted from the sampling organisations as described in Chapter 5, and whose opinions are presented in Chapter 7. Based on this description, the 'success factors' that influence and affect IHDOs' leaders and leadership, and that must be considered and addressed by them and their organisations, are the main focus of this research.

'Characteristics', for this thesis, refers to innate, learned and developed attitudes behaviours, traits, styles and values (Likert, R, 1961; Drucker, P. F., 1989; Christiansen, K. and Rogerson, A., 2005; Walker, P. and Russ, C., 2010). Zaccaro, S. J., 2007; Painter-Morland, M., 2008; Clarke, P. K. and Ramalingam, B., 2009; Stacey, M. A., 2009; Toor, S. and Ofori, G., 2009; Johnson, M., 2010; Scouller, J., 2011; Shebaya, M., 2011; Brown, B. C., 2012). They reflect the 'soft', more personal qualities of leaders, or 'intangible capabilities' (Hailey, J., 2015), and do not refer (unless otherwise mentioned) to leaders' physical characteristics. Whilst leadership styles are encompassed (for this thesis) *within* the term characteristics, given that there are leadership models founded around and

discussing leadership styles, they have been given additional prominence in Chapter 2, section 2.2.8). The main characteristics referenced in the literature, ranked by the quantitative survey's respondents, and based on the opinions of the sampling organisations' participants, are presented in Annex 2.

'Competencies', for this thesis, refers predominantly to developed and learned abilities, skills and knowledge (Fiedler, F. E., 1967; House, R. J. and Dessler, G., 1974; Lester, S., 2002; Whitehead, J., 2002; Bolden, R. *et al.*, 2003; Rooke, D. and Torbert, W. R., 2005; Drach-Zahavy, A. and Somech, A., 2006; Parker, M., 2006; Lunt, I., 2008; Bennis, W., 2009; Stacey, M. A., 2009; Evetts, J., 2010; Camburn, J., 2011; Cruess, R. L. and Cruess, S. R., 2012; Hailey, J., 2015). These 'harder' professional qualities are usually accompanied by or founded on formal (training or education) or informal (situational) experience, and hence 'experience' – given its intrinsic nature – is also included in the description (within this thesis) of competencies. The main competencies referenced in the literature, ranked by respondents to the quantitative survey, and based on the opinions of the qualitative sampling organisations' participants, are presented in Annex 3.

'Attributes', for this thesis, refers to phenomena related to leadership that are a combination of both characteristics and competencies (chapter 2, section 2.2.7; chapter 3, section 3.5.3; Chapter 6, section 6.3.3; Chapter 7, section 7.5). Two specific attributes – intuition and versatility – are highlighted (Schön, D. A., 1983; Lee, S. K., 1987; Ling, W. and Fang, L., 2003; Barnett, R., 2008; Bennis, W., 2009; Hochschild, F., 2010), founded upon a blend of leader's softer characteristics (e.g. willingness, courage, self-confidence, self-awareness, self-conviction, instinct), and harder competencies (capability, adaptability, skill, knowledge, and experience).

'IHDO', for this thesis, refers to international short-term focussed humanitarian (emergency) organisations; medium-term focussed transitional assistance organisations (that undertake both humanitarian and development work – referred to in this thesis as 'transitional'), and longer-term focussed developmental organisations. All these international organisations (be they for or not for-profit, non- or government-related, from the private or voluntary sector, of philanthropic or other nature), implement activities, projects or programmes, or provide services or products that contribute to the betterment of lives and the well-being of others, be they individuals, organisations, or state

entities. This occurs predominantly in countries where emergency or development assistance is required. However, the term has several other implications, and, as such, a much more detailed explanation, and proposed definition (with examples), is provided in Chapter 3, section 3.4.

## **1.9 Structure of the thesis**

### **1.9.1 Rationale and logic of the thesis structure**

Leadership, in any sector or field of research, is an immense subject to address. Given the intended target audiences of this thesis – dominantly IHDOs' leaders and their organisations, but secondarily the world of academia – it is important to have thoroughly covered both theoretical as well as practical aspects. Undertaking a mixed methods approach to this research naturally incurred both the need to elaborate on the theoretical and practical application of the methodology, as well as present both quantitative and qualitative findings.

Contrary to the norm of having separate individual chapters for literature review, methodology, research findings, and data analysis, this researcher decided to structure this thesis so that readers could easily distinguish between the theory and the practice of this research, whilst enabling the correlations between and chronology of the different research stages – and between the theory and practice – to be understood.

Hence, and due to the importance placed on presenting both theoretical and practical aspects, there are two literature review chapters (Chapter 2 - theory; Chapter 3 - practice), two methodology chapters (Chapter 4 -theory; Chapter 5 - practice), and two findings and analyses chapters (Chapter 6 – quantitative; Chapter 7 - qualitative). The latter two chapters, 6 and 7, each present both analysis and findings. This same two-pronged logic has also been applied to the research conclusions, which presents both the newly-elaborated leadership theory of versatility and its underpinning principles (Chapter 8), and practical applications and solutions proposed for successful IHDO leadership (Chapter 9). With this background and rationale for the thesis structure, a brief overview of each of the following chapters, the references, and annexes, is now presented.

### **1.9.2 Chapter 2: Literature review – theory, concepts and definitions**

Chapter 2 introduces leadership, the main western leadership theories (and one Asian-based theory), and leadership concepts and definitions. It presents the extent of alignment between these existing leadership theories and the realities for IHDOs' leaders, and also explains which theories still have some relevance for leaders' work in the aid sector in South Asia. It tackles the often-discussed issues of leadership and management, and presents some of the main leadership styles.

The chapter covers some of the main qualities of leaders (pertaining to this research), aligned to key themes that flow throughout the thesis and based on the research questions: leadership characteristics, competencies and attributes. It elaborates on three factors that influence leadership success, namely their followers, the multiple dimensions of culture, and professionalism. This latter subject is discussed in more depth given the implications for leaders related to the current (bi-polar) discourse about professionalising the aid sector. Finally, implications for this research are presented.

### **1.9.3 Chapter 3: Literature review – reality and practice**

Chapter 3 provides a brief overview of South Asia and the three countries selected as the locus of this research: India, Pakistan and Sri Lanka. It highlights the issues and challenges they face, and the rationale for the engagement of IHDOs therein. The chapter goes on to introduce the aid sector or 'industry' and provides some insights into some of the global initiatives taken, as well as challenges that leaders face from the aid sector. It presents three pertinent aspects of the sector that IHDOs' leaders have to deal with, namely governance and reforms, donors and funding, and some of the changing standards used for measuring poverty and poverty reduction (key amongst the influences given the aid sector's goals and need to measure them).

The chapter then introduces the concept and definition of 'IHDOs', and provides a more all-encompassing definition for the different types of organisations working in the aid sector than the more limiting 'International Non-Government Organisations' (INGOs). It presents some of the issues faced in relation to personnel working in the aid sector, and influences from the corporate world. It then introduces the three sampling organisations used for the qualitative aspect of the research.

Following this, an overview of leadership in the aid sector is provided, including the challenges they face and the currently-documented leadership deficits. It describes the main influences IHDOs' leaders have to deal with (again related to the research questions) including those from the aid sector, from their own organisations, and from various cultural perspectives. This section culminates with a look into which characteristics, competencies and attributes can support IHDO leaders in being more successful. The next section covers professionalism: how it constrains IHDOs leadership, its potential advantages for IHDOs' leaders, and how and whether it can support better IHDOs leadership.

Finally, implications for this research, from all the literature reviewed, are presented, forming the basis for the elaboration of this research's questions.

#### **1.9.4 Chapter 4: Methodology – philosophy and theory**

Chapter 4 focuses on the philosophical and theoretical aspects of the research methodology. It discusses the philosophical framework and presents this research's questions, explaining why the research is based on these rather than on a hypothesis. It introduces this researcher's epistemology, ontology and axiology, elaborates on pragmatism as this researcher's philosophical standpoint, and explains the rationale for this.

The chapter goes on to introduce the research's cross-sectional design, the use of mixed quantitative and qualitative methods, the relevance of using the *explanatory sequential design*, and their rationales.

The following section provides an overview of the theory related to research criteria: validity, reliability and replicability. Penultimately research ethics are covered, and how they were applied.

#### **1.9.5 Chapter 5: Methodology – application and practice**

Chapter 5 focuses on the practical application of the methodology and methods used. It introduces the research target group and the problems faced in sourcing and identifying them. This includes the surveyed organisations and respondents, and the sampling organisations and participants. The next section briefly covers the locus of the research, based in South Asia, and the rationale for these methods being applied in the identified sampling organisations and in the three countries selected.

The methods and approaches used for data collection are then presented, as are justifications for their use.

The survey, survey instrument, questionnaire design, piloting and trial, how it was undertaken and the response rate to the actual survey (including explanation for this) are subsequently presented. The sampling frame, based on the findings from the survey, is then explained. This includes the use of KIIs and FGDs from the sampling organisations, as well as with whom they were both intended and actually undertaken.

Penultimately, the instruments used as a basis for both quantitative and qualitative data analysis (SPSS, Excel and NVIVO) are presented with the rationale for their use. Finally, the main limitations faced in undertaking this research are presented.

### **1.9.6 Chapter 6: Quantitative findings and analysis**

Chapter 6 presents the quantitative analysis and findings derived from the online IHDO leadership survey circulated to IHDOs' personnel in the three South Asian countries and their HQs. It introduces the respondents of the survey and exposes – using graphical charts and tables – their opinions and perspectives from which descriptive analysis and interpretation is presented.

Based on the literature and the research questions, the survey (Annex 6) concentrates on the following themes. Firstly, the main characteristics, competencies, and attributes required for successful leaders are covered. Secondly, influencing factors from the theories (e.g. team, task and individuals), IHDOs, the aid sector, the context, and culture are examined. Thirdly, the locus of leadership facets – role, functions, and tasks – from a range of individual leaders through to leadership teams, are explored. Fourthly, continuous professional development (CPD) measures are briefly presented, as are the main stakeholders involved in IHDOs leader's performance assessments. Fifthly, the last section covers professionalism: the central tenets, standards, and their relevance for today's and tomorrow's leaders, and leaders' self-development.

Analyses and interpretation of these findings provides insights for responses to the main research questions and stimulus for the subsequent qualitative sampling from the selected organisations.

### **1.9.7 Chapter 7: Qualitative findings and analysis**

Chapter 7 presents the qualitative analysis and findings from the sampling organisations. The chapter is structured around the main research themes (research questions) and statements made by the sampling organisations' participants. The participants' descriptive ideas, opinions and perspectives are analysed, interpreted and conceptualised. Their statements endorse, substantiate, dispute, diverge from or add new dimensions to the survey findings. Additionally, participants' responses are compared to identify further trends, similarities or discrepancies of perspective as they relate to the different themes. The findings are based on results of the analysis of KIIs and FGDs undertaken. The structure and content of the KII and FGD frameworks (Annexes 6 and 7) are themselves based on the findings extrapolated from the survey, influenced by the literature, and are relevant in relation to the need to respond to the research questions. Selected sampling organisations' participants' statements are taken from full text transcripts which were coded, analysed, and approved for use by the participants. The three sampling organisations all provided their approval for this research in writing to the researcher (Annex 10) However, several of the individual themes covered in the survey findings in Chapter 6 are clustered under 'influencing factors' (i.e. CPD and the stakeholders of IHDOs leaders' performance appraisals), as they were seen not to require further individual in-depth presentation and analysis in this chapter. Thus, the main themes covered in this chapter are: leadership characteristics, competencies and attributes, influencing factors, and professionalism.

### **1.9.8 Chapter 8: Research conclusions for the theory**

Chapter 8 presents the theoretical conclusions from the research, focussing on the new leadership theory elaborated. This theory is based on the literature reviewed, and findings and analysis from both quantitative and qualitative phases of the research.

The chapter presents the need for leadership theory in the aid sector in South Asia, given the significant differences in circumstance that IHDO leaders face, and where current leadership theory is lacking. The elaborated theory of versatility, together with its six underpinning principles are then introduced. How the theory evolved, its rationale, and foundations – including referral to existing

leadership theory – is then presented. The theory covers IHDOs leadership specifically, and includes the aid sector and professionalism more generally.

### **1.9.9 Chapter 9: Research conclusions for successful leadership practice**

Chapter 9 covers practical applications and solutions. It focuses on leadership practice that provides responses to themes within this research's sub-questions: characteristics, competencies, attributes, influences (with a focus on the aid and private sectors, operational context and culture), and professionalism.

The chapter presents the conclusions for the overarching research question, "*How can leaders and leadership be more successful in international humanitarian and development organisations in South Asia?*" Based on all the research findings, analysis, interpretation, and this researcher's 15 years of observations and experiences in South Asia, practical solutions are presented to support more successful leaders and IHDOs leadership in the aid sector in the region.

Finally, further research recommendations are proposed. These include suggestions for follow up research based on this research's findings, analysis and conclusions, means and approaches to testing the theory of versatility elaborated, and suggestions for new research that would add value and significance to these findings in light of their South Asian orientation. The recommendations also propose that more research and analysis is necessary into IHDOs' leaders and leadership, from the perspectives of their performance and, more importantly, their stakeholders' satisfaction as empirical measures of success. The chapter concludes with suggestions for providing broader value from this research, undertaken in the South Asian region, and how it could be instrumental for IHDOs' leaders and leadership in the aid sector on a more global scale.

### **1.9.10 Chapter 10: References**

Chapter 10 presents the references of literary material reviewed and cited. The literature, for a study of as broad and complex subjects as leadership and professionalism, spans several centuries. Whilst the most recent literature on both these subjects is covered to as great an extent as possible, the origins of and theories behind both subjects required a deeper probing into literary history. Only the



most pertinent and relevant literature, from a vast selection examined and documented as a bibliography for this thesis, has been referred to.

### **1.9.10 Chapter 11: Annexes**

The annexes present five different types of support documents.

Firstly, the results of the study of IHDO leadership are presented: in terms of references in the literature, empirical findings from the survey respondents, and opinions from sampling organisations' participants for characteristics (Annex 2) and competencies (Annex 3).

Secondly, those of direct relevance to the study in terms of its implementation are included, (i.e. the survey questionnaire (Annex 6), and KII and FGD frameworks (Annexes 7 and 8)).

Thirdly, and from a formal and administrative perspective, the participant information sheet (Annex 4), the participant consent form (Annex 5), and the sampling organisations' letters of approval (Annex 10) all provide proof of the rigour as well as professional and ethical diligence applied to this research.

Fourthly, two examples are presented in terms of the way data was captured, stored, structured, and used for the literature review in the EndNote bibliography screenshot (Annex 9), and the coding established for compartmentalising the sampling organisations participants' responses in NVIVO (Annex 11).

Fifthly, an example of a commonly-utilised HR Framework from the Consortium of British Humanitarian Agencies (CBHA) is presented (Annex 1). This exposes two factors, namely, (1) that this targets (not all) humanitarian organisations, and not development organisations, and (2) its title defines it as focusing dominantly on competencies and, to a far lesser extent, on characteristics. The two key attributes of intuition and versatility – shown as essential for IHDOs leadership in South Asia, and explored in this research – are stark in their absence from this example of a commonly-applied HR framework.

## **1.10 Summary of the introductory chapter**

This chapter introduces the background to this doctoral research, describes the research problem as a deficit in IHDOs leadership, and elaborates on reasons for this. It goes on to present the rationale and purpose for the study, as well as the research objectives and the foundations for the research (the research questions). Next, the scope and scale of the study are covered, including the decisions behind both the focus and locus of the study. The significance of this research – for leaders, IHDOs, the aid sector, and for academics – is then given.

Explanations of the key terms utilised throughout the thesis are provided for reference, in relation to the research focus and research questions. Next the rationale for the thesis structure is elaborated, followed by a brief overview of each chapters' contents. Finally, an overview of the different types of annexed documents is presented, with an explanation of the individual purpose that each serves.

## 2. Literature review: leadership theories, concepts and definitions

*“There is nothing more difficult to take in hand, more perilous to conduct, or more uncertain in its success, than to take the lead in the introduction of a new order of things”*

Machiavelli (1513) in Coquillet (1994)

### 2.1 Overview of this chapter

This chapter covers the literature behind the main theories, concepts and definitions of leadership. It describes the level of their appropriateness as a basis for leadership in the aid sector. It goes on to explore the relationships between leaders and managers as well as that between leadership and management. Leadership characteristics, competencies and attributes are then unpacked and both leadership styles and traits, and leaders' followers are introduced. Next, the chapter discusses the multiple dimensions of culture and leadership. Penultimately, the definition and tenets of professionalism are examined, in relation to their current and future relevance for leaders in the aid sector. Finally, implications for this research are extrapolated from the literature reviewed, forming the basis of the following chapter's areas of study.

### 2.2 Leadership

Much research on leadership has been undertaken, with many references taken from the 19<sup>th</sup> Century (Yukl, G. A., 2002). However, Alves *et al.* (2005, p. 9), posited that, *‘Initial leadership studies focused on major historical figures, such as Buddha, Mohammed, Gandhi, or Churchill, but the discussion of leadership as a process may have been originated by Machiavelli in the sixteenth century’*. Alves *et al.* (2009, p. 2) added that, *‘In the West, leadership has long been treated as a global field of study borrowing from Eastern and Western classic teachings including Aristotelian, Confucian, and Buddhism, and more recent ones such as Machiavelli and Hobbes’*. Yet Bennis and Nanus (1978) proposed it still remains one of the least understood researched subjects to date. Leadership theories, models and definitions have emerged from numerous traditions and sectors including those of industry, the military, the scientific world and academia, and, more recently, philanthropy and information technology. Due to these diverse sources of influence on the theory,

there exists no single commonly-acknowledged or accepted definition for leadership (Cuban, L., 1988; Bass, B. M., 1990; Leithwood, K. *et al.*, 1999; Yukl, G. A., 2002; Legace, M., 2010; Bush, T. and Glover, D., 2013). Jones (2005, p. 259) affirmed that, '*The field of leadership studies has not succeeded in articulating a coherent, paradigm-shifting model or approach that both scholars and practitioners can accept and work with*'. Shebaya (2011, p. 65), in an astute exploration of leadership development, asked the following questions:

*If leadership is such a highly complex process, then where can we find individuals that are able to master this complexity? If leadership is teachable and learnable, then how can we gain efficiency in developing its potential and the competencies it involves?*

However, according to Snook *et al.* (2012), the state of leadership education lacked intellectual rigor and institutional structure. Just as there is no consensus on whether there is one best leadership style (Legace, M., 2006), '*There is clearly no consensus on the one best way to teach leadership*' (Snook, S. *et al.*, 2012, p. 3). Yet many exponents have argued that leaders are born and not made (Carlyle, T., 1841; Galton, F., 1869; Bowden, A. O., 1926; Bingham, W. V., 1927; Vroom, V. H. and Yetton, P. W., 1973; Jago, A. G., 1982; Drucker, P. F., 1989; PIU, 2007). In contrast, many have stated that leaders are made, not born (Fiedler, F. E., 1967; House, R. J. and Dessler, G., 1974; Whitehead, J., 2002; Rooke, D. and Torbert, W. R., 2005; Bennis, W., 2009; Stacey, M. A., 2009). From both perspectives, specific characteristics, competencies and attributes developed, play a role in leadership. Discourse on the relationship between the leader (as an individual in a position or role) and leadership (as a set of actions, processes or approaches) have only recently come to the fore (Lyne de Ver, H., 2009; McIlreavy, P. and Nichols, C., 2013). Heifetz and Linsky (2002) differentiated 'leader' from 'leadership', separating the act of leadership from one 'great man' or person's accomplishments. Further, leaders de-facto require followers, be they groups, individuals or teams with and for whom they fulfil numerous roles (Lyne de Ver, H., 2009). Earlier ideas, as presented by Hofstede (1980, p. 57) proposed a more hierarchical relationship as, '*The crucial fact about leadership in any culture is that it is a complement to subordinateship*'. Yet from an Asian

perspective, leaders' interactions with their teams are seen as more 'interpersonal' than 'hierarchical' (Ling, W. and Fang, L., 2003).

Leadership in the international aid sector (Chapter 3, section 3.3.1), with no theoretical foundations of its own, has its roots in a far more recent history, commencing after World War II (Williams, V., 2013). Consequently, far less literature on leadership has been produced by and for this sector; the theories behind leadership within IHDOs (Chapter 3, section 3.4.1) are based to a high degree on perspectives and influences, external to the aid sector. Yet the environments and contexts in which IHDOs leadership takes place differ, at times substantially, from the sectors from whence these theories emerged.

Against this backdrop, a critique of the aid sector's leadership, specifically its lack of effectiveness, has emerged during the past 18 years (Carlsson, J. and Wolhgemuth, L., 2000; Van Rooy, A., 2000; Christiansen, K. and Rogerson, A., 2005; Graves, S. *et al.*, 2007; Harvey, P. *et al.*, 2010; Buchanan-Smith, M. and Scriven, K., 2011; Mitchell, J., 2011; Taylor, G. *et al.*, 2012; Clarke, P. K., 2013; Darcy, J. and Clarke, P. K., 2013).

Numerous factors must be considered regarding successful leadership. These include: the backgrounds, characteristics, competencies, and attributes of the leaders themselves (Bonner, L. and Obergas, J., 2008; Dickmann, M. *et al.*, 2010); external influences such as culture - particularly relevant in the multi-cultural context found in South Asia (House, R. J., 2004; Elliot, C., 2008; Kumar, R. *et al.*, 2011; Mitchell, J., 2011; Trompenaars, F. and Hampton-Turner, C., 2012); influences from the aid sector and other sectors (e.g. the private sector and the academic world) (Clarke, P. K. and Ramalingam, B., 2009; Taylor, G. *et al.*, 2012; Clarke, P. K., 2013; ALNAP, 2014); institutional and organisational demands placed on leaders by their own IHDOs (Suzuki, N., 1996; Bennis, W., 2009; Dickmann, M. *et al.*, 2010; Fernández-Aráoz, C. *et al.*, 2017); the continuously-changing and often volatile operating context in which IHDOs' leaders work (Hailey, J., 2006; Hochschild, F., 2010; Taylor, G. *et al.*, 2012; OECD, 2015; UNDP, 2016); if and in which way a distinction is made between 'leading' and 'managing' (Collins, D. B., 2002; Wren, A. D. and Bedeian, A. G., 2009; Murray, A., 2013), and how this impacts on the relationship with the leaders' followers (Bass, B. M., 1990; Lyne de Ver, H., 2009; Straker, D., 2010). Additionally, the drive towards the aid sector becoming more

professional is contested, and whether professionalism could enhance the successfulness of IHDOs leadership, questioned (Ramalingam, B. *et al.*, 2009; Walker, P. and Russ, C., 2010; Aidsource, 2012; Darcy, J. and Clarke, P. K., 2013; Derderian, K., 2013; ELRHA, 2013; Shanks, L., 2014).

### **2.2.1 Leaders and leadership: the main leadership theories**

Numerous leadership theories exist (Cole, G., 1996; Cherry, K., 2013), the most prominent of which are elaborated below.

**Great Man theory:** Carlyle (1841) established his theory that leaders are born with necessary charisma, confidence, intelligence, and social skills. Whilst this theory has been disputed in more recent years (particularly from a gender perspective), some of these innate characteristics still feature amongst those required for leaders today (Shebaya, M., 2011; Brown, B. C., 2012). However, research undertaken by Eckmann (2007) and Illies and Reiter-Palmon (2008) highlighted some less-appreciated characteristics associated with 'great men', including their taking more than a fair share of the credit, reminding others of their expertise, and only *acting* as though they cared about others.

**Trait theory:** Galton (1869) also built this theory on the basis that leaders are born and not made, with skills, talents, extraversion, self-confidence, and physical characteristics of leaders seen as inherent qualities; this was supported over a century later by Drucker (1989) . Zaccaro (2007, p. 6 - 8) put forward two points, proposing,

*Leadership as a unique property of extraordinary individuals whose decisions are capable of sometimes radically changing the streams of history', and arguing, 'that the personal qualities defining effective leadership were naturally endowed, passed from generation to generation.*

Whilst Terman (1904) further promoted personal qualities as distinguishing leaders from non-leaders, Stodgill (1948) disqualified the trait theory, concluding that traits applicable to one context may not be successful in another.

**Functional theory:** McGrath (1962) argued that leaders ensuring the well-being of the group contributed to the effectiveness of their organisations. This was supported by Hackman and Walton (1986) and Adair (1973) who also proposed that leaders should focus on the group, but equally on

the individuals within, as well as the task. This theory still forms the basis of many leadership and management approaches today, yet sidelines the importance of the external environment and the aspect of culture, and their impacts on leadership success. Hailey (2015) recommended that tomorrow's leaders need to be more 'externally-focused', and regularly boundary scanning.

**Expectancy theory:** Vroom (1964) highlighted the importance of the group members' characteristics and posited that certain types of group behaviour are chosen by its members over others, dependent on the expectations of the outcome caused by this choice. The leader could motivate or orientate the group towards taking certain decisions by raising expectations of a desired result. However, this theory seems contradictory in nature; whilst the group is involved in transparent and participative decision-making, the leader appears to be manipulating (rather than motivating) them towards goal achievement.

**Contingency theory:** Fiedler (1967) focused on the type of operating environment and how this influenced which leadership style was most appropriate. This theory asserted that no one style of leadership was best for all situations. It factored in the group's influence over their leader, whilst assuming leaders were able to adapt as required to changing environments. Whilst this theory factored in the context and the group, it neglected other influences pertinent to IHDOs leadership (Chapter 3, section 3.5.2; Chapter 6, section 6.3.5). However, it holds, in part, relevance for the contexts in which IHDOs' leaders in South Asia operate, given "their" prominence as influencing factors on successful leadership (Chapter 6, section 6.3.3.1, figure 17).

**Path-Goal theory:** House and Dessler (1974) proposed that for leaders to be successful they should change their style to suit their subordinates and the situation. Whilst this theory considered the behaviour, relationships and perceptions of both group and leader, in doing so it neglected the important aspect of their cultural backgrounds and values.

**Two-Factor or Motivation-Hygiene theory:** Herzberg (1964) proposed how leaders could address the aspect of motivation. Herzberg disassociated factors that contributed to group and individual motivation (e.g. job satisfaction, recognition, responsibility, achievement, opportunities for growth) from those which didn't (e.g. working conditions, salaries, policies and rules, supervisor quality, co-worker relations), proposing that each must be addressed differently. However, a focus on motivation

alone, excluding other factors that influence leadership success in the aid industry, remains lacking. Another well-renowned author in the field of motivation was Maslow, who elaborated his theory on the hierarchy of needs (Maslow, A. H., 1943). However, according to Lee (1987) in Alves *et al.* (2005, p. 12), '*Western organization theory draws heavily on Maslow's view of the individual giving advice on how to protect self-esteem and achieve self-actualization. When this Western view is used in non-Western contexts, it tends to misrepresent non-Western understanding*'.

**Situational theory:** Hersey and Blanchard (1977) proposed that leaders chose the best course of action based on variables they faced. Different styles could be more appropriate for certain types of situations and even different group members. Leadership was seen for the first time not just as a function of the leader, but also of the group (i.e. with leadership roles, functions and tasks being shared). Herein, one of the critical dilemmas in the current discourse on leadership in the aid sector is highlighted; should it be in the hands of one, or more? Similar to Fiedler's leadership theory of contingency (Fiedler, F. E., 1967), Situational theory has, in part, relevance for IHDOs' leaders in South Asia today (Chapter 8, section 8.2).

**Behavioral theory:** Likert (1961) introduced this theory as a criticism of the earlier trait models. This purported that great leaders were predominantly made, not born. It exhorted that people could learn to become leaders through teaching and observation. The current focus in the aid sector of developing leadership 'competencies' and less their characteristics, still places prominence on learned skills, whereas attitudinal and behavioural qualities are felt to be even more important (Chapter 7, section 7.3).

**Participative theory:** Vroom and Jago (1988) proposed that leadership worked best where others' views were taken into consideration. Leaders encouraged participation with group members feeling more committed and motivated, whilst the leaders still held the veto right on decision-making. Whilst 'participation' is used rhetorically on a daily basis in the aid sector in relation to leadership style, in reality, many actors express its negative consequences. This is particularly the case when applied in collective leadership settings where having more actors involved in decision-making often leads to either disagreement on the outcome, or too much time being taken (Chapter 3, section 3.5.2.1).



**Transactional theory:** Burns (1978) introduced this theory with a focus on the role of supervision, organisation and performance, using incentives, rewards and sanctions. This was further advanced as **Relational or Transformational theory** by Bass (1985) – one of the foremost scholars of leadership – also incorporating the ideas of other key exponents of leadership theory. Transformational leaders also aspired to and promoted high moral standards (Toor, S. and Ofori, G., 2009). Yet again, key influences – external to the relationship between the team and their leader – are missing,

**Functional leadership theory:** Tosti and Jackson (1992) elaborated their theory proposing three key leadership functions: direction, motivation, and guidance. Contrary to all other exponents' views on leadership, they stated (Idem, p. 3):

*Leadership is not inherent in the individual; it is neither a set of traits, nor something people are born with. Rather, it is something one provides to a group to meet certain needs.*

Whilst presenting the interesting perspective related to the needs of the group, the definition is lacking in that it mentions neither the specificity of the task, nor the environment, nor does it describe the formal affinity the leader has with the group. However, Tosti and Jackson also succinctly presented a comparison of transactional and transformational leadership approaches in Table 1, highlighting their advantages against each of their three proposed leadership functions.

Table 1: Tosti and Jackson (1992) Influencing others to act. In: Keeps (ed.) Handbook of performance technology. P 6.

	<b>Direction</b>	<b>Motivation</b>	<b>Guidance</b>
<b>Transactional</b>	Effectively translates company strategy into projects or job assignments or both	Lets people know that their efforts are important	Is readily accessible to people seeking guidance
	Makes sure people are clear about what is expected of them	Makes a point of telling others about the good work done by the group	Gives feedback for improvement by focusing more on how to avoid problems than assigning blame
<b>Transformational</b>	Keeps people informed as to the 'big picture'	Behaves as though expecting others to do things well	Acts in a way that is consistent with the stated values and principles of the group
	Anticipates what the future could hold and how the team could take advantage of it	Links individual and team efforts to the overall success of the organisation	Consistently asks "What can we learn?" when things do not go as expected

**Attribute Pattern Approach theory:** Zaccaro *et al.* (1991) equally based their ideas on critique of the traits theory, whereas here, an integrated totality of characteristics - rather than a summation of individual variables – were proposed as influencing the emergence and successfulness of leaders. Nonetheless, several other aspects, factors, and influences are required to enable leaders to be successful in the aid sector (Section 2.2).

**Integrated Psychological theory:** Scouller (2011) built on the strengths of older leadership theories (traits, behavioral, situational and functional), but factored in their limitations. Scouller argued that trait theories, whilst helping to identify potential leaders, did not assist in developing them. Additionally, Scouller disputed the abilities of leaders to change their behavioural patterns dependent on circumstance. Scouller introduced the need of leaders to develop and practice their mastery of psychology through presence, group interaction and flexible behaviour. Scouller recommended that leadership required more flexibility than envisaged in all previous theories, and that leaders needed to evolve professionally and psychologically, developing themselves continuously, at least through experiences. This 'flexibility', and the leader's need to evolve, align closely to the requirements of IHDOs' leaders (Chapter 3, section 3.6.3; Chapter 6, section 6.3.3; Chapter 7, section 7.5; Chapter 8 sections 8.2).

**Leader-Member Exchange or LMX theory:** Howell (2012) introduced this theory that contained elements aligned to Burns' transactional theory. Leaders and specific group members interacted, with the leader providing support, guidance, encouragement or rewards, and this being reciprocated by the group members in terms of commitment, respect, good performance, and productivity. However, the theory acknowledged the risk of establishing in-groups and out-groups, with the former gaining preferential treatment.

**Neo-Emergent theory:** developed by the Oxford School of Leadership (McNay, W. R., 2013), this theory espoused that leadership feats were made prominent through the mass communication of information, by the leaders themselves or their supporters. These stories might or might not have been representative of real events, but did influence how leaders were perceived.

The above-presented theories were developed predominantly in the west, founded on western-based philosophies, and within western cultures and societies. One Asian-based leadership theory

– developed in China – is now referenced for comparative purposes, but equally given its implications for the elaboration of new leadership theory developed within this thesis.

***Implicit Leadership theory:*** Ling and Fang (2003) elaborated their theory based on four factors: (1) personal morality; (2) goal efficiency; (3) interpersonal competence, and, (4) versatility. This leadership theory is aligned to the Chinese ‘Character, Performance and Maintenance’ behavioural model (CPM). The Implicit Leadership Theory (amongst all the theories presented) is the only one to address the aspect of culture, and its influence on leadership. It places significance on the moral character and behaviour of the leader, and, uniquely, covers the attribute of versatility. Whilst this theory contains many of the qualities required of IHDOs’ leaders, morality is only one amongst many characteristics required of IHDOs’ leaders. Further, the contexts and environments (including those of their own organisations) in which IHDOs’ leaders operate, are not covered.

### **2.2.2 Implications of the leadership theories for IHDO leaders in the aid sector**

The above-mentioned theories elaborate on a range of diverse leadership characteristics, competencies and approaches. The behaviour of leaders, their personal traits, relations towards the groups they work with, the roles of these groups and the tasks they have to undertake, and the environments in which these aspects are manifested, are all exposed, and are, in part, of relevance for IHDOs leaders. Nonetheless, five main discrepancies exist between most of these theories and reality for IHDOs’ leaders in the aid sector (Brinkerhoff, D. W. and Coston, J. M., 1999).

Firstly, these theories were developed predominantly in the west for industry, and within the private sector. They are applicable for more stable, if not variable working environments (Weber, M., 1922a), whereas the operating contexts for IHDOs are often more volatile, unstable and uncertain (Chapter 3, sections 3.3; Chapter 6, section 6.4; Chapter 7, section 7.6).

Secondly, the values, mandates, and objectives of many IHDOs differ to those of ‘purely for profit’ actors (Alnoor, E. and Rangan, V. K., 2010; Blanding, M., 2013), even though many of their approaches are now incorporated in the aid sector (Chapter 3, section 3.4.3).

Thirdly, many of these leadership theories are based on leaders having ‘groups’ or ‘subordinates’. ‘Teams’ – more commonly referred to and used in IHDOs today – do not feature at all.

Fourthly, external influences – from the aid sector and from leaders' own organisations – are excluded (Chapter 3, section 3.5; Chapter 6, sections 6.3-4; Chapter 7, section 7.6).

Fifthly, only limited allusion has been made within these theories to the aspect and importance of culture, and its influence on leadership, with the sole exception of the Implicit Leadership theory (Ling, W. and Fang, L., 2003). In the international aid sector, leaders, their IHDOs and staff, and the societal contexts in which they operate, hold divergent values systems, beliefs, and norms (Silverthorne, S., 2010). Culture must be incorporated as a factor that influences the successfulness of IHDOs leaders' behaviour and leadership practice (Chapter 3, section 3.5.2.3; Chapter 6, section 6.3.5.5). However, in terms of leadership theory, the aid sector itself has no self-defined or initiated theoretical foundations (Chapter 3, sections 3.3.1, and 3.5.3; Chapter 7, section 7.8). Thus, the afore-mentioned aspects, showing the gaps in existing leadership theory, combined with the currently documented deficit in IHDO leadership, suggest that a new leadership theory, specifically for the aid sector, be elaborated. Nonetheless, before specific theory can be conceptualised, it is necessary to better understand leadership: its required qualities, the influences upon it, and, importantly, its definitions.

### **2.2.3 Leadership by definition**

Covering much of the above, and an impressive range of leadership definitions supporting the argument for further understanding of this much-researched term, Winston and Patterson (2006) elaborated a comprehensive guide to integrated leadership. A further excellent coverage of leadership is provided by Bennis (2009), who, in his *'On becoming a leader'*, presented a broad variety of the most pertinent elements of leadership. These include: knowing leadership; understanding and being prepared for working with fragility and uncertainty; being self-aware and ready for self-development; being responsible as a leader; taking risks; building alliances and relationships; being aware that organisations can help or hinder leadership, and knowing that leaders are those that pave the way for the future. This latter point is astutely supported by Legace (2006). Hailey and James (2002, p. 405), connected leaders self-development with that of their organisations, when stating that, *'learning leaders are not just interested in promoting organisational*

*learning per se, but are also keen to develop their own personal learning and initiate individual change*'.

Several other exponents covered pertinent aspects of leadership, including power, managing conflict, ethics, representation and communication (Follett, M. P., 1924, 1941; French, J. R. P. and Raven, B., 1959, 1968; Schoederbeck, P. *et al.*, 1988; Finlay, P., 2000; Keltner, D. *et al.*, 2000; Mele, D., 2006; IAAP, 2009; Nobel, C., 2012). Fundamentally, leaders should be facilitating change, having a goal and 'going there', being persistent but, when necessary, saying "no" (Hailey, J., 2015).

### **2.3.3.1 Leadership and power**

Whilst power itself is not one of the main themes of this research, it cannot be disassociated from leadership. Power takes different shapes and forms dependent on the divergent perspectives presented in different scientific fields. Follett (1924 pp. 156) critically presents these as lacking, in the following explanations:

*Political scientists refer to power as a predefined, pre-existing quantity; they divide, transfer, and share power, but do not analyse it; they do not state how it can be produced. Biologists state that power is the 'mainspring of activity' but do not tell us what it is. Economists talk of a 'struggle for power', but not whether this is good or bad; whether there is an instinctive urge to power, or just a desire to be satisfied is also unclear. Psychologists give us the 'urge to power', but then leave it there. Social scientists ask the question, 'what is power'? Force? Influence? Manipulation? Managing? Or is it self-control? Self-discipline? Self-expression? One's capacity?*

In an exploration of Follett's contribution to the literature, Melé (2006) further highlights that for a long time, great focus has been placed on the division or transfer of power, and how to achieve power, but not in how to generate power. Keltner et al. (2000 pp. 5) open with some key questions related to power:

*How is it produced? Where is it located? How is it distributed? Are we focusing on the actor (power as motive) or her/his actions (power as dominance)? Or are we focusing on the target group's response to the actor and action (power as influence)?*

Keltner et al. (2000 pp. 7-8) go on to elaborate their definition of power, as follows:

*...an individual's relative capacity to modify others' states by providing or withholding resources or administering punishments. Resources can be both material (food, money, economic opportunity) and social (knowledge, affection, friendship, decision-making opportunities), and punishments can be material (job termination, physical harm) or social (verbal abuse, ostracism).*

This definition, with emphasis on individuals' capacities to change others, and less on the individuals' actions, or the target group's response, is thus applicable within different contexts and cultures. It is reasonably well-fitting for the IHDO leader from a certain standpoint, in that s/he usually has access to a set of specific resources, and s/he usually has the responsibility to provide or withhold them. Nonetheless, the definition goes way beyond the normal purview of what an IHDO leader would normally provide or withhold, particularly in relation to the social aspects of 'affection', 'physical harm', 'verbal abuse' and 'ostracism'. However, this definition rightly disassociates power from related constructs or determinants of power - i.e. 'authority', 'status' and 'dominance' as it is possible for power to exist without any of these. Weber (1922 pp. 2) also presents the relationship between authority and power in his definition, '*Authority is the right to give orders, and the power to exact obedience*'. Power here infers both the action (presented strongly as dominant) and the target group's response (how they are influenced to behave). Bush and Glover (2013) cite Leithwood et al. (1999 pp. 6) in saying '*Influence... seems to be a necessary part of most conceptions of leadership*'. They also cite Dimmock (1999) who emphasizes the efforts and outcomes of leaders' influence, '*By leadership, I mean influencing others' actions in achieving desirable ends. Leadership takes much ingenuity, energy and skill*'.

French and Raven (1968) also focused their much-acclaimed research on the relationship between leaders and subordinates, distinguishing five main types of power, namely:

- (1) Reward power - subordinates perceive that their leader has ability and resources to obtain and distribute rewards – pay rises, promotion, recognition, additional responsibility, and privileges;

- (2) Coercive power - subordinates fear that their leader has ability to punish those who do not comply with directives, withhold pay rises, allocate undesirable tasks, withdraw support, and make formal reprimands;
- (3) Legitimate power - subordinates perceive that their leader has a right to exercise influence because of role, based on authority, hierarchy, and structure of the organisation. This is relative to position, not personal characteristics.
- (4) Reference power - subordinates identify with their leader, based on mutual respect and esteem;
- (5) Expert power - subordinates see their leader as competent, knowledgeable and skilled in a particular area. This is based on his/her credibility and evidence of the above attributes (this 'functional specialisation' is usually limited to narrow fields of expertise and span of control).

Finlay (2000), adds to the above definitions of power, with Personal power - based again on subordinates' perceptions and feeling of support and trust, and Connection power - which moves out of the direct relation to subordinates, and focuses on leaders' access to key people and information. However, whilst Finlay has added a fundamental aspect of the role of IHDO leaders – that of networking (connecting), in the above definitions – both French and Raven (1968), and Finley (2000) postulate that leaders are in superior positions and having subordinates. Alternative perspectives are presented (Bass, B. M., 1990; Gastil, J., 1994; Chambers, R., 2006; Lyne de Ver, H., 2009) with leaders as integral part of groups; with different members of the group holding the leadership role (having power) at different times, for different tasks, in different circumstances, and with leaders not necessarily in a hierarchical position of superiority.

Follet (1924) argues that majority control is 'power over', but real power comes just from power over oneself, and that 'power with' is where each party has mastered power over themselves so that joining 'together' they develop control and one power in a new unit. However, Follett stated that 'power over' is resorted to time and again as people will not wait for the slower process of education. In Melé (2006), Follett also recommends a shift from 'power over' to 'power with', and aligns this to this a move from 'coercive power', to 'coactive power'. Kabeer (1994) brings the aspect of gender to the fore, claiming two advantages of using 'power with': firstly, that gender inequality is collective not personalized; therefore, a collective approach to deal with these indiscrimination's is more suitable.

Secondly, collective action is one of the most important resources that women [in a poor rural setting] have, and that to utilise this to challenge suppression, through organisation which provides them both the dignity and space to do so, is again more effective than individualistic methods.

Focusing on what leaders (should) do, and how, Mintzberg (1975) described three main leadership roles. The *interpersonal relations role* presented the leader as the figurehead, providing leadership related to staff, and in liaison - making contacts outside of his/her chain of command. The *information role* describes the leader steering, disseminating information inside the organisation, but also as the external spokesperson. The *decision-making role* showed the leader as an entrepreneur - voluntarily and actively seeking improvement and adapting to changing environments. Within these roles Mintzberg aptly captured the dual facets of leadership required both inside and outside of the organisation. Having to work with numerous stakeholders, leaders have to regularly 'wear both hats' (Maak, T. P. and Nicola, M., 2006). Building on his earlier work, Adair (1979) developed his action-centred leadership role model, focused on meeting three needs. *Task needs* included their definition and planning, the allocation of resources, organisation of responsibility, and achievement of group objectives. *Group needs* related to the maintenance of morale and cohesiveness, setting standards and discipline, establishing communication systems, providing group training, and appointing sub-leaders. *Individual needs* addressed attending to personal problems, giving praise and status, dealing with conflicts, and training and developing individuals. However, the appointment of 'sub-leaders' remains under-utilised (Mitchell, J., 2011; Clarke, P. K., 2013). Nonetheless, emphasis placed solely on the team, task and individual, according to this study, does not address the other factors required for leadership success. Indeed, the influence of individuals on successful leadership was found to be low (Chapter 6, sections 6.3.5.2). Some exponents see many of the above-defined leadership roles rather as 'management functions' (Robinson, D. G., 1989; Collins, D. B., 2002; Lyne de Ver, H., 2009).

#### **2.2.4 Leadership and management**

In an exploration of the many definitions of leadership, Yukl (1989, p. 15) asserted that, '*Nobody has proposed that managing and leading are equivalent, but the degree of overlap is a point of sharp disagreement*'. Collins (2002) posited that leaders and managers are different types of people;



managers being concerned with getting things done and leaders with building commitment and vision. Bennis (1984) over-simplistically proposed that leaders are people who do the right things, and managers are people that do things right. Murray (2013), in *The Wall Street Journal*, used the distinction between strategy and operation: leaders set long range goals and provide strategic direction, creating trust to inspire people to follow them, whilst managers set the short-term operational direction, and organise resources in order to maximise the performance of people by allowing them to carry out tasks effectively and efficiently. However, Murray (2013, p. 1) argued that, '*Leadership and management must go hand in hand. They are not the same thing. But they are necessarily linked, and complementary*'. Whilst agreeing that the two are complementary, Dimmock (1999, p. 441) proposed that, '*Leaders are people who shape the goals, motivations, and actions of others. Managing is maintaining efficiently and effectively current organisational arrangements*'.

Presenting the difference between leaders and managers from an Asian perspective, Lee (1987, p. 30), proposed that, '*Leaders are the role models of social order; managers are to maintain the social harmony*'.

Both Collins (2002) and Wren and Bedeian (2009) intertwined the two, using both *managerial leadership* and *leaders' managerial abilities* in relation to organisational performance. However, based on a global survey of 200 international aid organisations, Harvey *et al.* (2010) identified that leadership was considered as weak due to leaders being 'too managerial', without the capacity to speak out on the bigger issues.

Leadership (respons)ability to represent the organisation both internally (as a figurehead) and externally (to the outside world) – particularly in sensitive or complex circumstances – demands that leaders be capable of taking risks (Robinson, D. G., 1989; Carrell, M. R. *et al.*, 1997; Buchanan-Smith, M. and Scriven, K., 2011; Mitchell, J., 2011). By contrast, the manager's task is geared towards risk reduction to ensure that resources are utilised as effectively as possible (Bennis, W., 1984; Mullins, L. J., 2005b; Lyne de Ver, H., 2009). Iles and Preece (2006, p. 317) proposed that:

*Whereas managers are concerned with today, with delivery, targets, efficiency, utilization, and authority, focusing on internal organisational issues, on control and on*

*doing things right, leaders are held to be oriented to tomorrow, to development, to direction, to purpose and vision, and to innovation.*

Herein management is associated with authority, supported by Gastil (1994, p. 2) who stated that leadership and authority are conceptually different, and that, *‘Leadership should not be confused with the occupant of a formally established position in a hierarchical structure’*. Authority is vested in managers by their organisation, normally with the allocation of staff supervision. Leaders do not normally have *subordinates* unless they are also managers (Dickmann, M. *et al.*, 2010). Leaders have *followers*, with ‘following’ normally associated with being voluntary (Bass, B. M., 1990; Gastil, J., 1994; Lyne de Ver, H., 2009; Straker, D., 2010). Table 2 recapitulates the main differences presented between leaders and managers.

Table 2: Summary of differences between leaders and managers, taken from Straker (2010)  
[http://changingminds.org/disciplines/leadership/articles/manager\\_leader.htm](http://changingminds.org/disciplines/leadership/articles/manager_leader.htm)

<b>Subject</b>	<b>Leader</b>	<b>Manager</b>
Essence	Change	Stability
Have	Followers	Subordinates
Horizon	Long-term	Short-term
Approach	Provides vision	Plans detail
Power	Personality	Formal authority
Risk	Takes	Minimizes
Direction	Strategic	Operational

Nonetheless, leaders may also be required to fulfil the functions of managers, though to a lesser extent is this the case vice versa. These arrangements are dependent on the person him/herself, the context, group (or team) and individual needs, the task, and organisational demands. Whilst these global assertions are made, Hailey (2006, p. 34) proposes that, *‘It is clear from any review of the research that leadership and management in the NGO sector is different from leadership in other sectors’*. Hailey adds that, *‘Those in leadership positions will not only have to be more directly involved with colleagues and so be able to delegate responsibilities, but also actively listen and accept feedback, displaying openness, empathy, integrity and self-awareness’* (Idem, p. 29). These latter leadership characteristics, amongst others, are now discussed.

## 2.2.5 Leadership characteristics

Whilst *The Art of War* is by definition contradictory to the ethics and values of IHDOs' leaders, Tzu (6<sup>th</sup> Century) nevertheless highlighted many characteristics also pertinent for these leaders today, including wisdom, trustworthiness, sincerity, and applying method and discipline; these qualities are endorsed by several exponents (Judge, T. A. and Bono, J. E., 2000; Painter-Morland, M., 2008; Stacey, M. A., 2009; Toor, S. and Ofori, G., 2009; Johnson, M., 2010). Hailey (2015) promoted the need for leaders' sheer personal commitment, willingness to experiment, and self-awareness of their own weaknesses. Kouzes and Posner (2007) identified the top qualities (in order of priority) that people admire in leaders and would willingly follow: being honest; forward-looking; motivational, competent; inspirational; intelligent; fair-minded; broad-minded; supportive; straightforward; dependable; cooperative; determined; imaginative; ambitious; courageous; caring; mature; loyal; self-controlled, and independent. Whilst these qualities originate from the private sector, many are also relevant for leadership in the aid sector (Christiansen, K. and Rogerson, A., 2005; Clarke, P. K. and Ramalingam, B., 2009; Walker, P. and Russ, C., 2010). Messner *et al.* (2013) undertook a study of IHDOs leaders' behaviour, ascertaining provocatively that leaders use 'reciprocity', (i.e. '*That we do something for others when they do something for us*') (Idem, p. 16). Messner *et al.* argued that to establish a 'we-identity', '*One of the fundamental ways we do this is by looking for those who are somehow similar to us*' (Idem, p. 21). This already advances the notion about who today's and tomorrow's IHDOs' leaders could be (Legace, M., 2006; Dickmann, M. *et al.*, 2010; Johnson, M., 2010; CAFOD, 2013). Hailey (2015) asserted that leader's 'modelling behaviour' is crucial for their role.

Contrary to Messner *et al.*'s perspective on reciprocity, altruism – a selfless concern for the well-being of others – is presented as an important leadership characteristic (Hammer, D. P., 2000; Locke, T., 2001; Lunt, I., 2008; Bennis, W., 2009; Wilkinson, T. J., 2009; Cruess, R. L. and Cruess, S. R., 2012). The element of leadership humility is also presented by Johnstone and Fern (2005), as a much required but little applied characteristic. Another characteristic, integrity – a self-awareness and the realisation of one's own values, beliefs, prejudices and limitations – is particularly highlighted by many leadership exponents (Coquillette, D. R., 1994; Hammer, D. P., 2000; Lester, S., 2002;

Ling, W. and Fang, L., 2003; Crook, D., 2008; Lunt, I., 2008). This quality was rated the most important by all survey respondents in this research (Chapter 6, section 6.3.1.1), and presented as such by Bennis (2009), one of the key exponents on leadership.

The above-mentioned characteristics show that successful leaders must be aware of who they are and how they behave. Rooke and Torbert (2005) proposed that what differentiates leaders today is not their personality or style, but how they respond (interpret their surroundings and react) when their power or safety is questioned or put in jeopardy: this is known as *action logic*. From research over 25 years and through testing thousands of managers and professionals, Rooke and Torbert established their Action Logic Model, developed around seven ‘transformations of leadership’, presented in Table 3.

Table 3: Taken from Rooke and Torbert (2005) ‘Seven transformations of leadership’, Harvard Business Review.

Leadership Transformations	Orientation and capability
<b>The Opportunist</b>	focuses on self-gains and sees others as means to this end; they react to events based on whether or not they think they can influence outcomes in their favour.
<b>The Diplomat</b>	seeks to please higher-level officials; tries to make sense and reason out of the world around them. They think that cooperation with group norms and good role performance will gain acceptance.
<b>The Expert</b>	tries to exercise control by perfecting their knowledge and specialising, in both personal and professional lives. They are often completely sure that they are right. Emotional intelligence is neither desired nor appreciated.
<b>The Achiever</b>	creates a positive team and working atmosphere. Open to feedback, they understand that conflicts arise from differences in interpretation and ways of relating, and that solutions require sensitivity.
<b>The Individualist</b>	recognises that all action logics are not natural, but constructs of oneself and the world around. They put personalities and relationships into perspective and communicate well. They bring unique practical value to their organisations.
<b>The Strategist</b>	focuses on and treats organisations’ constraints and perceptions as transformable. They are excellent at creating shared visions. Organisational and social changes are seen as iterative processes. They are highly effective change agents.
<b>The Alchemist</b>	has ability to reinvent themselves and their organisation in significant ways. They can deal simultaneously with many situations at multiple levels, and with immediate priorities whilst not losing sight of long-term goals. Typically they have high morals, and are charismatic; they focus intensively on the truth.

Rooke and Torbert aptly concluded that, *‘Those who are willing to work at developing themselves and becoming more self-aware can almost certainly evolve over time into truly transformational leaders.’* (Idem, p. 11). Given the complex and continuously changing context of the aid sector, and operating environments in which IHDOs’ leaders are placed and operate, different circumstances require them to be versatile enough to adopt different transformations as presented in Table 3 (see Chapter 6, section 6.3.3; Chapter 7, section 7.5.1). Several other models exist, including a ‘6-level model’ of leadership elaborated by Maidique (2011) with some similarities to that of Rooke and

Torbert, presenting the leadership levels of sociopath, opportunist, chameleon, achiever, builder, and transcendent.

Stacey (2009), built on Rooke and Torbert's work, proposing that leaders' action logic states are obtained by their expansion of capacities through experience, personal practice and formal education to challenge assumptions. Further leadership qualities, including leading people, leading change, driving results, building coalition, and business acumen, are also essential; these are promoted in a catalogue of universities providing these skill and knowledge sets (Rosenmarkle, D., 2014). Brown (2012) posited that these qualities can directly influence the key developmental challenges leaders face. Brown claimed that in relation to, '*Our own development as leaders, a key to helping humanity lies in unlocking our latent cognitive, emotional and interpersonal capacities - how we know is at least, if not more important than what we know*' (Idem, p. 3). Brown proposed that *vertical learning* – developed at Harvard, Stanford and Oxford as the state of the art in leadership thinking – is *the* response to facing and addressing global concerns:

*Vertical Learning is the number one future trend in leader development. This means making deep shifts in the structure of our worldview that changes how we see the world, contrasting with horizontal learning which is basically the acquisition of more knowledge whilst operating at the same level of cognitive, emotional and relational complexity* (Idem, p. 4).

Shebaya (2011) advocated that *developmental readiness* is a pre-requisite factor for successful leaders. Developmental readiness reflects an individual's preparedness to benefit and learn from developmental experiences. It consists of self-awareness, self-motivation, and self-regulation (Day, D. V., 2000). Self-awareness incorporates emotional awareness, self-confidence, and an accurate self-image; self-motivation includes initiative, commitment, and optimism; self-regulation comprises self-control, trustworthiness, personal responsibility, and adaptability. Hailey (2015) reiterated that trust is a core capability; essential for leaders. The above-mentioned qualities remain highly pertinent for IHDOs' leaders in South Asia (Chapter 6, section 6.3.1-3; Chapter 7, section 7.3). Additionally, Day (2000) stressed the need for social awareness (empathy, service orientation, and political

awareness) and social skills (building bonds, team orientation, conflict management and being a change catalyst) as interpersonal abilities needed in leadership development.

### **2.2.6 Leadership competencies**

Numerous exponents purported to the conceptualization of competence being the abilities, skills, knowledge and qualifications (and by inference the experiences associated in accumulating them) required to perform effectively in a given job, role or situation (Lester, S., 2002; Bolden, R. *et al.*, 2003; Drach-Zahavy, A. and Somech, A., 2006; Parker, M., 2006; Lunt, I., 2008; Evetts, J., 2010; Camburn, J., 2011; Cruess, R. L. and Cruess, S. R., 2012). Hailey (2015) promoted the concept of 'thought leaders', whose competencies include mobilising the use of knowledge. Shebaya (2011, p. 37) built to some extent on the aspect of knowledge, when advocating that the competencies required for leaders are,

*The capabilities and abilities organised around an underlying construct or intent, and potential capacity or capability to perform effectively, to handle certain situations and complete certain tasks, resulting in superior performance.*

Shebaya (2011) further elaborated on four main leadership competencies: (1) *Cognitive competency* resides in leaders' minds, dependent on the mental models they hold of themselves, others, their organisations, and their environments; (2) *Social competency* exists in the contexts of social interactions and is mostly associated with influence and power; (3) *Emotional competency* indicates that leaders need to understand the emotions involved in the process of leadership, including self-awareness, self-motivation, reflection, and empathy, and (4) *Behavioural competency* resides in the situation, based on the leaders' attitudes and behaviour, and how these change in different contexts, reflecting the work of both Hersey and Blanchard (1977) and Likert (1961). However, Hailey (2015) proposed the need to change the language from competencies to 'intangible capabilities', including leaders' relational capabilities; inferring that more prominence needs to be placed on leaders' characteristics. Further, Shebaya (2011), in her elaboration on competencies, intimated an overlap with certain characteristics when presenting 'innate traits' such as self-motivation and awareness, reflection, and attitudinal aspects. This 'overlap' of characteristics and competencies (influenced by

the innate, learned and developed qualities and experiences that leaders have) are presented as 'attributes' within this study.

### **2.2.7 Leadership attributes**

Two particular attributes – versatility and intuition (blending the innate, learned and developed experiences forming leaders' characteristics and competencies) – appear to remain on the side-line of the IHDO leadership and HR discourse.

#### **2.2.7.1 Versatility**

Terms like flexibility and adaptability appear in many aid sector documents and HR frameworks, related predominantly to the competencies required for IHDOs' leaders (Annex 1 CBHA framework). Whilst some exponents mentioned adaptability (Robinson, D. G., 1989; Locke, T., 2001; Bennis, W., 2009; Wilkinson, T. J., 2009; Dickmann, M. *et al.*, 2010; Shebaya, M., 2011), versatility was not mentioned in all the literature reviewed, with the key exception of the Asian-based Implicit Leadership Theory (Ling, W. and Fang, L., 2003). Adaptability is defined in the Oxford English Dictionary and Merriam-Webster Dictionary (2017) as, '*Able to adjust, change, or be changed to fit to new conditions*'. However, whilst the definition infers that one is able to move from one situation to another, it neglects the multiple realities imposed on IHDO leadership; indeed, 'to be changed to fit new conditions' even holds negative connotations. The same applies to the commonly-used 'flexibility', where both the Cambridge and Oxford English Dictionaries (2017) defined it as, '*The ability to be easily modified; willingness to change or compromise... The quality of being able to be changed easily according to the situation*'. Dictionary.com (2017) added further negative inference when defining someone that is flexible as being, '*Willing or disposed to yield*'.

According to both the Oxford English Dictionary and the American Dictionary (2018), 'versatility' is defined as, '*The capability (comprising ability, fitness and quality) to adapt to many different functions or activities; to be able to do many things, competently*'. Here, versatility adds two dimensions (to those of flexibility and adaptability) that are highly relevant for IHDOs' leaders. Firstly, versatility refers to the capability to adapt capably to *numerous* different and changing demands, functions or activities. Secondly versatility incorporates the element of *quality* in that IHDOs' leaders should be

able to deliver in varying situations and to fulfil diverse functions, with *competence*. IHDOs' leaders are required to be self-aware; be qualified; be expert; have experience, use knowledge and skills; know their profession, and adhere to their mandates and objectives (Barnett, R., 2008; Lunt, I., 2008). They are responsible for transforming all these ethically through their attitude and behaviour and into their actions, often under pressure from diverse sources and stakeholders, and often in uncertain, complex or 'super-complex' situations (Barnett, R., 2008; Lunt, I., 2008). These demands already succinctly present the need for their versatility.

### **2.2.7.2 Intuition**

Intuition is defined as, *'The ability to understand something instinctively; acquire knowledge without inference, and without the need for conscious reasoning'* (Oxford English Dictionary, 2017). In the daily undertakings of IHDO leaders, complex situations present themselves, and, particularly where time is limited, they are required to simply take action (Chapter 7, section 7.5.3, page 261). Intuition is understood to be the subliminal processing of information that is too complex for rational thought, e.g. mate choice. The processes that make up intuition are dominantly learned, not innate. They are based in part on feeling, and in part on experiences. Yet, amongst many other influencing factors, those very experiences can influence whether, and to what extent, leaders appropriately and successfully utilise this attribute. By comparison, instinct is not a feeling, but an innate, "hardwired" tendency toward a particular behaviour (The Oxford English Dictionary, 2018). Further, judgement, defined as *'the ability to make considered decisions or come to sensible conclusions'* (The Oxford English Dictionary, 2018), de-facto requires preparation, empirical backing, and time available to ensure that the outcomes of decisions are both sound and just. Nonetheless, with increasing demands for leaders to think and act both in and out of the box, and to respond quickly to challenges and situations faced, time is a luxury afforded on an increasingly diminishing basis.

Intuition is mentioned in light of the increasing complexity of leaders' working contexts with new and diverse demands placed upon them, their effectiveness, and the need to use practical wisdom and reflection in action (Schön, D. A., 1983; Barnett, R., 2008; Bennis, W., 2009). This is supported from the Asian perspective, both in theory and practice (Lee, S. K., 1987; Ling, W. and Fang, L., 2003). Interestingly, it is also recommended as an attribute for researchers to utilise when undertaking



computer-assisted qualitative analysis (Bryman, A., 2004g; Dey, I., 2005). Whilst not specifically mentioning intuition, Van Ruler (2005) proposed that EI and creativity, and ‘what professionals think based on experience’, supersede knowledge learned through formal education. Hailey (2006, p. 12) endorsed the essential nature of EI, when stating, *‘Emotional intelligence represents the intangible aspects of leadership that are all so important’*. This is also supported by the study’s survey respondents (Chapter 6, section 6.3.9.5). Thompson (2000) argued that whilst having a body of specialist knowledge, leaders require more generalist knowledge to ably fulfil their functions; this is highly attuned to the needs of IHDOs’ leaders (see Chapter 7, section 7.8). Thompson stated (2000, p. 4) that, *‘There is no simple and straightforward answer as to how knowledge and thought influence and inform our actions’*. Thus, leaders need to demonstrate ‘agility’ in the face of challenges and changing circumstances (Hailey, J., 2015).

In his work on ‘the reflective practitioner’, Schön (1983, p. 49) suggested, *‘Let us search, instead, for an epistemology of practice implicit in the artistic, intuitive processes which some practitioners do bring to situations of uncertainty, instability, uniqueness, and value conflict’*. Aside from the above-mentioned exponents, only Hochschild (2010) and Lee (1987) made any association between leadership and intuition, specifically in relation to decision-making. Yet it is an essential attribute, used daily by IHDO leaders, even when making critical decisions (see Chapter 6, section 6.3.4.1).

Whilst promoting the need for intuition, Locke (2001) presented the need for professional leaders to be able to act autonomously, and be independent in decision-making and adaptability. However, there are risks associated with the use of intuition, as discussed in Chapter 7, section 7.5.3 (e.g. difficulty in measuring its contribution to decisions taken, the demand for empirical evidence to substantiate decisions, and negative past experiences that may affect its appropriateness). Whilst IHDOs leaders’ characteristics and competencies influence their use of intuition and versatility, these attributes could be further manifested in their leadership traits, styles and approaches.

## **2.2.8 Leadership styles and approaches**

The right leadership style directly affects the success of the task, project or goal (Turner, J. R. and Muller, R., 2005). Lewin *et al.* (1939) elaborated three main styles, still referred to today. Firstly, the *Authoritarian* (autocratic) style is described as leaders telling staff what they want done and how,

without feedback or discussion. This style is often viewed negatively, but in situations of high pressure or limited time this approach could be appropriate (Follett, M. P., 1918; Weber, M., 1922b). Secondly, the *participative* (democratic) style proposes leaders discussing and including others in decision-making processes, but still holding the veto role. Situations where this approach is relevant are where time is available but when leaders do not have all the information. As 'participation' is and has been a buzzword in international aid since the 1970's, it is common to find this approach utilised by IHDOs' leaders. Thirdly, the *delegative* (free-reign or 'laissez faire') style presents where leaders delegate decision-making to followers. This approach is often misconstrued as leaders 'just letting go', allowing followers to take all the decisions. However, it is well-suited to situations where relationships are based on a high degree of trust and respect, and with appropriate expertise and competence held by the followers.

Based on the Global Leadership and Organisational Behaviour Effectiveness (GLOBE) Study (2007 Vol. 2), three other leadership styles have been proposed by the Centre for Creative Leadership (CCL, 2012). Firstly, the *charismatic/value-based style* stresses high standards, decisiveness, and innovation. Secondly, the *team-oriented style* instils pride, loyalty, and collaboration among organisational members. Thirdly, the *humane style* stresses compassion and generosity; leaders using this style are patient, supportive, and concerned with the well-being of others.

Vries *et al.* (2010), with reference to Adair's 'task, group, and individual' leadership focus, added another highly relevant leadership style: that of *communication*. Vries *et al.*'s research showed that leaders with charismatic and human-oriented behaviour used significantly more communicative styles than those who were task-orientated. The research analysed followers' perceptions of satisfaction with their leader, including his/her perceived performance, commitment, and behaviour in terms of sharing knowledge with them. It was proposed by Rotemberg and Saloner (1993) that the organisational environment played a significant role in influencing the style that leaders used in their interactions with their teams. The above-mentioned research, latter-day theories, and the broad range of leadership definitions, all illustrate the fact that for leaders to exist, followers are essential.

## 2.2.9 Leadership and followership

*“We can’t talk about leadership without talking about followership”*

Hailey (2015)

The leadership theories presented elucidate leaders as using various approaches to their interaction with groups, individuals, and occasionally subordinates. In only one case reviewed, (Bass’s transformational theory of leadership) are *followers* mentioned. Silverthorne (2008, p.2) actually proposed that if a leader, *‘assemble(s) a group, [and] give it a purpose, left to its own devices it will organise itself’*. Nonetheless, according to Drucker (1996, p. 54), *‘The only definition of a leader is someone who has followers’*. Drucker (1996, p. 54) further posited that, *‘An effective leader is not someone who is loved or admired. He or she is someone whose followers do the right things. Popularity is not leadership. Results are’*.

Antelo *et al.* (2010) proposed that the qualities leaders expect of effective followers are: flexibility; motivation for goal accomplishment; support for others; contribution to the group; reliability; effective communication; ability to learn from and embrace change; conceptual understanding; tolerance, and to know about and perform their functions. This is furthered by Hackman and Wageman (2007 p. 45), indicating that leaders can also be guided by their followers, where, *‘Leaders are also followers, and followers also exhibit leadership’*. Goffee and Jones (2006) quoted Aristotle, who astutely proposed that all great leaders should first learn to follow.

Whilst ‘groups’ are mentioned in the main leadership theories, ‘teams’, with established responsibilities, roles, functions, tasks and, importantly, common objectives, are neglected (Robinson, D. G., 1989; Belbin, R. M., 1993; Mullins, L. J., 2005a). The overarching difference between teams and groups and followers is that team members all have defined parts to play in contributing to and supporting each other in the achievement of a common objective (Antelo, A. *et al.*, 2010). Belbin (1993) presented nine ‘role types’ for effective teams as illustrated in Table 4.

Table 4: Taken from Belbin (1993) *Team roles at work*.

General role type	Belbin team-role type	Strengths	(Allowable) weaknesses
Cerebral	PLANT	Creative, imaginative, and unorthodox. Solves difficult problems	Ignores incidentals. Too pre-occupied to communicate effectively
	SPECIALIST	Single-minded, self-starting, and dedicated. Provides knowledge and skills in rare supply	Contributes only on a narrow front. Dwells on technicalities
	MONITOR - EVALUATOR	Sober, strategic and discerning. Sees all options. Judges accurately	Lacks drive and ability to inspire others
Action-orientated	IMPLEMENTER	Disciplined, reliable, conservative and efficient. Turns ideas into practical actions	Somewhat inflexible. Slow to respond to new possibilities
	SHAPER	Challenging, dynamic, and thrives on pressure. Has drive and courage to overcome obstacles	Prone to provocation. Offends people's feelings
	COMPLETER - FINISHER	Painstaking, and conscientious. Searches out errors and omissions. Delivers on time	Tends to worry unduly. Reluctant to delegate
People-orientated	TEAM WORKER	Cooperative, mild, perceptive and diplomatic. Listens, builds and averts friction	Indecisive in crunch situations
	COORDINATOR	Mature, confident, and makes a good chairperson. Clarifies goals, promotes decision-making, and delegates well	Can often be seen as manipulative. Off-loads personal work
	RESOURCE INVESTIGATOR	Extrovert, enthusiastic, and communicative. Explores opportunities. Develops contacts	Over-optimistic. Loses interest once initial enthusiasm has passed

It is therefore pertinent, where possible and relevant, that leaders consider the above role types when building their teams. This may demand that some team members are encouraged to take on and develop responsibility for more than one role in the case where the existing team does not come with the required qualities. However, the context and task in hand influence the nature and form that the team takes. Additionally, the individuals that make up the team may come from diverse backgrounds and cultures, especially so in the international aid context; leaders could do more to maximise on the diverse nature of team members (Mayhew, B., 2004; Legace, M., 2009; Buchanan-Smith, M. and Scriven, K., 2011). Flint-Taylor (2014) cautioned that leaders need a deeper understanding of the diversity and characteristics that differentiate individuals and teams; not just their gender and ethnicity.

To ensure that IHDOs' teams are made up of the right people, Mayhew (2003) recommended the following: more commitment shown to recruiting first-timers in the field; recruiting for capability rather than experience; balancing developing 'in-house capacities' with looking 'outside the box'; building an appropriate mix of volunteers, professionals, national and international staff; mentoring staff development, and promoting recruitment, retention, and planning for succession. Mayhew also proposed that sensitivity to working in and with different cultures is what makes effective leaders.

## 2.2.10 Leadership and culture

*“The cultural diversity of employees found in worldwide multinational organisations presents a substantial challenge with respect to the design of multinational organisations and their leadership”*

House *et al.* (2004)

*“A culturally mixed workforce holds competitive advantage: increasing flexibility and responsiveness to diverse and competitive global markets, and that, culture provides an understanding to leaders about purposive behaviour”*

Kumar *et al.* (2007)

The Globe Project undertook an extensive analysis of leadership and culture in 62 societies. House *et al.* (2004) presented diverse employee culture as a major challenge for international organisations. Having their own culture and operating in another is unquestionably a leadership challenge (Hoppe, M. H., 2007). Indeed, House *et al.* (2004, p. 2) issued a warning to these leaders, stating,

*Selected cultural differences strongly influence important ways in which people think about leaders, and norms concerning the status, influence, and privileges granted to leaders.*

Yet, according to Alves *et al.* (2009, p. 5),

*The GLOBE project showed that culture and leadership are two intricately related organizational dimensions worthy of further research, in particular because it provides evidence that leadership is different across cultures, and suggests insights into what ways it may be different. Nevertheless, GLOBE is a project developed by Western educated researchers, and thereby largely influenced by Western perspectives.*

Giberson *et al.* (2009) found several relationships between leaders' personalities and personal values, and their organisation's cultural values, recommending that organisations need to seriously consider the fit between their own cultures and their leaders' characteristics. According to Hailey (2015), these value systems need both reinvigorating and maintaining.

There is no single commonly-accepted definition of culture (Harris, L. C. and Ogbonna, E., 1998; House, R. J. *et al.*, 2002); over 160 definitions of culture exist according to Kroeber and Kluckhohn (1985). Hall (1960) posited that there are even different 'languages' of culture. Some exponents (Brady, I. and Isaac, B., 1975; Terpstra, V. and David, K., 1985; Capra, F., 2002; House, R. J. *et al.*, 2002) purport that culture is a learned and shared set of common values, beliefs, and rules, whilst others (Hofstede, G., 1980; Sathe, V., 1985) added that culture is in fact the conditioning of a group of people in a common environment, and not the characteristics of individuals. However, key exponents (Trompenaars, F. and Hampton-Turner, C. 2012) asserted that whilst culture is a set of shared phenomena, some people within cultural systems do not necessarily behave according to the cultural norms: individual personalities mediate within each cultural system. Trompenaars and Hampton-Turner (2012, p. 4), argued that,

*International managers have it tough. They must operate on several different premises at any one time. These premises arise from their culture of origin, the culture in which they are working, and the culture of the organisation that employs them.*

Hailey (2006, p. 11) offered some solutions for leaders to these issues, when stating that, '*What is striking ... [are] the different roles that such leaders have to play, whatever the culture or context. Their success is determined by their ability to work in a participative manner, be comfortable with sharing their leadership role, and work in a collective style*'.

To address these cultural dimensions, cultural competence is required. Inevitably, different cultures perceive 'competence' differently. A European definition of competence proposes a system of minimum standards and effective behaviours demonstrated by performance and outputs, whilst an American model suggests the skills and knowledge that employees must have (or must acquire) to input into a situation in order to achieve high levels of performance (Trompenaars, F. and Hampton-Turner, C., 2012). Trompenaars and Hampton-Turner went on to describe four main cultural competencies: (1) *cross-cultural competence* – the capability to function according to the cultural rules of more than one system; (2) *inter-cultural competence* – the capability to communicate successfully, and collaborate effectively with people of other cultures through recognition of differences; (3) *trans-cultural competence* – the capability to connect different points of view through

the elicitation of dilemmas and their reconciliation, and (4) *intra-cultural competence* – the capability to leverage cultural and ethnic diversity and differences within teams. However, according to Alves *et al.* (2005, p. 11), *‘Regarding the relation between leadership and culture, we should not take for granted that models and theories developed in one place will work similarly in another because leadership behaviours are largely influenced by societal and organizational cultures’*. Elliot (2008) posited that cultural sensitivity (or cultural fluency) enhances team performance, with different people looking for, and placing emphasis on, different behaviour in others before trust is possible. Elliot asserted that developing a culture of trust is second-placed in a long list of priorities for humanitarian workers in emergency contexts. Yet all these definitions and descriptions of cultural competence focus on ‘difference’; itself already with a tendency to be divisive.

Nonetheless, whilst challenges for organisations working within multi-cultural contexts exist, so do advantages. Elliot (2008 p. 33) stated, *‘Diversity is not a choice, but an obligation both on an individual and institutional level: integrity, if shared, will facilitate multicultural organisational success’*. Kumar *et al.* (2007) added that leaders of international organisations need to manage diversity, authority and motivation to be successful, by adopting five cross-cultural competencies: (1) understanding of business, political, and cultural environments worldwide; (2) learning perspectives, tastes, trends and technologies of other cultures; (3) working within diverse cultural environments; (4) adapting to living and communicating within other cultures, and (5) learning to interact with people from other cultures from a position of equality rather than cultural superiority. The Centre for Creative Leadership (2012, p. 3) endorsed how different cultures influence leaders, stating that leadership is in effect contextual, *‘...Embedded in the societal and organisational norms, values, and beliefs of the people being led’*.

Westwood and Chan (1992) analysed the influences of culture on eastern and western leadership, where leadership styles (and expectations) were found to differ greatly. Leaders in the west were required to be transparent, participative, supportive, accessible, and democratic. Asian leaders were supposed to be aloof, distant, non-formal, and use political influences. The west was moving away from paternalism to participation; the eastern model showed less concern for individuals. Contrarily, Blunt and Jones (1997) questioned not whether culture ‘should’ be considered, but ‘how’. They

proposed eastern leaders as following collective approaches, whilst in the west approaches were more individualistic. Yet leadership styles were seen as more directive in the east, and negotiated in the west. With leadership successfulness in western-driven IHDOs being questioned since Blunt and Jones's work, the pertinence of their question, 'how to address the issue of culture', remains.

Whilst a commonly-accepted definition of culture remains elusive, several exponents have elaborated on its main elements. The Globe Study expounded on nine main elements (CCL, 2012, p. 2) building on the works of several prominent exponents on culture (Hofstede, G., 1980; Schwartz, S. H., 1994; Smith, P. B. and Peterson, M. F., 1995; Inglehart, R., 1997), as shown in Table 5.

Table 5: Taken from the Centre for Creative Leadership (2012) Leadership effectiveness and culture - the GLOBE study p. 2

Cultural dimension	Description
Power Distance	The degree to which members of a collective expect power to be distributed equally.
Uncertainty Avoidance	The extent to which a society, organisation, or group relies on social norms, rules, and procedures to alleviate unpredictability of future events.
Humane Orientation	The degree to which a collective encourages and rewards individuals for being fair, altruistic, generous, caring, and kind to others.
Collectivism I (Institutional)	The degree to which organisational, societal, and institutional practices encourage and reward collective distribution of resources and collective action.
Collectivism II (In-Group)	The degree to which individuals express pride, loyalty, and cohesiveness in their organisations or families.
Assertiveness	The degree to which individuals are assertive, confrontational, or aggressive in their relationships with others.
Gender Egalitarianism	The degree to which a collective minimizes gender inequality.
Future Orientation	The extent to which individuals engage in future-oriented behaviours such as delaying gratification, planning, and investing in the future.
Performance Orientation	The degree to which a collective encourages and rewards group members for performance improvement and excellence.

Hofstede's (1980) well-renowned work on cultural dimensions highlights the differences in organisations and societies' cultures. Whilst it is common within (predominantly western) IHDOs to have clearly established rules and regulations, belief is no longer placed solely in 'so-called specialist experts highly specialised in one or two sectors'; acknowledgement and agreement is clearly presented of the need for 'generalists' (Chapter 6, sections 6.2.9.8; 7; Chapter 7, section 2.2.7).

Two other cultural models are of relevance for this research. The Kluckhohn-Strodbeck Framework, presented by Robbins (1996), proposed that culture manifested itself in six basic dimensions: (1) how people relate to their environment in relation to time orientation; (2) people's nature (i.e. their attitudes and behaviours towards other people); (3) people's activity orientation (i.e. what duties do



people have towards one another); (4) whether people adhere to a culture of 'being' or 'doing'; (5) people's perspectives on the aspect of 'control', and (6) people's conception of space, and how this is treated in society. Trompenaars and Hampton-Turner's (2012) *seven polarized values* – universalism vs. particularism; analysing vs. integrating; individualism vs. collectivism; time as sequence vs. time as synchronisation; achieved status vs. ascribed status; inner-directed vs. outer-directed, and equality vs. hierarchy – presented in 'Human Resource Management' (Beardwell, I. and Holden, L., 1994), focused on the divergent priorities and interests of different cultures. Trompenaars and Hampton-Turner's recommendations to international organisations on taking care to what extent they imposed their cultures on others, is pertinent for IHDOs' leaders. Leaders should ensure cultural differences are valued and optimised, rather than being sources of confusion or conflict. This alludes to the fact that leaders need also to look for '*cultural similarities*' to be successful. Further, culture is not static but continuously changing; the hybridity of cultural contexts therefore requires IHDOs' leaders to develop '*cultural sensitivity or fluency*' (Elliot, C., 2008).

### **2.2.11 Summary of leadership theories, concepts and influences**

Prominent leadership theories and definitions have been explored. Leadership characteristics, competencies, and attributes (specifically intuition and versatility) have been unpacked. Leaders' styles, interactions with their operating context, followers and tasks, the relationship between being a leader and a manager, and the aspect of culture, have all been examined. Many of the qualities included in the leadership theories, prominent characteristics, competencies and attributes mentioned, and approaches to managing and working with teams, form essential elements of leader's being (and developing themselves as) 'professionals'. What this 'professionalism' is and how it could influence leadership success is now examined.

## **2.3 Leadership and professionalism**

*"Professionalism tends to confuse means with ends - it comes to regard its own interests as of supreme importance; the great aims of humanity as a whole, or of other professions, may be legitimately subordinated to its own"*

Hayward (1917)

*“Professionalism has promised newcomers and outsiders a way to enter into the larger community. It has offered them at least a promise that with enough hard work and determination, they too can join a small group of moral and intellectual leaders”*

Roiphe (2013)

Since 2000, exponents from the aid sector have proposed that the aid sector and its leaders should ‘professionalise’ (Bonner, L. and Obergas, J., 2008; Walker, P. and Russ, C., 2010; ELRHA, 2012b; Russ, C. and Smith, D., 2012; Darcy, J. and Clarke, P. K., 2013; Derderian, K., 2013; ELRHA, 2013). Others feel the sector to be professional enough (Marcos, F. R., 2010; Nugyen, K., 2010; Camburn, J., 2011; Cooper, G., 2012). In contrast, others (Curtis, D., 2001; Stoddard, A., 2003; Aidsource, 2012) highlighted the potential problems that might arise as a result of professionalising the sector.

### **2.3.1 Professionalism: concepts and definition**

The terms professionalism, professionals and professions are inter-related. They embody the well-established (although questioned) concepts of: *monopoly* – of the ownership and practical use of a defined body of intellectualised knowledge; *specialised skill* – developed within or specifically for the profession; *formal (higher) education* – qualifications from a recognized established academic or training institution; *self-regulation* – with professionals and their professions having authority of control over their work and evaluation; *client service orientation* – a commitment to address the needs of the client (be they beneficiaries of services provided or other stakeholders) above their own interests; *certified entry* – by the profession establishing standards of admission for its members; a *code of conduct or ethics* – that orientate and regulate the behaviour of the professionals towards professional colleagues, the profession and its clients, and *appropriate attitude and professional behaviour* (Friedson, E., 1984; Chambers, R., 1993; Thompson, N., 2000; Griffin, L. C., 2003; Friedson, E., 2004; Pierce, J. G., 2004; Drach-Zahavy, A. and Somech, A., 2006; Malin, N., 2008; Muzio, D. and Hodgson, D., 2013 Kellerman, B., 2018).

Professional qualification, a central tenet of professionalism today, commenced in courses in Universities in Paris (1872) and London (1895) that were established to 'define and serve elite professionals' (Crook, D., 2008). Lester (2002) succinctly presented four professional qualification models: (1) the *classical model* focused on the importance of university education; (2) the *trade*

*model*, with a focus on craftsmanship and skill development; (3) the *technocratic model* derived from the industrial revolution, and (4) the *reflective model* which concentrated on learning by action and reflection. This latter stemmed from the 'crisis of the professions' in the 1970–1980's, due to a more market-driven economy (Friedson, E., 2004; Crook, D., 2008). However, the specialisation of knowledge and practice were part of the reason that the criticism of professionalism existed in parallel to its evolution. Prominent exponents (Chambers, R., 1993; Friedson, E., 2004; Black, D., 2008) highlighted that specialisation actually creates gaps in knowledge and relationships. Friedson (2004, p. 113) elaborated on this as,

*Specialisation prevents mutual understanding... The man of today is no longer able to understand his neighbour because his profession is his whole life, and the technical specialisation of his life has caused him to live in a closed universe.*

In the 21st Century the 'creeping threat of amateurs undermining professionals and professionalism' (Crook, D., 2008) is propagated by Malin (2008), arguing that individuals no longer have trust in 'expert systems'. Twenty five years earlier, Schön (1983) had already raised this concern as, '*The crisis of confidence in the professions, and perhaps also the decline in professional self-image, seems to be rooted in a growing scepticism about professional effectiveness*' (Idem, p. 13). Whitty (2008), and Crook (2008) supported this when stating that contemporary sociologists criticised the old professions as being associated with elitism, paternalism, control and detachment. This elitism was presented as a boundary or distance between those that see themselves as professionals, and their clients or even just 'non-professionals' (Wirt, F., 1981; Deverell, K. and Sharma, U., 2008). Growing complexity in modern society, and easier access to information through electronic systems such as the internet, undermined previously-held trust of professional practices, now overtaken by 'entrepreneurism, managerialism, quality assurance and client satisfaction' (Barnett, R., 2008; Lunt, I., 2008). According to Power (2008, p. 114), '*It is now widely recognised that the conventional conceptualisation of professionalism is no longer adequate.*' This was reinforced by Walker (CHS, 2015a) stating the requirement for a more up to date and relevant version of professionalism (including adapted and additional tenets, e.g. cultural diversity). Yet agreement on one definition of professionalism has not been found. What exists in the literature is too broad, vague, abstract,

irrelevant or contradictory (Jecker, N. S., 2004; Wilkinson, T. J., 2009; Cruess, R. L. and Cruess, S. R., 2012; Rutledge, A., 2013). Walker and Russ (2010) cited the Oxford English Dictionary, stating that professionalism is a, *'Professional quality, character, or conduct; a professional system or method'*, whilst Veloski *et al.* (2005) presented professionalism to be just another facet of competence. Drach-Zahavy and Somech (2006, p. 1893) supported this thinking where, *'Professionalism has been depicted essentially as distinctive competence, an ability to provide a service valued by members of society'*. Rutledge (2013, p. 1), negatively proposed that the, *'Many lists describing the characteristics of professionalism [are] filled in every case with irrelevancies, contradictions, non sequiturs, errors, or all of these'* and that professionalism is, *'Lacking in logic, integrity, and morality'*. Rutledge then presented an overambitious definition (Idem p. 6) where, *'Professionalism means behaving in an ethical manner while assuming and fulfilling your rightful responsibilities in every situation every time, without fail'*. Thompson (2000, p. 9), proposed professionalism as,

*A commitment to high standards; a set of values and principles to guide practice; a degree of autonomous judgement, rather than bureaucratic rule following; acceptance of personal and collective responsibility; the use of formal knowledge as part of a process of seeking to maximise effectiveness.*

Townsend and Bates (2007) supported the idea of professionalism as improving quality and standards of practice, whilst Locke (2001) subscribed to another definition categorised by: expertise (possession by an occupational group of exclusive knowledge and practice), altruism (an ethical concern of this group for its clients), and autonomy (the professional's right and need to exercise control over entry into, and subsequent practice within, that particular occupational group).

The practice of the professional is one element that binds all definitions of professionalism, supported by Hammer (2000) who presented that from social science literature of the 1950's and 1960's, levels of professionalism were based on the possession and application of certain characteristics. Whilst Friedson (1984; 1989; 2004) remained steadfast in associating professionalism with the main characteristics of the professions, Ball (2008) made a connection with the high demand for results, meeting targets, and professionals being measured. Ball argued that performativity, whilst provoking

the professional to work more effectively, also promoted self-growth and a striving for improvement. However, this came with adverse implications, as,

*Given the 'focus' on performance and reaching goals (might they be those of the institution rather than the client?), the idea of being professional is re-worked and re-orientated, both in terms of goals and commitments. Professionals are required to spend increasing amounts of time making [them] selves accountable, reporting on what [they] do rather than doing it. (Idem p. 55–56).*

Endorsing the negative connotations of this diversion from professionals' client-service orientation, Friedson (2004, p. 216) argued that, *'If professionalism is to be reasserted and regain some of its influence, it must not only elaborate and redefine its code of ethics, but also strengthen its methods of adjudicating and correcting their violation'*.

Abbott (1983) presented five properties of professional ethics: (1) a formally established ethical code; (2) belief in and compliance with the code; (3) the enforcement of formal ethics; (4) the code's application to individual professionals and their behaviour, and (5) the balance of control by collegial relations or obligations. Whilst Lester (2002, p. 6) posited that, *'Ethics as a branch of philosophy is concerned with what is right, moral or fair'*, even formal ethical codes will be influenced by a professional's personal and professional values. These may stem from race, creed, gender, ethnicity, and which, in contexts of unpredictability and complexity, may be in conflict (Lunt, I., 2008). Barnett (2008) nonetheless promoted the need for professionals to be creative, stating (Idem, p. 204),

*Professional creativity is an indication of an attempt to retain a measure of autonomy amid the swirling currents that beset professionals. There are no moral blueprints on which the professional can fall back. The professional has to deploy a level of practical wisdom.*

Power (2008, p. 206) complimented this with,

*The modern professional has to be a practising epistemologist and a practising ontologist. S/he has to know things and go on knowing; and to practice what s/he*

*preaches; and find new things to preach. On the other hand, the professional... has to take on the task of making her/himself in the world.*

Black (2008) recommended that clients have a larger role to play, as professionalism was not meeting the needs of people based on its origins as a product of corporate identities. This is endorsed by Kellerman (2018, p. 213), when stating,

*Every leadership programme, no matter who the target audience, should have a service component, or at least... send a message that states clearly and unambiguously that leaders are expected to serve others.*

Whilst some corporate actors and leaders may now be involved in the aid sector, it remains that professionalism – in its current form – still requires remodeling to be of value and subsequently contribute to IHDOs leaders' success. Black continued with a strong criticism that, as an ideology, professionalism is: boring, colourless, uninspiring; a vague blend of ethical, legal and behavioural norms not providing moral support and intellectual sustenance; not in touch with recent research or the critical imagination in scholarship (based on a lack of dialogue between academic and professional communities), and that professionalism was created for a very different working environment than exists in today's culture. Whilst this may be the case for many sectors, it is specifically so for the international aid sector. The 'lack of touch with recent research' and academic practice, as well as professionalism being 'out of context', is supported by several other exponents (Koehn, D., 1994; Chambers, R., 2006; Burke, P. J., 2008).

Hammer's 'The 'A's and 'B's of professionalism' (2000, p. 1), characterised it as, 'A set of attitudes and behaviours believed to be appropriate to a particular occupation'; 'The active demonstration of the traits of a professional', and, 'Displaying values, beliefs and attitudes that put the needs of another above your personal needs'. Marie (2013, p. 1) claimed these qualities are the 'unwritten rules of the workplace', '... the attitude you convey, your approach to resolving conflicts, your values and communication style. If your approach is fitting to your work environment, you are considered a professional'. Whilst some exponents (Crook, D., 2008; Black, D., 2008; Malin, N., 2008; Rutledge, A., 2013) presented some bleak opinions of professionalism, it is generally accepted that it at least comprises of the attitude, values and behaviour of professionals, and reflects their professions'

characteristics and orientation towards meeting the needs of others (Hammer, D. P., 2000; Friedson, E., 2004; Drach-Zahavy, A. and Somech, A., 2006; Cohen, J. J., 2007; Townsend, T. and Bates, R., 2007; Cruess, R. L. and Cruess, S. R., 2012; Kellerman, B., 2018).

However, in his assessment of professionalism, Parker (2006) concluded that a professional's attitude and behaviour are generally evaluated negatively, as opposed to their competencies (skills and knowledge), because these latter elements are easier to measure and categorise. Unquestionably, knowledge, whether tacit, acquired from formal academic institutions, or gained through practical experience, is a mainstay of the professional (Roddenberry, E. W., 1953; Cruess, R. L. *et al.*, 2000; Friedson, E., 2004; Nixon, J., 2004; Cohen, J. J., 2007; Wilkinson, T. J., 2009; Evetts, J., 2010; Rutledge, A., 2013). Yet the 'specialised knowledge' of the professional comes into question, as it risks losing a more holistic perspective. Proposing that knowledge is not just acquired in a 'one-stop-shop' process, Gorton (2008, p. 90), posited that CPD is, '*Probably the single most effective strategy for developing and maintaining a world class service. It constantly updates professional knowledge and skills by looking ahead, preparing for change and responding to immediate challenges*'. The time necessary to 'develop' leaders, as opposed to train or teach them, is highlighted by Keller (2018). Kellerman asserts that one of the problems related to professionalising leadership, is that, '*The distinctions among leadership education, training, and development are now blurred or simply absent*' (Idem, p. 79). Referring to the way leadership knowledge is created, updated and maintained, Muzio and Hodgson (2013, p. 21) asserted that, '*Professionalisation requires a tactical overhaul and the development of new methods*'.

Elliot (2007), whilst stating that professionalism has defied definition, referred to '*moral professionalism*', with pride, commitment, attitudes and values playing integral roles; these should be assessed alongside skills and academic qualifications. Martimianakis *et al.* (2009) took a parallel stance, concluding that focus should also be on individual characteristics and behaviours to build further understanding of professionalism.

Rutledge (2013) took a different position when expounding on the key qualities of professionalism, proposing that great responsibility is necessary when dealing with important matters for clients,

because a lack of care or skill, or breach of ethics, could damage them. This responsibility is manifested as the following:

- *Accountability* for a certain level of quality of work based on specialised theoretical knowledge;
- *Institutional preparation* for hands-on, practical experience under the supervision of senior members of the profession;
- Being *autonomous* in relation to control over and responsibility of their work;
- Having *direct working relationships with clients rather than customers* by exercising discretion in selection for whom services are provided;
- Applying *ethical constraints* and being bound to a professional code of conduct; aspiring to *core values* centred around the clients' interests and benefit;
- Attracting clients on a *merit-basis* owing to performance and quality of work;
- That *entry* may or may not require formal qualification or reference;
- Having a *capitalist morality* (itself not aligned to the mandates of many of the 'not-for-profit' actors in the aid sector), where responsibilities (perhaps more controversially) are grounded in a recognition of the professionals' rights to their own values.

With the ongoing global dilemma around professionalism, its future is not clear. Professionalism *has* the potential to offer much to those [professionals] who apply it wisely, but the question as to which shape and character it takes to facilitate this is critical, and remains unanswered. Barnett (2008, p. 207) summed this situation up when stating,

*Certainly this kind of professionalism is fragile; its watchwords are eternal vigilance and courageous action. Knowing, acting and communicating, and in a spirit of criticality: all this and on a daily basis. No wonder that professionals often seek early retirement. But that many continue for decades is testimony to the possibility of professionalism in the modern age. The idea of a critical professionalism in an age of super-complexity can be more than an idea.*



### **2.3.2 Summary of professionalism**

Numerous concepts, tenets, principles and definitions of professionalism, professionals and professions have been presented. Explanations of the advantages and disadvantages of professionalism have been elaborated. Professionalism, whilst evolving over the years and accumulating new facets, remains contested. Several key themes appear across many of the definitions, particularly the requirement for professionals to be orientated towards their clients' needs and interests. Additionally, appropriate behaviour, certain qualifications, skills and knowledge need to be available, sought after and optimised.

Leadership as a profession remains thwarted, as programmes geared to developing leadership require much more time, and, whilst distinct from training and educating leaders, are not seen as such. Given the wide range of responsibilities of professionals; the increasingly complex, diverse working environment; the increasing number of professions and professionals that exist, and the loss of trust in professionals from their clients, 'versatility' is an attribute that professionals (and indeed leaders in the aid sector) essentially require.

Yet fundamentally, professionalism's main elements are still geared towards the corporate sector, and to providing high performance services to clients or customers that are paying for them. These factors, alongside the clear requirement for professionalism to be made more relevant for this day and age, let alone for the aid sector and its leaders, demands that it be adapted to become more fit for purpose.

## **2.4 Conclusions on the literature on leadership and leadership theory, and concepts and definitions of leadership and professionalism**

Numerous leadership theories exist, yet not one provides a commonly-accepted or utilised definition for academics and practitioners. No one existing leadership theory encompasses all the requirements and factors necessary for successful aid sector and IHDO leadership. However, four theories – Situational Theory, Contingency Theory, Integrated Psychology Theory, and Implicit Leadership Theory – contain elements that *are* of value and are in part applicable for IHDOs' leaders.

However, there remains a debate around and between the terms leaders and managers, and leadership and management. Key leadership qualities including action logic, vertical learning, and development readiness, are not applied enough. Intuition is only mentioned six times (in relation to leadership) in the 1494 literature sources reviewed (Schön, D. A., 1983; Lee, S. K., 1987; Ling, W. and Fang, L., 2003; Barnett, R., 2008; Bennis, W., 2009; Hochschild, F., 2010). Yet, even with its associated risks (discussed further in Chapter 7), intuition remains an essential daily asset for IHDOs' leaders. The terms 'flexibility' and 'adaptability' (with negative implications) whilst alluding to the need for versatility, could be replaced by this attribute, bringing with it the necessary positive qualities for more successful IHDO leadership: yet it was only specifically mentioned once in all the literature on leadership reviewed (Ling, W. and Fang, L., 2003).

The difference between groups and teams is substantial, but teams are not mentioned in the main leadership theories, whilst predominantly established within IHDOs. Four different cultural positions, nine main cultural dimensions, four different cultural competencies and over 160 cultural definitions exist. Yet there is no one single agreed upon and utilised version, which promotes rather confusion than guidance. Culture in most of these cases is associated with 'differences' rather than similarities, particularly when definitions are elaborated in both the west and the east, presenting a more divisive undertone. With more emphasis placed on cultural similarity, leaders can optimise on the benefits that this fluency or hybridity can bring.

Leaders, to be successful, require appropriate and broad-ranging characteristics, competencies and attributes, including the ability to both lead and manage. They should be capable of dealing with influences, their teams or 'followers' (Chapter 2, section 2.2.9), the aspect of culture, and developing themselves through and with appropriate methods and approaches.

Professionalism holds several advantages and disadvantages, yet diverse perspectives and positions are held on its overall merit and value in this day and age. Several of its facets hold sway, yet are geared towards and established dominantly within and for the private sector. Professionalism – including the way leaders are developed to become more professional – therefore requires an adaptation if it is to be of value in contributing to IHDO leadership success in the aid sector in South Asia.

### **2.4.1 Implications for this research**

Based on the above theories, concepts and definitions, six key issues are pertinent for this research. Firstly, new leadership theory, specifically relevant for the aid sector, needs to be elaborated. Secondly, leadership within the aid sector, needs to be distinguished more clearly from leadership in other sectors (including the industrial world where leadership's underlying theories were dominantly developed). Thirdly the numerous characteristics and competencies mentioned require further evaluation, specifically for IHDOs' leaders working in the context of South Asia. Fourthly, the two leadership attributes of intuition and versatility need further analysis from an IHDO leadership perspective, given the institutional, organisational and contextual environments in which they have to operate. Fifthly, IHDO leaders' abilities to deal with the many influencing factors they face – including working with their teams and 'followers', and the multiple dimensions of culture, demands further examination. Sixthly, how professionalism influences (positively and negatively) IHDOs leaders' success requires deeper understanding. These six issues present the main areas and focus of this research, stimulating initial ideas on the structure and scope of the research questions to be elaborated.

Based on the above, the next chapter explores in more depth: South Asia (and specifically the three countries of India, Pakistan and Sri Lanka); the aid sector or industry and the actors therein, its architecture and mechanisms, and its influences on IHDOs' leaders; IHDOs themselves, and the influences they have on their leaders; the many dimensions of culture and how these affect IHDOs' leaders in their work in South Asia; IHDO leadership itself, and what is required for it to be successful, and the advantages and constraints of professionalism on IHDO leadership, together with the proposed professionalisation of the aid sector.

### **3. Literature review: South Asia, the aid sector, IHDOs and leadership**

*“In the face of ambiguity, uncertainty, and conflicting demands, often under great time pressure, leaders must make decisions and take effective actions to assure the survival and success of their organisations”*

Bennis in Morris (2011)

#### **3.1 Overview of this chapter**

This chapter covers an overview of South Asia, the three countries selected for the field research: India, Pakistan and Sri Lanka, and the rationale for their selection (Chapter 5, section 5.4). It continues with an un-packaging of the aid sector, including its influences on IHDOs' leaders. Next the chapter elaborates on IHDOs and provides a working definition for these. It covers some of the actors, and then introduces the three sampling IHDOs selected for this research.

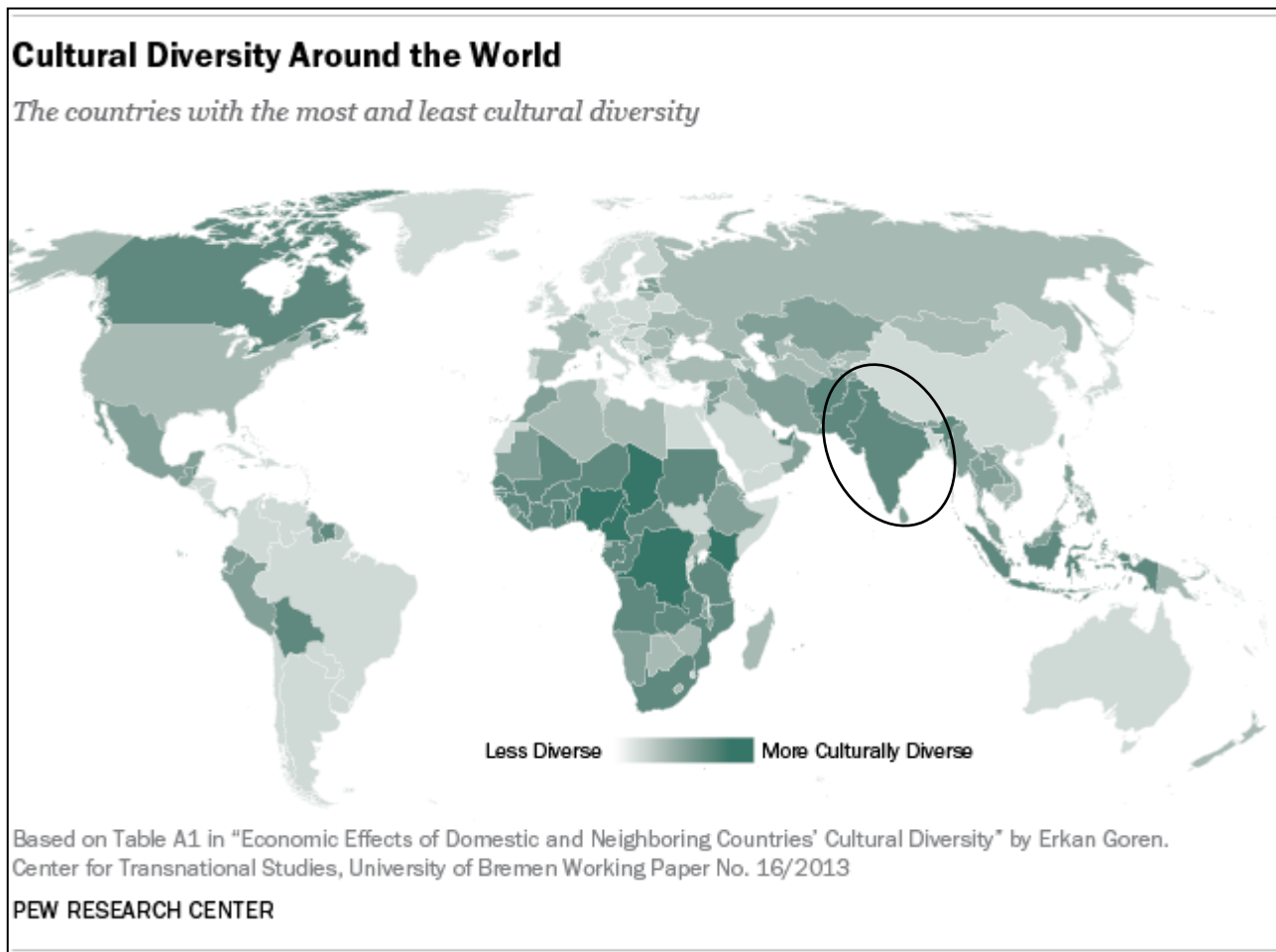
The chapter continues with an analysis of IHDO leadership. This includes the challenges and influences that contribute to the proposed deficit in their effectiveness, forming the foundation of this research. The chapter then elaborates on pertinent characteristics, competencies and attributes that could enable more successful leadership. Penultimately, professionalism in the aid sector is examined, its constraints and advantages, and whether it could support more successful IHDO leadership. Finally, implications are drawn from all the literature reviewed in chapters 2 and 3, that provide the foundations for the formulation of the main research and three sub-research questions; themselves influencing the shape of the methodology – both in theory and practice – elaborated in the following two chapters.

#### **3.2 South Asia: a regional perspective**

*“South Asia is perhaps the most unstable and dangerous region in the world today. Its instability is so wide and deep that the whole world is bearing the brunt – visible and non-visible both”*

Rabbani (2012)

South Asia is home to over one fifth of the world's population, and is the most densely populated region. Its diversity, in terms of language, culture, governance systems, geography, wealth, fragility, displacement and population density, is enormous (OCHA, 2015a). Whilst some individual countries from other regions are presented as perhaps more culturally diverse, Map 1 presents South Asia as amongst the world's most culturally diverse regions (PEW, 2013).



Map 1: South Asia as one of the most culturally diverse regions of the world. [www.assets.pewresearch.org](http://www.assets.pewresearch.org) (2013)

Increasing urban and mobile populations add challenges to this diversity (ASEM, 2012; OCHA, 2015b). 46% of the world's poor, equalling 667 million people according to the multidimensional poverty index (MPI), live in South Asia (Alkire, S. and Robles, G., 2017). Pakistan, India and Sri Lanka are classified as low-middle income countries (OECD, 2017) receiving Official Development Assistance (ODA). Even with debate on the shift in the geography of poverty to middle income countries, this should not distract from the need for continuous aid to the South Asian region (Sumner, A. and Lawo, T., 2013; ECHO, 2016). Anderson (2007 p. 4) even proposed '*Allocating*

relatively more aid (compared to the country-by-country allocation) to South Asia, and less to Sub-Saharan Africa’.

South Asian countries all rank poorly on the Human Development Index (HDI), with Sri Lanka 73<sup>rd</sup>; India 131<sup>st</sup> and Pakistan 147<sup>th</sup> from 188 countries (UNDP, 2016). In Figure 1, South Asian countries are seen towards the lower end of the spectrum.

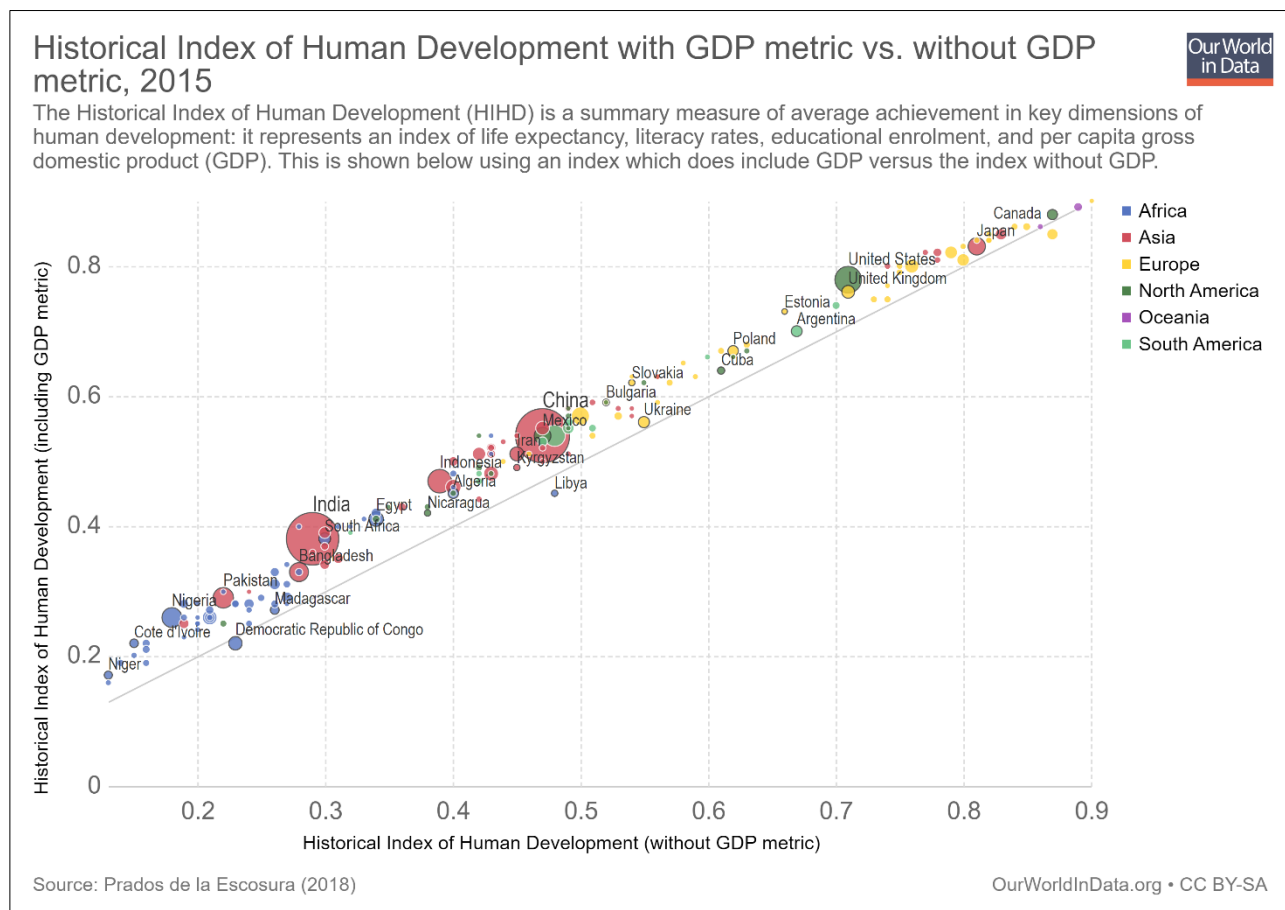
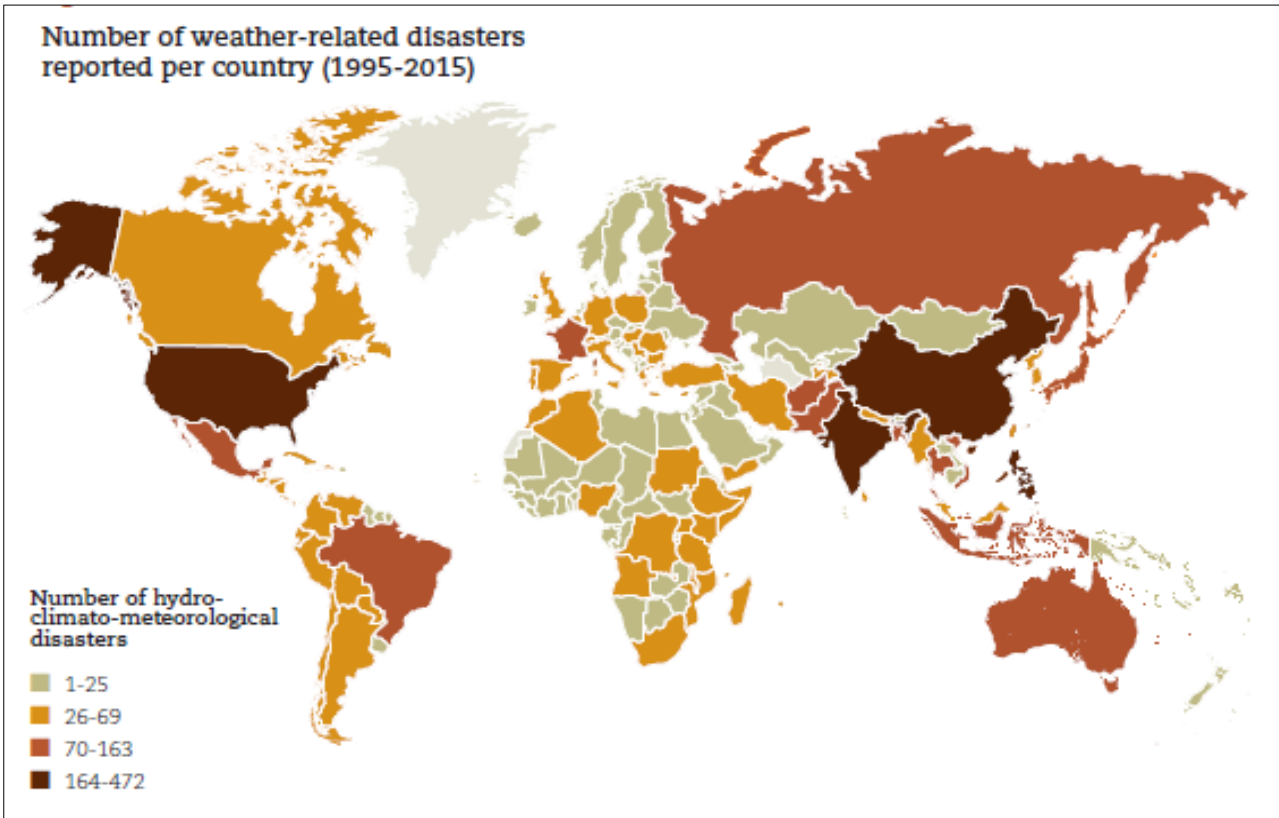


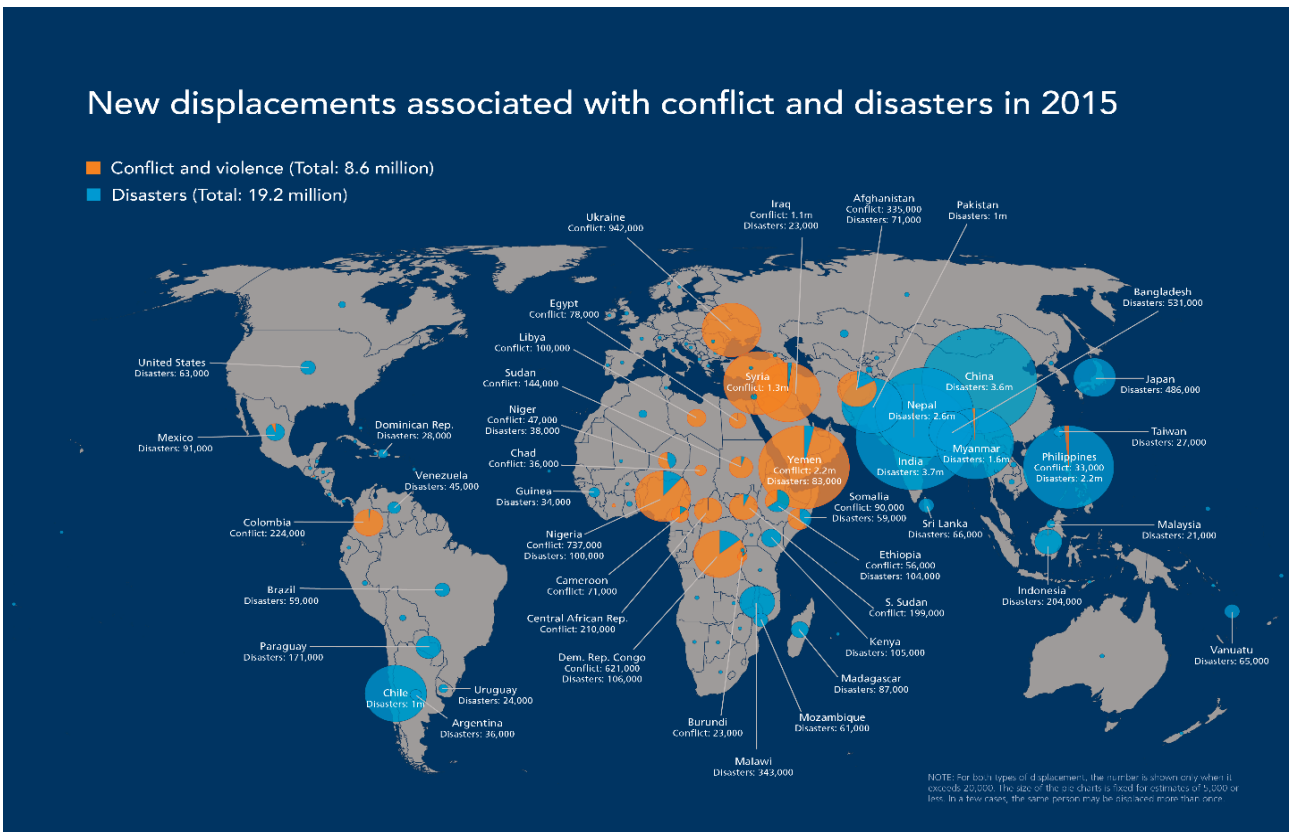
Figure 1: <https://ourworldindata.org/human-development-index>

South Asia is the most affected region in the world in terms of disasters (Te Velde, D. W., 2006). From 1972 to 2012, 1,333 natural disasters killed 980,000 people, affected 2.4 billion lives and damaged assets worth US\$ 105 billion (Memon, N., 2012). This excludes flooding in Pakistan in 2014 and the Nepal earthquakes of 2015 amongst others. Statistics showed that women were worst-affected by the tsunami of 2004 (Akerkar, S., 2017). Map 2 presents the threat from naturally-triggered disasters; some of the reasons why IHDOs operate in South Asia.



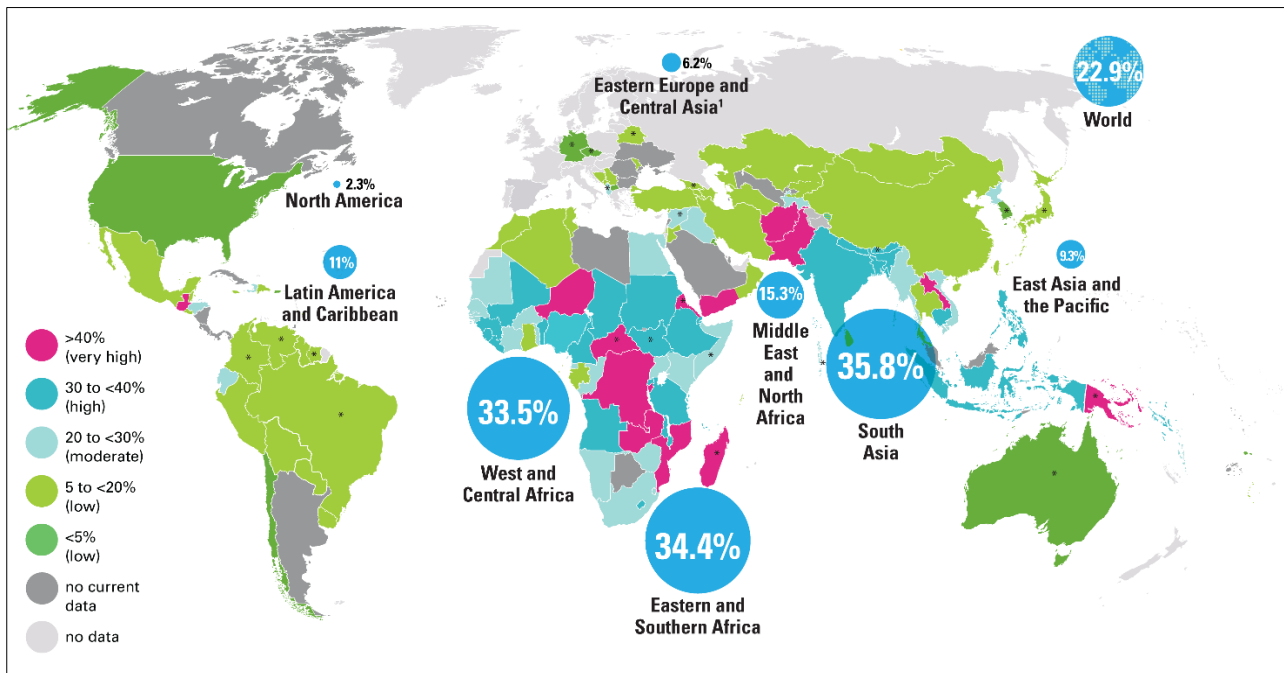
Map 2: The human cost of weather related disasters – 1995–2015. CRED - UNISDR (2015, p. 8).

Map 3 shows how threats from conflict and naturally-triggered disasters cause population displacement: a major humanitarian concern, and presenting South Asia as highly susceptible.



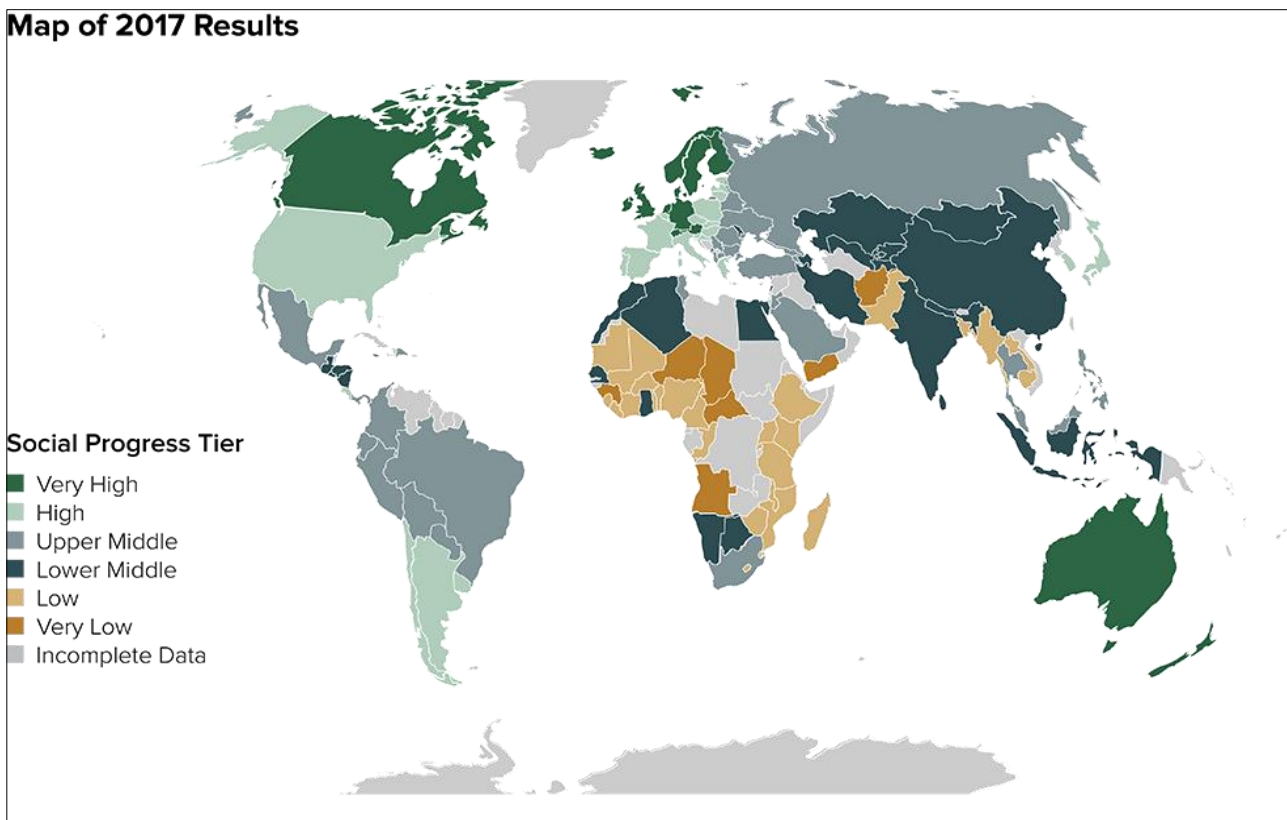
Map 3: <http://www.internal-displacement.org/globalreport2016/>

From another humanitarian and development perspective, child malnutrition is a major concern for the region (UNICEF, 2018), as indicated in Map 4.



Map 4: <https://data.unicef.org/topic/nutrition/malnutrition/>

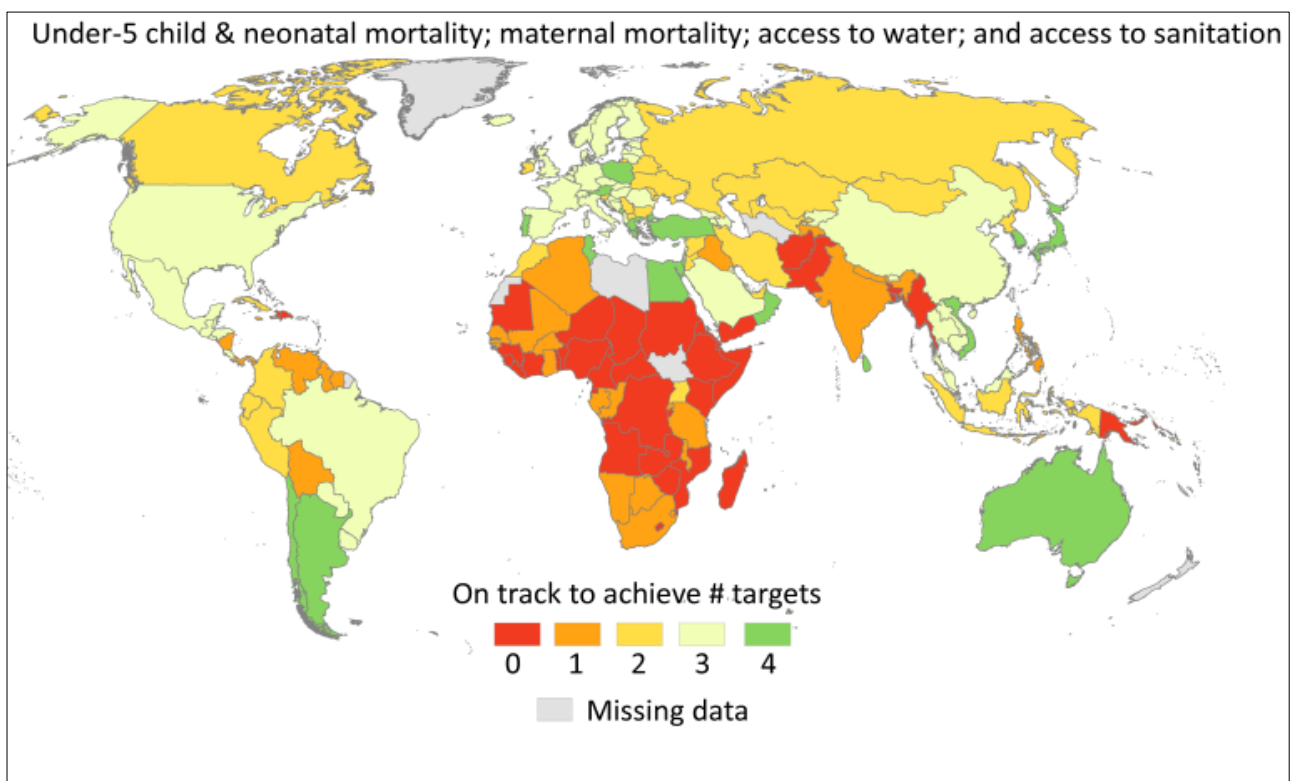
South Asia is also one of the the slower regions to instigate governance reforms (Te Velde, D. W., 2006), manifested in its low to lower-middle social progress, indicated in Map 5.



MAP 5: <https://www.socialprogressindex.com/>



The World Bank (2016) includes Bangladesh, Bhutan, India, Pakistan, Maldives, Myanmar, Nepal and Sri Lanka as the countries that constitute the South Asian region, whilst the South Asian Association for Regional Cooperation (SAARC) excludes Myanmar and includes Afghanistan. According to Rabbani (2012, p. 207), ‘*The largest and [most] influential states of the region - India and Pakistan - are actually exceedingly responsible for maintaining regional stability*’. In Map 6, India and Pakistan can be seen as countries at risk of not achieving several of the Sustainable Development Goals (SDGs) (see Section 3.3.2).



Map 6: <https://www.brookings.edu/blog/future-development/2016/12/02/how-close-is-the-world-to-ending-extreme-poverty/>

Together with Sri Lanka, these two countries, facing all the above-mentioned challenges, have been selected to form this research’s geographic locus, for which further rationale is elaborated in Chapter 5, section 5.2.3. Moreover, presenting another aspect of fragility of this region, Pakistan and Sri Lanka ranked in the top 10 countries of aid workers being attacked with a concomitant need for continued support by IHDOs (ECHO, 2015). Pakistan ranks 147<sup>th</sup>, India 131<sup>st</sup>, and Sri Lanka 73<sup>rd</sup> against the Human Development Index (HDI) (UNDP, 2016). Additionally, Sri Lanka is still recovering from nearly three decades of civil war (Jayasuriya, L., 2010). From developmental perspectives such as economic growth, trade and private sector investment (World Bank, 2016; Asian Development Bank, 2017), IHDOs and their leadership have a fundamental role to play in South Asia.

### 3.2.1 India

India is ranked as 62<sup>nd</sup> from the top of 103 'emerging economies' evaluated on the World Economic Forum's 'Inclusive Development Index'<sup>2</sup> (IDI), an alternative to the Gross Domestic Product categorisation (GDP) (WEF, 2018). It is one of the fastest growing economies in the world, currently ranked 7<sup>th</sup> (Smith, R., 2018), yet is seen as an aid paradox: whilst it becomes more prominent as a donor, 37% of its population live below the poverty line of \$1.25 per day (Fuchs, A. and Vadlamannati, K. C., 2012). India sees itself as a regional development partner (Price, G., 2005; De Groot, A. *et al.*, 2008; Chanana, D., 2009; ASEM, 2012), but ranks below Pakistan and Sri Lanka in terms of life expectancy, access to sanitation, infant immunisation, literacy rate, and controlling infant mortality (Fuchs, A. and Vadlamannati, K. C., 2012). However, its size and population proportional to these other countries must be taken into consideration in relation to these facts.

International aid exists in-country, but the Government of India's own efforts far outweigh ODA, with only 7.4% externally-contributed in 2009 (Blake, S. *et al.*, 2009); its growth as a middle income country clearly presents a dilemma to western donor countries (Agrawal, S., 2007; Ward, M., 2012). In 2003, India reduced bilateral relations with smaller donors in favour of larger multilateral assistance (De Groot, A. *et al.*, 2008; Heldgaar, J., 2008). In its role as a global player and member of the BRICS Initiative (Brazil; Russia; India; China; South Africa), Wulf (2013, p. 8) stated that, '*India amongst the others wants to reform the largely western-dominated global aid architecture*'. It is even suggested that initial World Bank assistance to India was seen as the prototype for ODA that followed (Akita, S., 2014) However, Fuchs and Vadlamannati (2012) posited that India remains a 'needy donor', based on the criticism that it diverts resources from its population to meet foreign interests. Its stable and growing economy, large skilled and educated workforce, and low labour costs, do not sidetrack from the country's humanitarian and development needs (Palat, R. A., 2012).

Aside from poverty, international aid is also essential to respond to the numerous naturally-triggered disasters that India faces. During the period 2003 to 2013, over 800 Million people in India were affected by natural disasters (IFRC, 2013) that were responded to by IHDOs. Nonetheless, data

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<sup>2</sup> The Inclusive Development Index (IDI) is an annual assessment of 103 countries' economic performance that measures how countries perform on eleven dimensions of economic progress in addition to GDP

about the number of IHDOs working in India is scarce (Bashyam, L., 2012). For many IHDOs, India remains priority for long-term development due to evidence that funds are used wisely. Yet because of their proximity to western donors, IHDOs are criticised for promoting donor-driven agendas and providing direct funding through local non-government organisations (NGOs) (Idem, 2012).

### **3.2.2 Pakistan**

Pakistan features 47<sup>th</sup> from the top of the IDI (WEF, 2018). However, according to Cammack (2007, p. 1), *'Pakistan is far from being a nation in the formal sense: it does not control its borders and it hasn't a monopoly on the means of violence within its territory'*. As the world's 6<sup>th</sup> most populated country, with approximately 204 million inhabitants, Pakistan's geo-strategic location is precarious (Hooper, E., 2012a). The Afghanistan political-military situation and relations with India remain volatile (Hooper, E., 2012a). Federalism has further exacerbated gaps between central government and the provinces (Cammack, D., 2007). Pakistan's nexus within the global war on terror puts international donors in a dilemma: advocating for democracy, while funding political, military, humanitarian and development interventions (Idem, 2007).

Five major concerns exist for the country, namely: (1) the economy, which has seen a serious decline since 2007; (2) a deficit in governance and a system based on patronage; (3) increased radicalism (from a religious perspective); (4) extremism and militancy, and (5) the civil-military divide which provides a challenge for IHDOs operating in the country (Hooper, E., 2012b). With growth averaging 2.94% and inflation at approximately 13.79%, an inability to levy taxes or implement policy, and continued fiscal deficits, Pakistan's economy is in dire straits (Jones, O. B., 2013).

IHDOs face a dilemma in working with but keeping a distance from the Pakistani government (HPG, 2009). Political interests overshadow the humanitarian imperative, with civil authorities suffering a capacity deficit with which to cope with their own challenges (Idem, 2009). The number and scale of naturally-triggered disasters to strike Pakistan are an obvious reason for this capacity deficit (Kulkarni, N. K., 2011). From 2003 to 2013, nearly 50 Million people were affected by naturally-triggered disasters (IFRC, 2013). The risks associated for IHDOs in Pakistan are also augmented by Pakistan having featured amongst the top six countries for cases of kidnapping of aid workers (Harmer, A. *et al.*, 2013). These diverse challenges influence IHDO leadership positions (and

remuneration), as IHDOs, according to Peterson (2011, p. 42), *'Were more likely to pay their leadership salaries commensurate or above the average wage for the area'*. However, the aid system in Pakistan appears functional, with post-disaster response seen as effective, and relations between Government and the 'Cluster system' well-established (Jean, I. and Bonino, F., 2014).

### 3.2.3 Sri Lanka

This small island state of 21 million inhabitants ranks 40th from the top of the IDI (WEF, 2018). Economically, Sri Lanka looks stable with GDP growing averagely at 6.8% against inflation of 6.1% (PRS, 2013). However, whilst the World Bank (2009) envisaged Sri Lanka having a post-conflict opportunity to becoming a middle income country, 26 years of civil conflict left its toll, taking Sri Lanka from a 'welfare into a warfare state' (Jayasuriya, L., 2010). Since inception in 1948, the country has additionally suffered continuous civil strife, inter-ethnic and intra-communal clashes, marginalisation, discrimination and Sinhala (Buddhist) nationalism, abysmal human rights violations, and five failed peace processes (Staermose, T., 2008; Gerharz, E., 2014; Niland, N., 2014). The Indian Ocean Tsunami of 2004, potentially catalytic in reconciling differences between the Government of Sri Lanka (GoSL) and the Liberation Tigers of Tamil Elam (LTTE), did not deter continued armed conflict, but rather fuelled it, wherein several donors had a role to play (Niland, N., 2014). It is estimated that 45% of the 2.4 million people displaced by the tsunami were in Sri Lanka (Athukorala, P. C., 2012). International assistance for this disaster was globally the largest on record. Yet new challenges were faced, including: coordination (because of excessive competition) and oversight of the response; IHDOs working outside their normal remits; institutional bottlenecks; a lack of cooperation between IHDOs and the GoSL, and the creation of a false job market economy (PRS, 2013). However, Kennedy *et al.* (2008, p. 29) stated that *'Many larger organisations ... had difficulty placing sector programme managers on the ground due to a lack of available staff at strategic level'*. In a condemning evaluation of international aid in Sri Lanka, the roles and positions of IHDOs were questioned (Niland, N. *et al.*, 2014). Whilst the systematic slaughter of civilians was highly criticised, and the enforced refugee status of the Tamil population condemned, IHDOs were seen as *'In-bed with the Sri Lankan government'*, and, *'Reluctant to challenge egregious instances of harm'* (Idem, p. 4). The report contained very strong messages, including, *'The experience of the humanitarian*

*community in Sri Lanka represents a collective and systemic failure. Its ...lack of action, cannot be separated from the loss of thousands of lives'* (Idem, p. 10).

In addition, the lack of sufficient political expertise amongst humanitarian actors was stated to be an important factor (Niland, N. *et al.*, 2014) as well as the need to, '*Enhance capacity for good decision making'* (Idem, p. 17). Since the end of the conflict, Sri Lanka needs nation rebuilding and both IHDOs support and models for this (Ramanayake, S. S. and Chandana, S. W., 2017).

### **3.2.4 Summary of South Asia**

IHDOs' leaders working in South Asia are faced with diverse challenges and contexts for their operations. The history, needs, cultures, religions, economic situations and prospects, and governance and relationships to external actors – notably donors and IHDOs – are extremely varied across the three countries. These must be accounted for in terms of their influence on successful IHDO leadership, and, in turn, how IHDOs' leaders operate in the aid sector in this region.

## **3.3 The aid sector, industry, or ecosystem**

### **3.3.1 The aid sector: background and overview**

Since World War II, a substantial augmentation in naturally-triggered disasters, protracted conflicts, violations of human rights and increasingly poor governance (amongst other concerns), gave rationale for the growth of the aid sector (ODI, 1998; Rogerson, A. *et al.*, 2004; Mosse, D., 2005; Taylor, G. *et al.*, 2012; Williams, V., 2013). For many years, the world in which the aid sector operates has been felt to be continuously changing (Galtung, J., 1967), yet even with these years of experience, the sector needs to be far more resilient, as presented by Sanderson (2016, p. 11): '*The current aid sector, largely unchanged in 75 years, is struggling to cope'*. An increase in 45% of conflict (more dominantly internal conflict and civil war) over the past 10 years, together with 92% of people killed or injured in populated areas being civilian, are poor indicators of success (OCHA, 2017). Further, OCHA (2018) states there are 135.7 million people in need; 90.9 million to receive aid, yet a deficit of 22.5 billion US dollars needed for this support. However, as shown in Figure 2, ODA is a multi-billion dollar industry. South and Central Asia are not only the second largest most-funded regions, but India and Pakistan are the second and seventh largest recipient countries.



Figure 2: <http://oecd.org/dac/financing-sustainable-development/development-finance-data/aid-at-a-glance.htm>

Figure 2 highlights the broad range of support included in ODA, with humanitarian assistance accounting for just 11.8% of the total financial support. Herein lies a dilemma for those referring to the aid sector as *just* the humanitarian system or *just* development assistance; international aid englobes multiple sectors, actors, channels, and agendas. With this backdrop, Taylor *et al.* (2012 p. 15) posited that, ‘*To include any and all providers of aid would be to define the system so broadly as to render it meaningless as a subject of analysis*’. Indeed, the idea of an ‘aid architecture’ is a misnomer (Christiansen, K. and Rogerson, A., 2005). They added:

*The system we inherit is the consequence of a long series of political initiatives... [Whilst] developmental goals and poverty reduction are the dominant discourses within the aid industry ... they are not the sole or even a major determinant of how aid is actually allocated and spent (Idem, p. 1).*

What has emerged is an ‘aid industry’ (Hanlon, J., 2004). Some states are using IHDOs to enforce international western agendas (Abbott, K. W. and Snidal, D., 1998; Macrae, J. *et al.*, 2001), and the sector is becoming both more politicised (instrumentalised by politics and economics) and influenced by donors’ priorities that overshadow fund disbursement (Barnett, M., 2005; Burall, S., 2007). According to Te Velde (2006), sixteen drivers of global change have influenced this industry in terms of its priorities, modes of delivery and the actors involved, including: demography, urbanisation, environment, food, economic growth, poverty, education, health, trade and finance, ODA, technology, governance, migration, disasters, conflicts and refugees. Yet these dimensions and changes also led to an identity crisis in which the aid sector and its leaders did not know how to move forwards (Borton, J., 1998; Christiansen, K. and Rogerson, A., 2005; Maxwell, S., 2006). Current thinking suggests a ‘deconstruction and reconstruction’ of the sector, with new architecture and power structures, and leadership ‘letting go’ (Bennet, C., 2018). Supporting this, Debois (2018) presents four flaws with the system that need addressing, namely: (1) the humanitarianisation of crises and problems which are not humanitarian in nature; (2) approaches being siloed rather than whole-of problem interventions; (3) a disconnect between the sector’s efforts and impact, and (4) a deep western bias. This latter concern requires reform to be driven by local (more than international) actors who better understand local contexts, and the focus to be on principles as much as practice

(Fernando, U. and Hilhorst, D., 2006; OECD, 2007). Gulrajani (2011) succinctly summed up the aid sector by introducing a heuristic distinction between 'aid radicals' and 'aid reformers'. Gulrajani recommended that, in fact, the radical reform of the aid sector is both desirable and achievable; as long as it is re-theorised.

### **3.3.2 Global initiatives in the aid sector**

Several initiatives have been established to tackle the above-mentioned concerns. Most noteworthy, in 2000, the Millennium Development Goals (MDGs) comprised eight measurable goals with 21 targets and 60 indicators over a 15-year period (German, A. and Randel, J., 2002). The World Summit on Sustainable Development (WSSD) (Johannesburg, 2002), the Paris Declaration on Aid Effectiveness (2005) and the Accra Declaration on an Agenda for Action (2008) brought donors, aid-recipient governments and IHDOs together. The Busan Partnership for Effective Development Cooperation focused on more local ownership, results, partnership and shared responsibility (OECD, 2012). However the objectives for working closer on common targets were not met in Johannesburg, with donors and aid-recipient governments more entrenched in their own positions (Bigg, T., 2003). Of itself, the Paris Declaration created problems in cooperation and alignment between donors and new recipient-government partners (Maxwell, S., 2005). The results were even presented as contradictory vis-a-vis ownership and conditionality (Menocal, A. R. and Rogerson, A., 2006), and consequently, the onus of partnership was not adhered to (Heldgaar, J., 2008). The outcomes of Busan were declared to be much weaker and more watered down than all previous high-level forums on aid effectiveness (Besharati, N. A., 2013). Whilst many of the MDGs were accomplished to a significant extent (UN, 2015a), 50 States risked not meeting them (Baron, R., 2007). They were seen as failing to protect the most vulnerable (Shepherd, A., 2008), with *'Around 1.5 billion people in conflict-affected countries and on the extreme margins of society unreached by the goals and unable to benefit from the tide that lifted their neighbours'* according to World Vision International (2015, p.1). However, and for the first time, a World Humanitarian Summit (WHS) was held in 2016 in Istanbul (CHS, 2015b). The issue of leadership was given appropriate prominence with leaders having to 'walk the talk'. Integrity in leadership was promoted, as were 'senior leadership teams'. A strong recognition of the humanitarian-development divide was highlighted, and a commitment made



to work on a humanitarian-development peace nexus. Further, it was recommended that organisations develop new leadership capabilities to optimise digital technologies (Idem, 2015). A ‘big deal’ or ‘grand bargain’ was also established, committing donors to providing 25% of the international humanitarian budget to or through local or national aid providers. Yet according to a report by Christian Aid on ReliefWeb (Christian Aid, 2017), progress has so far been slow. In OCHA’s report on the Summit, ‘No time to retreat’, Kelly *et al.* (2017 p. 14) presented that, ‘*Visionary leadership and support for innovation will be needed to mitigate risks that ambitious goals will be traded for ‘good enough’ solutions*’. Further, the WHS acknowledged that humanitarian response had to do ‘much more far better’ (Sanderson, D., 2018). The MDG’s successor, the Sustainable Development Goals (SDGs), formally titled, ‘Transforming our World: the 2030 Agenda for Sustainable Development’ – focusing on 17 goals to be achieved by 2030 – were established in New York in 2015 by world leaders from 193 countries (UNDP, 2015). Nonetheless, according to an annual report of progress made against these goals, IIED (2017, p. 1) argued that greater efforts were needed, as ‘*progress has not always been equitable, with uneven advances across regions, between urban and rural populations, and depending on gender, age and wealth*’.

Several South Asia regional platforms also exist to address the numerous political, economic, humanitarian and development challenges, such as the South Asian Association for Regional Cooperation (SAARC), and The Bay of Bengal Initiative for Multi-Sectoral Technical and Economic Cooperation’ (BIMSTEC), within which endorsement of and collaboration with the United Nations features prominently (BIMSTEC, 2018). However, no mention is made of engagement with any other international donors or IHDOs, many of whom support – both financially and technically – the priorities and initiatives of the South Asian countries with their endeavours.

### **3.3.3 Aid sector challenges affecting IHDO leadership**

Taylor *et al.* (2012) succinctly presented the sector’s challenges as requirements for: *effectiveness* (better leadership); *relevance* (more contextual analysis and linkages to development strategies); *coverage* (increased fund diversification); *connectedness* (improved support to national systems), and *coherence* (stakeholders to overcome structural and non-structural constraints, and both operationalise and document best practices).

Several additional concerns have become the focus of the aid sector and its leaders during recent years. These include the increase in displacement and forced migration from conflict-affected countries to neighbouring and western countries, and environmental and climate-related issues (OECD, 2015; UNDP, 2015; World Bank, 2017). Forced migration has become an increasing concern, highlighting gaps in the capacities of leadership in the aid sector to capably address this issue (Zetter, R., 2014). Further, the contexts in which humanitarian and development assistance are delivered are increasingly more fragile, volatile and complex (IRC, 2015; OECD, 2015; UNDP, 2016). With the sector itself facing numerous challenges, and the quality and effectiveness of aid being challenged, solutions will need to be handled by more experienced IHDO leadership (De Renzio, P. *et al.*, 2005; Maxwell, S., 2005; Scott, A. *et al.*, 2008; Dickmann, M. *et al.*, 2010; Taylor, G. *et al.*, 2012; Sanderson, D., 2017).

#### **3.3.4 Aid sector governance, reforms and platforms**

Improved governance and leadership of the sector would cut transaction costs, reduce market failures, and assure accountability (Barder, O. *et al.*, 2010). Demand for sector reform is well-founded, yet efforts are thwarted. Burall *et al.* (2006) proposed five options for the way forward with ODA:

1. Do nothing – leave the systems and structures as they are;
2. Rely on harmonisation – the intended outcomes of the Paris Declaration;
3. Rely on harmonisation and alignment – yet donors and agencies continue to defragment (De Renzio, P. *et al.*, 2005; Harmer, A. and Cotterrell, L., 2005; Holmes, J., 2007; Lundsgaarde, E., 2013). Rogerson *et al.* (2004) explained that after 50 years of the existence of the industry, more than 40 bilateral agencies, 15 UN agencies, and 20 global and regional financial institutions still existed.
4. Increase the use and funding of multilateral agencies – yet they have come under heavy criticism, and require reform themselves (Tickell, C., 2001; Stiglitz, J. E., 2002; Burall, S. *et al.*, 2006; Clark, H., 2012).
5. Further empower aid-receiving countries – yet western donors and agencies have their own interests, and are reluctant to hand over or let go due to concerns with corruption or misuse

of budget funds by states that are conflict parties (Pimbert, M., 2004). Christiansen and Rogerson (2005, p. 3), advanced Pimbert's thinking that, '*The system for delivering aid as well as its spending patterns, modalities and habits [are]...the political and foreign policy strategies of western governments*'.

A lack of political commitment and donor coordination (De Renzio, P. *et al.*, 2005), and asymmetric partnership exist between donors and aid-recipient governments (De Renzio, P. and Mulley, S., 2006). 'Western-driven agendas' with a mix of old and new institutions – the latter remaining inefficient and the former creating duplication – undermine each other's' initiatives; (Christiansen, K. and Rogerson, A., 2005). Belief that third world countries had just to copy first world countries to develop was unfounded (Lopes, C. *et al.*, 2002). Fragmentation is apparent within the aid system, whilst its proposed reforms are over-ambitious (Holmes, J., 2007). The spread in the locus of poverty is a more recent phenomenon, with it remaining in fragile states and poor countries, but also now prevalent in low-middle income countries (Kharas, H. and Rogerson, A., 2012; Sumner, A. and Lawo, T., 2013).

Establishing common platforms such as the Global Humanitarian Platform (GHP), and the 'Cluster Approach' combines (I)NGOs, the International Committee of the Red Cross (ICRC), the International Federation of Red Cross and Red Crescent Societies (IFRC), and the UN agencies, to increase aid effectiveness (Clarke, P. K. and Campbell, L., 2015). However the partnership is not secure, with poor coordination, uncertainty about who leads, and a need for more predictable leadership (Sanderson, D., 2017). Criticisms made by INGOs of the UN, may rebound; Ferris (2007, p. 7) asserted that, '*As [INGOs] grow and become more professional, they also run the risk of becoming increasingly similar to UN agencies*' This latter statement is based on the perception that the UN system is one of political misjudgement and administrative incompetence (Tickell, C., 2001), and, according to Featherstone (2010, p. 6). '*Overwhelming bureaucracy and underwhelming leadership*'.

### 3.3.5 Aid sector donors and funding

In Table 6 (Smith, R., 2018), the three sampling organisations' originating countries (France, Germany and UK) (see Chapter 5, section 5.2.3), are presented as amongst the world's largest economies, as is India, one of the countries selected as the locus for qualitative sampling.

Table 6: <https://www.weforum.org/agenda/2018/04/the-worlds-biggest-economies-in-2018/>

The world's biggest economies in 2018 (International Monetary Fund)		
No.	Country	Value (US\$ Trillions)
1	United States	20.40
2	China	14.00
3	Japan	5.10
4	Germany	4.20
5	United Kingdom	2.94
6	France	2.93
7	India	2.85
8	Italy	2.18
9	Brazil	2.14
10	Canada	1.80

France, Germany and the UK are also Europe's three largest donors of international aid, yet each country has different funding and distribution modalities (Rosengren, A. *et al.*, 2013). World Vision International (2012, p. 13) suggested that, '*The EU can provide leadership by ensuring effective support for disaster risk reduction and management by linking emergency responses with long-term coordinated solutions*', and that, '*The EU should continue to show bold leadership in the G8, G20 and other global forums to promote policy coherence for development*' (Idem, p. 25). However, according to Fuchs and Vadlamannati (2012), contrary to the manner in which western donors interact with recipient governments, southern donors are seen to share aid-recipient countries own development experiences, providing economical and effective aid due to their geographical proximity and lower personnel costs. Yet the relationships are not without problems (Fuchs, A. and Vadlamannati, K. C., 2012). Christiansen and Rogerson (2005, p. 4) explained these problems, as,

*Donors rarely take account of each other's resources, plans, conditionalities, or operational modalities before developing and negotiating programmes with countries.*

*Despite significant, well-intentioned recent efforts at 'donor harmonisation', and*

attempts to 'align' with government priorities and systems, little has changed operationally.

As western donors' influences increase, so does their fragmentation, with the need for a common framework, more complementarity, and better access to them for IHDOs (De Waal, J. C., 1995; Rogerson, A. and De Renzio, P., 2005; Rogerson, A. *et al.*, 2005). Western perspectives of aid required, but did not have, 'contextual translation' to fit the policy goals and interests of recipient countries (Mosse, D., 2005; CHA, 2006). Thus, the aid sector is currently seen as largely supply-driven (Sanderson, D., 2018). Several larger donors spend more money on military support than humanitarian and development assistance: the UK – eight-fold; France – nine-fold, and the US – 33 times more (German, A. and Randel, J., 2002). However, the UK, France and Germany are amongst the top five providers of net ODA, as shown in Figure 3.

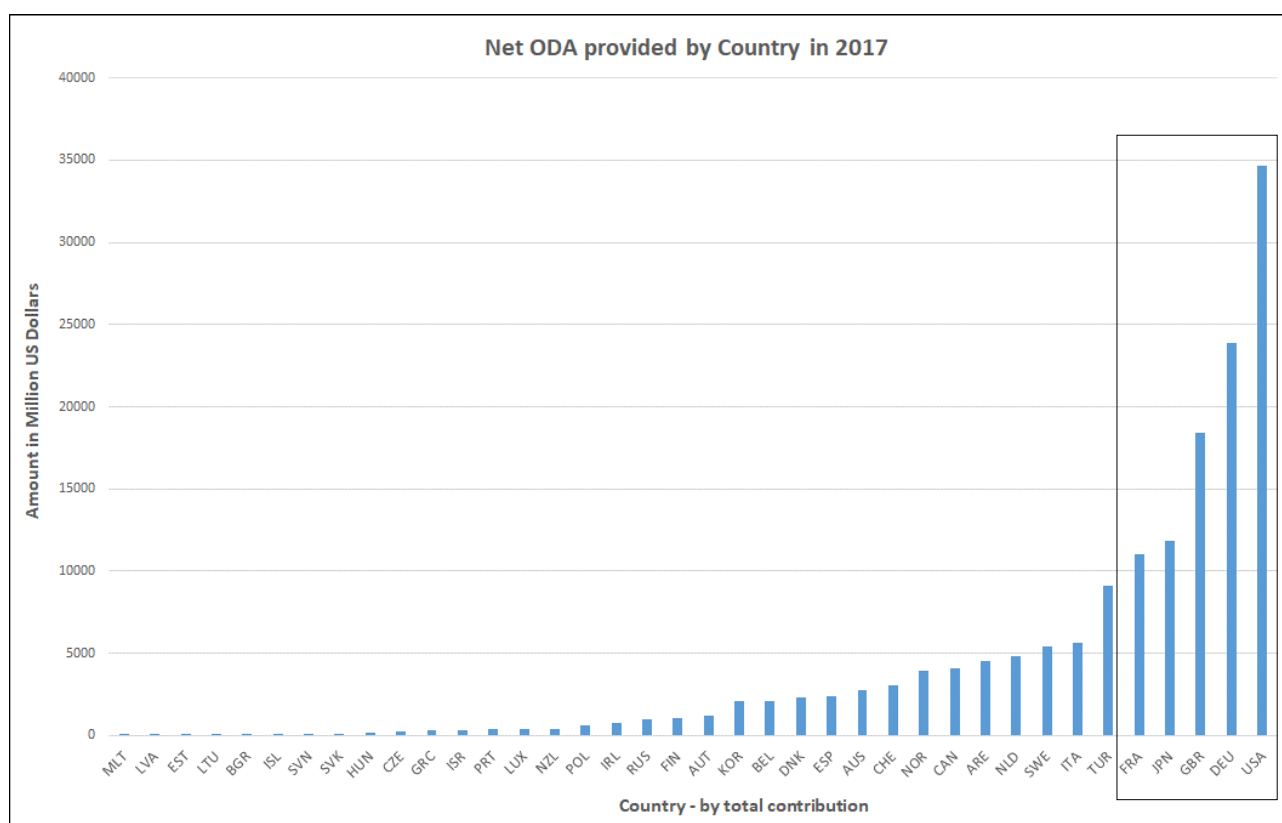


Figure 3: <https://data.oecd.org/oda/net-oda.htm#indicator-chart>

Maintaining a distinction between humanitarian and military aid is vital, yet, increasingly, NGOs receive funds from governments who also have military agendas (Marcos, F. R., 2010). The argument to 'depoliticise aid' is well-founded, yet donors are becoming more involved, leading to increased use of non-standard humanitarian intervention modes, (i.e. military contractors) (Macrae,

J. *et al.*, 2004). Further, fragmentation of development policy in their home countries (between line ministries, i.e. not a whole of government approach) shows donors lagging behind on their commitments (Lundsgaarde, E., 2013).

### **3.3.6 Aid sector standards and measurement**

Establishing common standards, such as the SPHERE Minimum Standards in 2000, presented an opportunity for alignment. Yet, according to Buchanan-Smith (2003, p. 15),

*There was concern early on that setting standards would disadvantage or discriminate against small agencies, in favour of larger more established ones.*

(Kingsbury, D. *et al.*, 2012) highlighted that even standards and indices are shifting:

*OECD countries started using the Physical Quality of Life Index (PQLI), putting aside per capita GDP in the 70's. In the 90's, this was replaced by the HDI from UNDP, combining other aspects of health and education with per capita income (Idem, p. 6).*

Whilst the HDI is still well-utilised, the 'Multi-dimensional Poverty Index (MPI), calculated across 109 countries, is also in use, though with a specific focus on poverty (Alkire, S. and Robles, G., 2017).

Kingsbury, D. *et al.* (2012) added,

*Benchmarking less developed (LD) or lesser developed (LLD) countries, using the economic poverty line of \$2 or \$1 per day could be misleading, and misses out ...livelihoods, strong social and cultural aspects, religious beliefs and support systems (Idem, p. 4-5).*

The latest index, the IDI established by the World Economic Forum (2018), only adds to the number and types of measurement available. Hofmann *et al.* (2004) reinforced the need for standardising measurement of aid impact, given claims of success are often made based on limited evidence, with the focus on impacts side-lining the effects of the processes.

### **3.3.7 Summary of the aid sector**

The aid sector is a multi-billion dollar industry with copious challenges for IHDOs and leadership. Numerous initiatives and high-level forums have taken place to address these challenges, with many

successes. However, there remain deficits in governance and leadership, and diverse and conflicting interests between stakeholders. The sector's priorities and focus continue to change and evolve, driven by western ideals and priorities. Global objectives set and reached still appear to 'leave some behind'. Funding mechanisms and donors' approaches appear fragmented and uncoordinated. Standards for measuring progress, and criteria used for target groups, continuously evolve, challenging claims of success.

### **3.4 International Humanitarian and Development Organisations (IHDOs)**

#### **3.4.1 IHDO: a working definition**

The scope, scale, and types of international, bilateral and multilateral organisations, institutions and foundations, government and non-government, private sector, civil society, and philanthropic entities engaged in international humanitarian and development assistance are vast (Handy, C., 1988; Tandon, R., 2000). Many of these international organisations work through and with local partners (Brehm, V. M., 2001), prevalent in South Asia (Edwards, M., 1999). This adheres to the Paris principles of using local systems, but risks distorting accountability (Edwards, M. and Hulme, D., 1996). Whilst international non-government organisations (INGOs) are presented as 'learning organisations in their operating contexts (Britton, B., 1998), bi- and multilateral organisations are presented as having less focus on learning, research and documentation of knowledge accrued (Hovland, I., 2003). Collingwood (2006) even raised questions as to the legitimacy of their roles, and use of power. Whatever the external perception of IHDOs, the existing number is unknown. Three well-used aid sector websites (accessed 12.05.2018) presented the following numbers of IHDOs either registered, presenting information or jobs, or engaged in discussion forums:

1. ReliefWeb: 3,024 (<https://reliefweb.int/organizations/search>)
2. DEVEX: 31,209 (<https://www.devex.com/organizations/search>)
3. DevelopmentAid: 96,803 (<https://www.developmentaid.org/organizations/search>)

With this discrepancy, defining who these organisations are is further hampered with the emergence of private sector actors' engagement in the sector. This takes the form of: fund-flows from private actors' Corporate Social Responsibility (CSR); direct implementation through 'for profit' entities (i.e.

consulting firms); services provided to IHDOs and other aid sector actors (i.e. short-term experts and consultants). Swain (2009) elaborated a broadly-encompassing set of four roles that aid organisations play, namely: (1) the *vanguard role* (pioneering or demonstrating innovation); (2) the *advocate role* (acting as pressure groups); (3) the *value-guardian role* (promoting citizens' engagement, human rights etc.), and (4) the *provider role* (delivering services that neither the host government nor the [local] private sector can).

Hailey (2015), promoted the first three of Swain's four roles, with INGOs moving away from direct implementation, and playing more enabler, knowledge broker, advocator and activist roles. Nonetheless, the commonly-utilised term INGO only describes some of these organisations. Ball and Dunn (1995) defined INGOs as voluntary, independent, not-for-profit, and not self-serving. Fowler (1997) expanded on these characteristics, including their formal or informal establishment; legal acceptance; being registered to promote recognition; being based on will and demand not laws, and subscribing to certain values. Agg (2006, p. 1) explained the distinction between NGOs and INGOs as follows:

*NGOs are ... professionalised civil society organisations that offer benefit to those outside their membership. International NGOs operate outside their country of origin, and often in more than one country or region.*

However, the term INGO specifies who they are not (Government), but *not what they do*. It excludes bilateral agencies that undertake development work directly on behalf of donor governments; it excludes the many UN agencies, the IFRC and the ICRC; it excludes commercial 'for-profit' companies, and by nuance, foundations (political or otherwise), and philanthropic organisations – all of whom are engaged in the aid sector. Yet the term INGO is commonly [mis]used to include all of the above. Consequently, for this research, the term 'International Humanitarian and Development Organisation' (IHDO) is presented to cover the target organisations in which leadership is studied. The criteria in Table 7 have been elaborated by this researcher to describe IHDOs:



Table 7: Description of international humanitarian and development organisations (IHDOs)

IHDO Facet	Description
<b>Type of organisation</b>	INGO; bilateral agency; multilateral agency; development partner; UN agency; commercial actor; consulting firm; implementing entity of donor organisations; civil society organisation; philanthropic organisation; institution and foundation (both political and not); the IFRC and the ICRC. The organisation is not solely a government or donor agency. The organisation is not military.
<b>Legal base</b>	The organisation (or its internationally-based affiliate) is officially registered as a legal entity in its country of origin.
<b>Guiding or binding principles</b>	The organisation is bound by the Humanitarian Imperative established by IFRC/ICRC to uphold the core humanitarian principles of impartiality, independence, neutrality and proselytism (for humanitarian organisations); the organisation is engaged in providing official financial or technical development assistance (ODA); the organisation is engaged in providing support in any form that contributes to the saving or improvement of lives of citizens and victims of natural or other disasters or crises (i.e. conflict-related); the organisation is engaged in providing support to the host countries authorities (be they government or other) in the overall governance of sectors that improve the well-being (social, financial, political, economical, physical etc.) of their societies.
<b>Type of work</b>	The organisation concentrates on the implementation and provision or delivery of humanitarian, transitional or development assistance. This implementation or delivery of support can be provided directly to the organisations' beneficiaries, or through other entities, i.e. local partners, civil society organisations, private contractors, or non-government organisations. It can equally be provided through 'consortium-type arrangements' with other IHDOs.
<b>Locus of engagement</b>	The organisation works predominantly but not exclusively outside its country of origin, yet most commonly, has its headquarters in its country of origin, with affiliate entities and bases established in the countries of engagement; it may also have operations and infrastructure in its country of origin, or in regional bases.

### 3.4.2 IHDOs' human resources

In 2010 it was estimated that there were around 220,000 humanitarian aid workers (Harvey, P. *et al.*, 2010; Angus, K., 2012), but it remains unclear whether this included those in international, national or local organisations, or all of these. Walker and Russ (2010) estimated a higher total number of 696,000 aid workers with an estimated annual growth rate in the sector of 6%. ELRHA (2012c) suggested that only 595,000 aid workers existed, with 384,200 of them involved in development work, and 181,561 engaged in relief activities. It is unknown who all these individuals are, how many hold 'leadership positions', what qualifications and experiences they have, or what 'professions' they hold (Marcos, F. R., 2010; Walker, P. and Russ, C., 2010). In part, as aid workers, their motives in terms of attitude and orientation towards service provision are shown (Aidsource, 2012; Cooper, R., 2013). Other motives are not well documented (ELRHA, 2012a; ELRHA, 2012b). Part of the problem related to the lack of clarity on the total number of personnel engaged in IHDOs globally, stems from a lack of clarity about the meaning of the terms 'humanitarian' and 'development'

work, and consequently how many people are actually working in these types of organisations (Macrae, J., 2004; Taylor, G. *et al.*, 2012). What is clear is that the dynamics of the data are regularly changing.

### **3.4.3 The role of the private sector**

With demands for higher performance, meeting goals and being measured against them, commercial agencies' values and approaches may be relevant (Kent, R. C., 1996; Dickmann, M. *et al.*, 2010). However, one issue is that whilst aid agencies have a 'culture of action' they fear the private sector's professionalism (see Chapter 7, section 7.7.1), including its systems of controls, specialisation and quality orientation (Lewis, D., 2001). Baron (2007) posited that aid organisations feel stymied within the new constellation of private sector actors, lacking capacities to 'keep up'.

Relations between the corporate and not-for-profit actors have never been easy, yet many within the aid sector have built a pragmatic comfort with the business world (Cooper, G., 2012). This acceptance has led to a drive towards more innovation, contravening the rigid systems and structure of the aid architecture (Agg, C., 2006; Ramalingam, B. *et al.*, 2009). Nonetheless, polarised views remain, with some agencies supporting a more flexible aid 'industry', and others wishing for an even tighter, more rule-based system (Stoddard, A., 2003). Part of the confusion may stem from the blurring of mandates and approaches between not-for-profit and corporate actors, with the latter now directly implementing aid projects, providing funds through CSR measures, or being contracted as short and long-term experts and consultants by IHDO's, donors, and directly by host country governments (Bromley, P. and Meyer, J. W., 2015).

### **3.4.4 Overview of the three sampling organisations**

Three organisations, representing a spectrum of the types of IHDOs involved in emergency and humanitarian work (MSF), transitional i.e. mixed humanitarian and development work (Oxfam), and longer-term development assistance (GIZ), have been selected as the sampling organisations for this research. The rationale for their selection is elaborated in Chapter 5, section 5.2.3, and includes: the type of work they are engaged in (along the emergency-development continuum); their countries (and cultures) of origin; their main funding sources, and this researcher's professional association

with and access to each of them. They also provided the purposefully sampled leaders and followers, whose opinions on the research subject are presented in chapter 7. A brief overview of each, adapted from their webpages, is now presented.

#### **3.4.4.1 Médecins sans Frontières (*Doctors without borders*) (MSF)**

MSF is a private international association, founded in 1971 in France. It is a worldwide movement grouped into 24 independent national and regional associations. MSF provides assistance to populations in distress, to victims of natural or man-made disasters and armed conflict, irrespective of race, religion, creed or political convictions. MSF observes the right to [provide] humanitarian assistance and claims full and unhindered freedom in the exercise of its functions. MSF has offices in 28 countries, and employs more than 35,000 people across the world. In 2016 MSF's global budget was around EUR 1.5 billion. MSF remains fiercely independent of governments and institutions. MSF reserves the right to bring attention to neglected crises, challenge abuse of the aid system, and advocates for improved medical protocols (<http://www.msf.org/en/msf-charter-and-principles>).

#### **3.4.4.2 Oxford Committee for Famine Relief (Oxfam)**

Oxfam is an international confederation of 20 organizations working with partners and local communities in more than 90 countries. Established in 1942, Oxfam works on practical, innovative ways for people to lift themselves out of poverty and thrive. In 2016 Oxfam's global budget was around EUR 1 billion. Oxfam campaigns for voices of the poor to influence decisions that affect them. They help people in natural disasters and conflicts across the world with clean water, food, sanitation and protection. Oxfam encourages global and local policy makers to bring about the changes needed to improve lives of those affected. Oxfam works with communities to tackle the causes of poverty by a combination of hands on know-how, financial investment and education; their long-term development projects are transforming lives (<https://www.oxfam.org/en/about>).

### **3.4.4.3 Deutsche Gesellschaft für Internationale Zusammenarbeit (*German Society for International Cooperation*) (GIZ)**

GIZ is a provider of international cooperation services for sustainable international development. It has over 50 years' experience supporting economic development and employment, energy and the environment, and peace and security. GIZ works with governments, businesses, civil society actors and research institutions, with a primary focus on capacity development. The German Federal Ministry for Economic Cooperation and Development (BMZ) is GIZ's main commissioning party. As a public-benefit federal enterprise, German and European values are central to GIZ's work. In 2016 GIZ's global business volume was around EUR 2.4 billion. GIZ has nearly 20,000 staff working in 120 countries, almost 70 per cent of which are national personnel. GIZ's actions are geared towards sustainability, and in helping decision-makers accomplish their political objectives (<https://www.giz.de/en/html/index.html>).

### **3.4.5 Summary of IHDOs**

IHDOs are among the main stakeholders delivering essential emergency humanitarian relief, transitional aid and longer-term development assistance to countries and populations in need of support. However, IHDOs have diverse backgrounds, mandates, objectives, and agendas: commonly-applied terms like INGO do not do justice to the full spectrum of actors in the aid sector. The number, backgrounds and motivation of personnel working for IHDOs remains to a large extent unknown. Three sampling IHDOs are introduced, representing a spectrum of the humanitarian, transitional and development actors involved in the aid sector, and showing their broad range of mandates and priorities.

## **3.5 Leadership in IHDOs**

### **3.5.1 An overview of IHDOs' leaders and leadership**

A lack of knowledge exists about who the IHDOs' leaders of today and tomorrow are, and what core abilities they require (Bonner, L. and Obergas, J., 2008; Dickmann, M. *et al.*, 2010). Many prominent IHDOs (Care International, CRS, GIZ, Oxfam, Save the Children, and WVI) already utilise private sector support to coach and develop their leaders (Jayawickrama, S., 2011; GIZ, 2012; Knox Clarke,

P. and Obrecht, A., 2015). Leadership skill-sets derived from the business sector appear key but this poses a challenge for not-for-profit organisations (Johnson, M., 2010; Angus, K., 2012). Many organisations, including the Consortium of British Humanitarian Agencies (CBHA), have elaborated 'key competency criteria' for IHDOs' leaders (Dickmann *et al.*, 2010). However, they proposed there is further need for IHDOs to '*Invest in structured leadership development programmes that are specialized to the sector*' (Idem, p. 32). The UN (2013) developed a guide specifically for taking care of leaders working in emergency situations. Bonner and Obergas (2008) presented two different leadership requirements, related to fund raising and development, and managing growth and change. Even donors (e.g. the Australian Government's Department of Foreign Affairs and Trade (DFAT), and the British Government's Department for International Development (DFID)) have channeled more of their resources to developing leadership, yet this is still not influencing the recruitment strategies of IHDOs (Knox Clarke, P., 2014). The Active Learning Network for Accountability and Performance's (ALNAP) work on leadership goes back to basics, focusing on the identification of a vision; creation of a strategic plan, and its implementation (Knox Clarke, P., 2014). Whilst acknowledging that 'finding the right people to lead' remains essential, Know Clarke's report recommends leadership teams, rather than individuals. Hailey (2015) also presented this as the latest leadership structure used by IHDOs, but questions whether these leaders should all be 'at the top' of their organisations, or whether they should also incorporate middle management; clearly having the right people in the leadership team is crucial. This equally implies that the locus of power is an essential factor that IHDOs must consider.

Research over three decades by Yukl (2002) concluded that 'Influence is the essence of leadership', but that the issue is not whether leaders will use power, but will they use it wisely and well. With increased media attention on the way funds are utilised within the aid sector (Angus, K., 2012), Yukl (2002) succinctly presented a key issue of accountability for the aid sectors' leaders. Yukl further intimates that leadership influence may be in the hands of more than one person (Idem pp. 3):

*Most definitions of leadership reflect the assumption that it involves a social influence process whereby intentional influence is exerted by one person [or group]*

*over other people [or groups] to structure the activities and relationships in a group or organisation.*

However, whilst individuals are more likely to obey powerful figures, the powerful are still assumed to have a variety of positive characteristics (Keltner, D. *et al.*, 2000). Other traditional perspectives of power include members deriving power from the groups to which they belong, and that power is associated with perceptions of personal efficacy, dependence, freedom (to decide and act) and control (Idem). These perceptions may well be stymied in the contexts and organisations in which IHDO leaders operate. Firstly (and usually), IHDOs have mandates, rules, regulations and procedures that apply to the way hierarchy and systems work. Secondly, with the increased focus on the sector for accountability and transparency, most organisations have policies on how decisions (especially related to expenditure) are made (usually at least applying the 'four-eye' principle). Thus, 'the powerful' – in this case the leaders of these organisations - are normally regulated by their institutional arrangements, restraining their 'freedom' and ability to make decisions without some form of cross-check or validation process.

Stacey (2009) proposes that exercising power requires trust and collaboration, balancing 'assertive' and 'accommodating' powers, to equal 'collaborative' power, wherein the priorities of multi-stakeholders' are taken into account. This collaborative use of power within the aid sector context requires not just trust and collaboration, but dexterity in the leaders' abilities to effectively balance diplomacy, negotiation skill, communication, coordination, and to incorporate all the interests of diverse parties, from clients, partners, and donors, to beneficiaries in a satisfactory outcome; something that is widely felt as fundamentally lacking in the sector (Van Rooy, A., 2000; Afful, K., 2002; Graves, S. *et al.*, 2007; Featherstone, A., 2010; Alnoor, E. and Rangan, V. K., 2010; Harvey, P. *et al.*, 2010; Johnson, M., 2010; Buchanan-Smith, M. and Scriven, K., 2011; Clarke, P. K., 2013; Darcy, J. and Clarke, P.K., 2013). Thus, IHDO leaders can incorporate the concept of collective (or collaborative) power into their actions. Indeed, many IHDOs and their leaders already utilise participatory (collaborative) processes, be they in decision-making, policy formation, planning, or in dialogue with donors, partners and recipients of their aid. But with the current critique of the effectiveness of the sectors' leaders, this alone is not enough. Several other factors, influences, challenges and deficits in effective leadership are also of significant importance.

### 3.5.2 Leadership challenges and deficits

#### 3.5.2.1 Influences on leadership from the aid sector

Future demands on IHDOs' leaders differ from those of the past. As an additional challenge, these changing demands at times need to be addressed by leaders who joined the aid sector as volunteers (particularly within humanitarian organisations) with altruistic ethics less aligned to new business-type leadership styles (Van Rooy, A., 2000).

Research on the cluster system showed collective leadership capable of addressing multiple tasks and responsibilities, and to facing up to the expectations of humanitarian leadership (McIlreavy, P. and Nichols, C., 2013). However, *'Respondents noted that often the real decisions happen outside the [cluster] meetings'* (Idem, p. 4). Further, the system expanded too far and too fast with a lack of clarity over roles and responsibilities (Graves, S. *et al.*, 2007). Graves *et al.* (2007) pointed out,

*Confusion and differing interpretations of the cluster approach persist. The lack of a consistent, clear conceptualisation of the cluster approach is not just a product of poor communication, but stems from deep-seated inconsistencies and lack of consensus* (Idem, p. 3).

OCHA (2010) specifically mentioned long-standing gaps between UN and non-UN agencies, erratic coordination, lacking accountability, and worrying 'dependence on personalities', as deficits with the cluster system. This system is clearly faced with numerous obstacles (Zetter, R., 2010), and lack of effective or predicable leadership (Sanderson, D., 2017). MSF further asserted that cluster meetings are, according to Healy and Tiller (2014, p. 26), *'Rife with wishful thinking and the minimization of problems [where] collective accountability disguised an absence of individual agency accountability'* For the cluster system and IHDOs therein, there is a dwindling supply of effective leaders (Bonner, L. and Obergas, J., 2008; Featherstone, A., 2010; Lattimer, C. *et al.*, 2012). Whatever the leadership constellation, IHDOs leaders must be prepared for and address change.

The shift in the aid sector's focus from poverty reduction to climate change proposed to take place by 2025 (Rogerson, A., 2012), also impacts on the required capabilities of tomorrows' leaders. Taylor *et al.* (2012) added that IHDOs' leaders need to cope with new economic and political challenges,

and new security environments. Clarke (2013, p. 5), argued these shifts draw attention to a deficit in research, '*Which has focused around the skills and abilities required of leaders, not on the challenges associated with effective leadership in the aid sector*'. A further deficit lies in the complete lack of acknowledgement in key literature (UN, 2015b, 2018) that IHDOs' leaders have essential roles to play in the delivery of aid and in meeting global strategic targets: both current and future. The countries within which IHDOs operate demand networking and relational skills from their leaders, and abilities to work in diverse complexity and emergency settings, sometimes with limited information for decision making (ALNAP, 2014). Yet leaders in the sector were seen as ineffective in handling the increased number and complexity of disasters (Clarke, P. K. and Ramalingam, B., 2009). Ineffective leadership and a lack of engagement of local actors had a negative knock-on effect for the aid system (Harvey, P. *et al.*, 2010); difficulties in recruiting appropriately qualified leaders abound (Walters, T., 2010). As Christiansen and Rogerson (2005 p. 1) asserted,

*The aid system is not a coherent, functional structure based on a single design, or even commonly held principles. The wide range of actors, interests, operational modalities, approaches and assumptions may simply be undermining each other's objectives. ...problems of inefficiency, duplication and lack of accountability remain largely unsolved and are sometimes reinforced.*

However, according to Blanding (2013), successful leadership is characterised by an ability to respond to a constantly evolving set of commitments in a number of fluid circumstances. For this, leaders need: an intellectual understanding of the global context; the capacity to simultaneously develop global and local perspectives; the ability to overcome the dominant thinking from their HQ's; to be capable of cross-boundary partnering; self-awareness and self-assurance when it comes to values and sense of purpose, and the ability to develop networks – both internal and external to the organisation. Given IHDO leadership needs for this diverse set of qualities, and the multitude of challenges that the aid sector places on IHDOs' leaders (Hanna, J., 2012), the deficit in focus on supporting and developing them remains an enigma (Featherstone, A., 2010). What is clear is that the world is changing, the contexts in which IHDOs operate are changing, and therefore IHDOs and their leaders need also to change: not just to embrace change, but manage it (Hailey, J., 2015).



### 3.5.2.2 Influences on leadership from their IHDOs

Bennis (2009) stated it clearly: organisations can help or hinder their leaders. For many years IHDOs have been criticised for not doing enough to improve their recruitment processes and practices, including the need to evolve their job descriptions and use appropriate criteria for staff selection (Staudt, K., 1991; Harris, H. and Brewster, C., 1999; Hailey, J., 2015). These aspects are connected to IHDOs performance, where, according to Hailey (2015), there is an issue of performance, and failure of leaders to deal with poor organisational performance. From a capacity development perspective, IHDOs are not doing enough to develop their leaders, and where initiatives are taken, they focus on competencies rather than characteristics and attributes (Fernández-Aráoz, C. *et al.*, 2017). Kellerman (2018, p. 101), pertinently states that, *'We continue to be dissatisfied with and disappointed in leaders, and in leadership programmes, because we insist on teaching in short bursts that which requires learning life-long'*. Kellerman reiterates (2018, p. 15), that, *'One of the reasons leadership education, training and development have stayed stuck, is the fact that neither scholars nor practitioners have been able to define it with precision'*. Bonner and Obergas (2008, p. 7) raised the sensitive, yet oft-avoided aspect of remuneration, presenting that, *'The leadership deficit is becoming an acute problem due to ...3 out of 4 Executive Directors planning to leave their jobs due to inadequate compensation'*. Dickmann *et al.* (2010) reinforced this 'hygiene factor', proposing that whilst not a primary motivation, it did influence whether leaders remained with an IHDO. Dickmann *et al.* (2010) suggested that whilst the sector requires 'business-like leaders', it will not or cannot pay 'business-like salaries'.

Jayawickrama (2011, p. 18) stated that, *'Given the business models of INGOs and the constant pressure to reduce overheads... funds for management and leadership development typically compete with other organisational priorities'*. The 'scaling up' of IHDOs to meet new externally-faced challenges in turn creates internal organisational ones for leadership. According to Clarke and Ramalingam (2009, p. 29), IHDOs have,

*Become larger, more diverse and more complex; they employ higher numbers of technical specialists; engage more actively with the media; use more formalised*

*management procedures; subscribe to inter-agency quality-improvement initiatives, and have higher levels of contact with other agencies.*

In each case where such growth occurs within an IHDO, change may take place within the Board of Directors (as is the overarching structure of many IHDOs) and this influences the leadership, particularly through the early and latent stages of the Board's development (Hudson, M., 1995b). With growth also comes change in internal structures that leaders have to manage (Hudson, M., 1995a). This may include dealing with a larger staff base, and the need to 'listen more' for bottom up learning (Power, G. *et al.*, 2002). Another factor affecting leaders is the need for greater organisational flexibility (including 'smart working' and more commonly-utilised *virtual teams*, and digital technology) (Hailey, J., 2015), whereas IHDOs HQ's emphasise the need for consistency (Suzuki, N., 1996). This 'influence' from IHDOs' HQ's and difference of perspective from their leaders in the field is not just limited to staffing (see Chapter 6).

Harvey (2009, p. 29) raised another concern in light of 'post -Paris Declaration' interventions, that,

*Northern leaders, aid agencies and donor institutions shape, fund and manage what is generally termed humanitarian action... They may pay lip service to the importance of 'other' traditions of humanitarianism...but non-western and discordant voices seldom get a serious hearing.*

However, according to UNDP (2009, p. 70), southern leaders reasoned that their '*Own limited capacity to take leadership...own limited information about [their] experience and expertise; ...limited participation in programme development... and own limited capacity to articulate needs*', may influence this continued asymmetry. Yet southern leaders' environments present numerous challenges, including patronage, lack of fit between skills and job demands, lack of trust from their organisations, power struggles, and reluctance to face and deal with conflict (Afful, K., 2002; Gentry, A. W. *et al.*, 2010). Harvey *et al.* (2010 p. 65) proposed that there is not enough nurturing of local leaders, and that more globally, '*The number one problem facing humanitarian operations was a lack of effective leadership*'. Interestingly and diversely, Fordham *et al.* (2011) presented that local *women's leadership* in both pre and post-disaster settings was securing necessary resources and addressing concerns.

### 3.5.2.3 Influences on leadership from culture

Culture – including societal, organisational and individual, and often manifested in IHDOs as ‘risk aversion’ – is sometimes seen as a major hindrance to effective leadership (see Chapter 2, section 2.2.10), which tends to obstruct, rather than foster the relationships and communication necessary (Mitchell, J., 2011; Sida, L. *et al.*, 2012; Clarke, P. K., 2013; Knox Clarke, P., 2014). This is inherent in the aid system, starting from leaders recruitment, where IHDOs attach more prominence to hard technical skills than soft communication and inter-cultural relational ones (Buchanan-Smith, M. and Scriven, K., 2011). Yet, Silverthorne (2010, p. 1) asserted that, *‘Asian beliefs, philosophies and practices are influencing everything... now [we are] looking to the East as a model for developing strong leaders’*. Alves *et al.* (2005, p. 18) recommended that, *‘Westerners, in general, will benefit from an increased awareness of a tendency toward a western bias in leadership theory, as well as an increased openness to understanding the differences in Eastern cultures’*.

Culture also provides numerous advantages for IHDOs leadership, including: increased flexibility within the team; broad perspectives used for problem-solving; an understanding for leaders of purposive behaviour, and offering leaders the opportunity to optimise on diversity (Kumar, R. *et al.*, 2007; Elliot, C., 2008). Nonetheless, management and leadership models – in multi-cultural settings – must be implemented with flexibility for them to be successful (Francesco, A. M. and Gold, B. A., 1998). This requires IHDOs to integrate cultural dimensions into HR policy, processes and practice (Ackroyd, S. and Crowdy, P. A., 1990; Grindle, M. S., 1997). Nonetheless, Pless and Maak (2004) caution IHDOs’ leaders not to side-line culture’s normative aspects for its integration into organisational strategies and policies; IHDOs’ leaders need to seek cultural ‘similarities’; focusing more on cultural hybridity and fluency, and less on cultural differences.

### 3.5.3 Successful IHDO leadership: characteristics, competencies and attributes

*“All great leaders evidence four qualities that are central to their ability to lead: adaptive capacity, the ability to engage others through shared meaning, a distinctive voice, and unshakeable integrity. These four qualities mark all exemplary leaders, whatever their age, gender, ethnicity, or race”*

Numerous characteristics (see Annex 2), competencies (see Annex 3) and attributes for successful IHDO leadership are documented; self-awareness, motivation, and critical judgment are three key qualities mentioned as important by Fowler (2001), and Walker in CHS (2015a).

Bonner and Obergas (2008) further elaborated on the leadership aspect of motivation, as needing to be 'client'-focused wherein professionalism appears. In complex environments of change, Clarke and Ramalingam (2009, p. 45) posited that IHDOs require leaders who can,

*Successfully navigate periods of change;...encourage and facilitate difficult negotiations; ...are prepared to disrupt existing patterns of organisational behaviour, and are prepared to accept a loss of control'.*

Successful leadership infers thinking and acting in parallel, effective communication, trust-based collaboration, initiating and managing change, and orientation towards meeting objectives (GIZ, 2012). Woods *et al.* (2015) presented seven leadership aspects that could improve their effectiveness, namely: (1) selecting and retaining leaders on merit; (2) improved management of performance; (3) setting and evaluating ethical standards; (4) developing and retaining talent; (5) engaging with a wider range of stakeholders; (6) evaluating leaders' performance independently and more effectively, and (7), ensuring that leaders set strategic priorities. Hailey (2006, p. 17) reinforced the aspect of leaders' development of strategies, when stating,

*The capacity to play different roles and balance competing demands, as well as develop strategies that enable them to cope with the exigencies of complex and difficult external environments, appears to be one of the hallmarks of many successful NGO leaders.*

Strategic decision-making, when dealing with diverse actors in complex settings, remain essential (Bennis, W., 2009; HPG, 2009). These contexts also demand agility, resilience, advocacy, collaboration and partnership, and an ability to manage complexity (Dickmann, M. *et al.*, 2010). Quoting 'People in Aid' (2003), Dickmann *et al.* (2010, p. 13) stated that successful leadership, '*Is about seeing the overall goal within the changing context and taking responsibility to motivate others*

to work towards it, independent of one's own role or seniority'. Goal efficiency (indicating the establishment of a vision, setting of strategy and direction) is also promoted by Ling (2003). Buchanan-Smith and Scriven (2011, p. 10) presented the goal as the vision itself, as well as stating that successful leaders are necessary to, *'Bring aid workers (organizationally and individually) together around that vision'*. Supporting these arguments in an evaluation of UN leadership, Hochschild (2010, p. 9) firmly posited that,

*Strong leadership and the absence of leadership both have a disproportionate multiplier effect: Strong leaders attract the best staff and bring out the best in all staff.*

*Where leadership is absent and morale poor, those staff who can, leave.*

Hochschild (2010, p. 19) pertinently, and uniquely, brought 'intuition' into decision-making, by adding,

*Leaders tend to work in circumstances which require decisions without necessarily always having the full picture. Intuition and imagination are thus important and allow leaders to see ahead of the game.*

The literature provided very little coverage on intuition (Chapter 2, section 2.2.7) as an essential and daily-utilised ability of IHDOs' leaders (Walker, A. in CHS, 2015a), perhaps because it is difficult to measure, in terms of performance, and does not fit with the increasingly more stringent standards that IHDOs have to adhere to. Hochschild (2010) elaborated on this, presenting successful leaders as requiring an adaptive capacity and ability to perform different roles. However, where the impetus in the aid sector is for leaders to specialize, this 'versatility' does not fit the bill. GIZ (2013, p. 3) also promoted successful leaders as those, who, *'Must be ready to jettison outmoded ways of thinking and create space for new ways of doing things'*; they must be able and willing to bring about fundamental change within their own sphere of influence and beyond it (Idem, 2013). However, according to Buchanan-Smith and Scriven (2011, p. 11), *'There is no competency model that can be applied to build the ideal leader. Leaders are effective when they are able to bring how they really are to the task they have chosen'*. Senge (1990) also recommended leaders bringing their skill-sets to the tasks allocated, but rather as designers and teachers than charismatic heroes. Personal mastery, mental models, a shared vision, team learning and thinking systemically formed the basis of this skill-set (Idem, 1990).

As mentioned above, business models of leadership are being considered far more seriously, and in some cases applied by IHDOs. Child Fund (2011) established a 'Leadership Effectiveness Analysis' system to measure their leaders' performance. World Vision International (WVI) used a private sector-developed 'Integrated Competency Development Model' for their team leaders (Casey, M. and Lorey, M., 2011). Save the Children partnered with the Standard Chartered Bank to support the development and training of their leaders (SCF, 2013). Oxfam, ActionAid, Catholic Relief Services, and Mercy Corps, add to the list of IHDOs that used the private sector for providing coaching, mentoring, and transformational leadership development (Jayawickrama, S., 2011; Oxfam, 2014). The leadership of the Danish Refugee Council (DRC) recently established a partnership with a subsidiary of Microsoft to turn DRC globally into a 'paperless organisation' in 2019 (Blicher, T., 2018); this is the first contract of this kind with the aid sector, for the ICT giant. Other support for leadership effectiveness includes the use of role models (Mitchell, J., 2011). However, according to Jayawickrama (2011, p. 10), leadership development in IHDOs worked best when it was,

*...Contextualised to fit the needs and culture of each organisation. When this does not happen and corporate management 'best practices' are imported directly... they risk dampening motivation, stifling innovation and breeding cynicism.*

To be successful, leadership in the hands of an individual, or undertaken by a group or team, remains a dilemma (see Chapter 6, section 6.3.6); the context in which leadership is undertaken is a key determinant (Clarke, P. K., 2013). In support of solo leaders, Sida *et al.* (2012, p. 68), asserted that,

*With an effective individual at the helm the system-wide contribution has a much greater chance of working. This individual needs to command a degree of respect within and without the organisation, and understand the importance of the 'whole of system' approach.*

Clarke (2013) also agreed that an 'exceptional individual approach' is feasible. However, these individuals are hard to identify, are uncertain in high pressure contexts, and culturally not all encompassing: 'We need to accept that there will always be a significant gap between the number of exceptional leaders that the system requires and the number available' (Idem, p. 22). The

*structured leadership approach* focuses on providing effective leadership from orientation and regulations, not hierarchy: *'Whilst people are important, getting the structures right is the emphasis'* (Idem, p. 29).

One model for effective leadership currently promoted within IHDOs, is that of 'collective' or 'collaborative' leadership (George, B., 2011; Knox Clarke, P., 2014). The advantages incorporate having multiple perspectives included in decision making, work-load sharing, and continuity in the absence of part of the leadership team (Clarke, P. K., 2013). However, risks of group think, domination, asymmetry, compromise, and slow decision-making may be incurred. In another survey undertaken by ALNAP (2014), 59% of the respondents stated that leadership is most successful when decisions are made by a team that also works together to implement them (Knox Clarke, P., 2014). Whether individual or team leadership is utilised, consensus remains that individual and organisational culture also influence the effectiveness of leadership (Sida, L. *et al.*, 2012; Clarke, P. K., 2013).

Yet, effective leadership, according to the State of the Humanitarian System report 2018, remains elusive. According to the report, leaders do not know what they are supposed to achieve, are risk averse, lack clear common vision, require more training, are provided with only limited decentralised control (for those operating in field offices), and are even made up of a non-suitable calibre of individuals. Further, leadership was seen as either helping or hindering effective delivery of aid. The report highlights that, for effective leadership, *'There is a still a mismatch between the nature of the problem and the nature of the solutions being developed it'* (Idem, p. 195).

Thus, the qualities of leadership, both in nature, and nurtured, whilst acknowledged and understood, remain in need of appropriate development if leaders are to become more successful.

### 3.5.4 Summary of IHDO leadership

IHDOs' leaders face numerous challenges in their work. They must deal with influences from the aid sector, from their own organisations, from other stakeholders, and from the multiple dimensions of culture. Collective leadership may add value for complex situations. There is more room for national staff to take on leadership roles and functions, with IHDOs re-evaluating their own cultures and practices, and providing relevant capacity development to assist their leaders' growth. Sparse data is available about who IHDOs' leaders are and what motivates them, though remuneration features higher than in past discourse. Nonetheless, efforts made to improve leadership effectiveness appear inappropriate. Leadership successfulness constitutes numerous characteristics, competencies, and attributes, skill-sets and instruments; many now acknowledged as deriving from the private sector. However, there remains a debate about the professional values and standards that the private sector actors bring to the aid sector. Professionalism, and the professionalisation of the aid sector, are now presented.

## 3.6 Professionalism in IHDOs

### 3.6.1 How professionalism constrains IHDO leadership

The diversity of individual IHDOs' standards and performance has caused a debate over professionalism in the aid sector (Buchanan-Smith, M., 2003). For this reason there has been an increasing drive to streamline professionalisation (Buchanan-Smith, M., 2003; Stoddard, A., 2003; Van Wassenhove, L. N., 2006; Scott, A. *et al.*, 2008; Clarke, P. K. and Ramalingam, B., 2009; Walker, P. and Russ, C., 2010; ELRHA, 2012b; Cooper, R., 2013). However, critics argued that this exposes IHDOs to the logic of central calculation (Curtis, D., 2001). Clarke and Ramalingam (2009, p. 29) rightly stated that, '*Standards established at 'the centre' (IHDOs' headquarters) tend not to be flexible enough for operational locations*'. The Humanitarian Charter and the Sphere Minimum Standards, according to Buchanan-Smith (2003, p. 14), were established in 2000 due to a '*Sense of discomfort felt by some agencies about the range of standards and performance to which different agencies operated*'. Setting standards and codes of conduct that all IHDOs adhere to is certainly one main challenge of professionalising the sector (Oxfam, 1996; CHA, 2009). Whilst Anglophone organisations led by Oxfam want tighter accountability standards, Francophone organisations led by



MSF prefer a set of rigid, lowest-common-denominator standards that inhibit innovation and independence (Stoddard, A., 2003). Conversely to its original position on the subject, MSF has since set professional standards that may even be too high for government health authorities to maintain (MSF, 2012).

Institutions like ALNAP promote accreditation of IHDOs, using certification as a means to enhance accountability. However, accreditation and certification within IHDOs were also seen as a concern (Walker, P. and Russ, C., 2010). The Humanitarian Accountability Project (HAP) was established as a self-regulatory body to ensure the accountability of its members (HAP, 2010), yet far from all IHDOs are members. Shanks (2014, p. 1) argued that, *'This challenge will not be addressed simply by introducing more regulation, as proposed recently by schemes to credential aid agencies'*. Shanks further added (Idem, p. 7) that, *'The humanitarian impulse cannot be regulated, nor taught in a classroom. Yet a commitment to help without the necessary professional experience and organisational infrastructure can lead to poor quality assistance'*. Walker and Russ (2010), Camburn (2011), and ELRHA (2013) presented only a handful of UK-based universities providing relevant qualifications for IHDOs' workers: each with varied core modules, and none applying follow-up on pass-out students. However, universities have been thwarted in obtaining information from the aid sector on the design inputs of modules and curricula (ELRHA, 2013).

A critique of the standards of professionals within the sector includes the potential blockage to creativity and innovation, where Ramalingam *et al.* (2009, p. 72) stated, *'Previous ALNAP work highlights the tension between innovation and the professionalisation of the sector'*. Another critique is related to the lack of experience of international staff abroad who 'can't find jobs at home' (Marcos, F. R., 2010). According to MSF (2012, p. 194), engaging inexperienced aid workers is, *'Sometimes exacerbated by inappropriate personal behaviour, conspicuous consumption, and other manifestations of the 'white car syndrome''*, leading to the system as a whole being, *'Viewed as inflexible, arrogant and culturally insensitive'* (Idem, p. 194). IHDOs' leaders have to take these aspects into consideration, and in this light, three pertinent concerns are highlighted by Walker and Russ (2010), namely that: (1) young professionals need more than just willingness and book learning, (2) existing yet less qualified staff are not sidelined in the drive for setting high standards,

and (3) the system still allows space for volunteers. MSF (2012) asserted that this situation is already prevalent, with the sector even now too self-referential, thriving on isomorphism, and with standards that act as barriers to entry for national players.

Not only are the proposed professional standards seen as a barrier for entry, but existing standards are very outdated, Derderian (2013, p. 1), and, whilst improving accountability, *'Cannot be reduced to technical standards and templates'*. Alnoor and Rangan (2010) stated that accountability has become the 'mantra' of the aid sector, based on the demands of donors and tax payers, and not on 'how' spending is undertaken. Further research is required into IHDOs leaders' abilities to negotiate with those that apply these pressures (Idem, 2010). Other barriers already exist for those inside the sector that are attempting to further professionalise, including: lack of access to CPD due to nationality; limited linguistic ability; lack of availability of funds and geographic locus of training opportunities; the low quality and availability of relevant training programmes – including for leaders (see Chapter 7, section 7.4), and limited trust from IHDOs that investment will be returned (Russ, C. and Smith, D., 2012). Many of these barriers are faced specifically by IHDOs' national personnel in South Asia, who are, *'Unable to leave their countries [for training] due to travel restrictions'* (Idem, p. 26), and that, *'South Asians... are not given due opportunity because of their identity'* (Idem, p. 41). This major concern has been reiterated by Darcy and Clarke (2013, p. 33), quoting the synthesis report of the Tsunami Evaluation Coalition, with,

*Widespread brushing aside [of] local organisations; displacement of able local staff by poorly prepared internationals; dominance of English as the "lingua franca"; ... [and] applying more demanding conditions to national and local partners than those accepted by international organisations.*

These 'professional standards' are based on professionalism being a western concept that marginalises local knowledge and culture, and hinders local people getting involved with aid work (Aidsource, 2012). Dorrie in Aidsource (2012, p. 2) added that whilst, *'A certain amount of non-professionalism will probably lead to bad decisions being made and some money being wasted... professionalising at all costs will undermine the very reasons aid is given and probably result in even bigger problems'*. From a survey on professionalising the aid sector undertaken by ELRHA (2012b),

four main criteria – reflecting many original tenets of professionalism – were proposed (see Chapter 2, section 2.3.1), namely: (1) a monopoly over the use of specialized knowledge; (2) knowledge to be used in an altruistic fashion; (3) autonomy to establish and maintain standards of practice and self-regulation to ensure quality, and (4) responsibility for the integrity of knowledge, its expansion and proper use. On professional knowledge, Joy and Shields (2013, p. 50) stated,

*Knowledge of the community is at the heart of the sector's innovative nature, which is made more difficult when the sector is forced to become more professionalized.*

Nonetheless, beneficiaries of aid have not been involved in the dialogue about professionalising the sector (Nugyen, K., 2010; ELRHA, 2012a). Lacking from ELRHA's criteria were the more positively-perceived tenets of professionalism (see Chapter 6, section 6.3.9.6). Additionally neglected were salaries: more important in the increasingly business-like world of IHDO's professional leaders. (Cooper, G., 2012; Warren, K., 2013).

When it comes to leaders as professionals, Kellerman (2018) recommends the need for improvement in leadership capacity development and training programmes, as well as the organisations that provide them. Kellerman asserts that leaders need to continue to grow, to learn and to study, but that the leadership 'industry' does not take seriously how to teach people how to lead, when stating that for leadership programmes at the professional level, *'The focus is nearly entirely on learning leadership practice, not on learning leadership theory; on learning how to lead, not on learning about leadership'* (Idem, p. 59)

### **3.6.2 Advantages of professionalism for IHDO leadership**

Numerous organisations provide professional training programmes for the aid sector, including ALNAP, BIOFORCE, ELRHA, INTRAC, HAP, PHAP, RedR, People in Aid, MANGO, SPHERE, WANGO and the IFRC (ELRHA, 2012c). It has been proposed that establishing common professional standards and backstopping these through standardized qualification and accreditation programmes will increase accountability and raise quality and consistency in IHDOs' interventions (Walker, P. and Russ, C., 2010). This is particularly the case where IHDOs partner with local organisations and can consequently hold them accountable (Gardner, A. M., 2008). Care International, amongst others, endorses inter-agency professional standards, to 'speak a common

language' (Rugh, J., 2008). Responding to large scale disasters like the Indian Ocean Tsunami (2004) and the Pakistan floods (2010), with increased media coverage, promoted the need for setting and adhering to professional standards (Darcy, J. and Clarke, P. K., 2013). Notwithstanding these, sector-wide competencies could complement and enhance individual agencies' own structures (Swords, S., 2007; Camburn, J., 2011; UNDP, 2014). Some agencies already adhere to common competency frameworks for staff and leaders (e.g. the CBHA version) (Rigby, B., 2013), yet numerous different versions exist (Bolden, R. *et al.*, 2003; PIA, 2003). A more professional aid sector would ensure, through the ethical practice of IHDOs, that standards are applied systematically, and quality and consistency are improved (WANGO, 2004; Walker, P. and Russ, C., 2010). A strategy for improving IHDOs' accountability and professionalism is for their leaders to engage in closer dialogue with other stakeholders: host governments, partners, beneficiaries and donors, educating the latter on the importance of professionalism in the IHDOs implementing interventions with their funding (Nugyen, K., 2010; Suárez, D. F., 2011; ELRHA, 2012a; Russ, C. and Smith, D., 2012). Collaboration with the private sector, academic institutions and civil society groups requires relationship-building, maintenance, and expansion (Van Wassenhove, L. N., 2006; GIZ, 2013). However, these relationships may take decades to put into practice (ELRHA, 2012a). What is crucial is to professionalise the sector in a manner compatible with the values and ethical principles that underpin aid work (Marcos, F. R., 2010), and that the professionalisation process be a continuous one (HAP, 2010). Several competency models have been elaborated, such as those proposed by RedR (2012) and CBHA (2013), though they require further alignment with sector-specific competency models and personnel needs (Camburn, J., 2011). Improving recruitment practices, and giving more prominence to 'soft characteristics' are further endorsed (Idem, 2011). Establishing longer employment contracts, reducing professional staff turnover, and improving and maintaining professional standards are also recommended (Walters, T., 2010; Camburn, J., 2011).

Several proposed measures have been elaborated by ELRHA (Walker, P. and Russ, C., 2010), including: improved data collection and information sharing about IHDOs' personnel; ensuring academic institutions have consensus on core curricula and subjects and that those used are internationally accredited; building consensus on existing competency frameworks; establishing a

dedicated, independent oversight certification body, and actively promoting the establishment and sharing of knowledge in aid work.

### **3.6.3 How professionalism can better support IHDO leadership**

Complementing existing initiatives to improve leadership effectiveness, existing leadership teaching, training and capacity development programmes, a more professional aid sector will assist IHDOs' leaders in their responsibilities to uphold professionalism and associated standards and practices (Lyne de Ver, H., 2009). They must equally promote their organisations as professional entities (Angus, K., 2012). However, and more importantly, Silverthorne (2008) recommends that IHDOs' leaders have a responsibility to continuously work on their own professional development (Chapter 6, section 6.3.9.9; Chapter 7, section 7.7). In this instance, according to Kellerman (2018), three deficits in the pedagogy behind leadership development need to be addressed, namely: (1) that followers are no longer viewed as irrelevant or unimportant; (2) that leadership is presumed to be distinct from the contexts in which leaders operate, and (3) that whilst good leadership matters, so too (from the perspective of learning from error) does bad leadership.

Leaders coming from the private sector have a role in promoting, establishing and maintaining professionalism, both within their own organisations and within other IHDOs in the aid sector (Bonner, L. and Obergas, J., 2008). Yet in a continuously changing context with IHDOs trying to become more professional, Johnson (2010, p. 7) argued that, *'Some leaders don't fit the new regimes and need to move on or out'*. IHDOs' professional procedures may act as a hindrance, and, according to Hochschild (2010, p. 47), may stymie their leaders' creativity where, *'Many [leadership] roles are specialized, and behaviour is heavily regulated by the plethora of standard procedures, rules and regulations'*. Therefore, according to Buchanan-Smith and Scriven (2011, p. 30), IHDOs' leaders require an, *'Ability to make decisions on the basis of incomplete, unreliable and sometimes contradictory information'*, and, *'Flexibility to change decisions as situations change'*. Thus professionalism – in its current form – may not provide an enabling environment for these essential leadership qualities (Knox Clarke, P., 2014). Additionally, commonly-acknowledged professional frameworks as presented by CBHA, REDR, and BIOFORCE (amongst others), only promote competencies; leadership characteristics are neglected (Emmens, B. and Swords, S., 2010; ELRHA,

2012c). With other required attributes such as versatility and intuition also sidelined, leadership success is at risk of being stymied. According to Kellerman (2018, p. 225),

*Professionalising leadership is not rocket science. But it does require that we reconceive leadership. It does require that we stop thinking of leadership as an occupation, and start thinking of it as a profession, entailing proper preparation and unremitting dedication.*

#### **3.6.4 Summary of professionalism and its impact on IHDO leadership**

With a move towards more professionalism in the aid sector, professional growth and adaptation of IHDO leadership is critical. Yet the original tenets of professionalism do not fit with the realities of IHDOs' leaders. Client-service orientation excludes beneficiaries' voices in the standards of professionalism "they" require. Certified entry and accreditation risk creating an elite, and sidelining those unable to access the 'right' academic institutions or CPD opportunities. In contexts where improved information sharing is essential, the monopoly over the use of knowledge does not fit. The drive towards transparency can contradict the element of 'self-regulation'. IHDOs' leaders operating in continuously changing and increasingly complex situations, can be blocked by professional standards that may be too constricting. With the drive for the aid sector to become more 'business-like', 'new aid sector professionalism' can be beneficial.

### **3.7 Conclusions on the literature on South Asia, the aid sector, IHDOs, leadership and professionalism**

South Asia, and the three countries of India, Pakistan and Sri Lanka specifically, present increasingly diverse and complex contexts, and numerous challenges which IHDOs and their leaders have to address. These countries' often-volatile environments, demand the provision of all types of support from the international aid sector, including emergency humanitarian aid, transitional (mixed humanitarian and development assistance), and longer-term development.

The aid sector – now a multi-billion dollar industry – has been in existence for over 75 years. However, whilst the world around it is changing, the aid sector itself has not evolved, is struggling to cope, and needs far more resilience. The aid sector, industry, or ecosystem (with a broad range of actors, influences, objectives and changing priorities) presents its own set of challenges to IHDOs and their leadership in South Asia. These include: (1) global and regional platforms and initiatives from which ways forward and outcomes are sometimes unclear, slow to put into practice, do not always reach intended goals, and, in some cases, fragment the actors involved (especially the international donors and the host Governments); (2) coordination mechanisms that are often asymmetric in terms of the power structures within, and which are ineffective in including all relevant stakeholders; (3) a disconnect between the effort (and funds) put in and their impact; (4) the way measurement of progress (and criteria applied for this) continues to change, and tends to focus on the previously-mentioned impacts and less on the processes used to achieve them; (5) a deep-rooted western and 'supply-driven' bias, and a clear need for radical reform as the quality of aid, and effectiveness of the sector in delivering this, is questioned.

IHDOs are an increasingly diversified range of actors whose total number remains unknown. These include actors from the private sector, with whom some organisations in the aid sector build alliances and collaboration, whilst with whom others are reticent to engage as this poses a challenge to their 'not-for-profit' ethos's. IHDOs have varied perspectives and mandates, ranging from emergency-humanitarian aid, through transitional support to longer-term development assistance. They originate from a broad range of backgrounds and cultures, each with their own organisational cultures, policies, procedures and practices. Some work closely with government, some implement measures

directly, and others work through local actors; all with their own sets of identities, priorities and interests. These differences tend to influence IHDOs to working more on their own agendas, and in silos, rather than engaging in real partnership and collaborative endeavours. Whilst capacity development initiatives are undertaken by these organisations for their leaders, they are seen as insufficient and focusing more on enhancing competencies than characteristics.

Many cultural dimensions of the countries of operation, of the IHDOs, of the leaders, and of the local teams, all influence IHDOs leaders' success. These cultural influences are seen as both challenges and opportunities, but are most generally seen as divisive, rather than being optimized upon; cultural 'similarities, hybridity and fluidity', are rarely exploited in the positive sense. In either case, IHDOs' leaders require a broad range of cultural competencies to address them.

Professionalism within the aid sector, in IHDOs working in South Asia, and for leaders and leadership, remains a bi-polar debate. Some organisations associate this professionalisation with tighter restrictions, specialisation, and (too high) standard-setting; reducing the institutional and organisational space to be flexible given the continuously changing contexts. Certification is felt to be a barrier to entry to the sector, and the monopoly over and use of knowledge is seen as contradictory to the need for sharing information, best practices and lessons learned. Further, local staff are seen as sidelined when it comes to opportunities for their professional development and growth. Others see the professionalisation of the sector and their organisations as advantageous in terms of it: streamlining standards; proving consistency in accountability and transparency mechanisms; raising quality in the provision of aid; enhancing IHDOs and their staff's competencies; bringing a focus to bear on clients (or appropriately-named stakeholders or beneficiaries); leading to closer dialogue and engagement with the organisations' key stakeholders, and facilitating partnership with other actors from the private sector, civil society and academic realms. The differences between educating, training and developing professional leaders has been raised, with the professionalisation of leadership requiring much more time than is currently allocated. Nonetheless, with the continuing bi-polar debate, professionalism itself needs to be adapted to better fit the needs of IHDOs, their leaders, staff, and stakeholders in the aid sector in South Asia.



IHDOs' leaders also have their own backgrounds, cultures, experiences, characteristics, competencies, and attributes. They must utilise these to deal with influences from the aid and private sectors, their organisations and teams, and the important aspect of culture. IHDOs' leaders work in continuously changing, and often volatile contexts. They must lead by example and be versatile enough to play different roles; be capable of addressing the challenges they face from different perspectives, and adapt with competence to the different circumstances they increasingly face. Leaders are expected to create a vision, define goals, and guide and motivate their teams towards achievement of these. Leaders need the capability to embrace, navigate and manage periods of change, and work with numerous stakeholders within these situations. Whether they do this as an individual, or as part of a leadership team, remains a debate.

### **3.7.1 Implications for this research**

Building on the implications from the background literature review (Chapter 2, section 2.4.1), and implications from the literature reviewed in this chapter, three key issues (leadership qualities, influencing factors, and professionalism) have been identified as forming the framework for this research, the main themes to be studied, and consequently the design of the research questions intended to be answered. These three issues include:

- 1. Leadership qualities:** the specific characteristics, competencies and attributes required for successful IHDOs' leaders;
- 2. Influencing factors:** the complex, continuously changing, and demanding operating context of South Asia; the aid sector (including its architecture and definition, changing direction and priorities, global forums and goals, the actors involved therein, coordination and funding mechanisms, and the continuously diverse and changing means of measuring progress and impacts); IHDOs (including their institutional and organisational structures, mandates, policies, procedures and practices, and demands placed upon their leaders - including from the IHDOs' stakeholders); the multiple dimensions of culture (from societal, organisational and individual levels); IHDOs leaders' themselves, and their teams;

**3. Professionalism:** its numerous tenets, its outdated and non-aid sector specific focus, its advantages and constraints, and its potential relevance for IHDO leadership, and their development.

From the literary findings, and structured around the three key issues mentioned above, the following research questions – one overarching and three sub-questions – have been elaborated:

*How can leaders and leadership be more successful in international humanitarian and development organisations in South Asia?*

- 1. Which characteristics, competencies and attributes are essential for IHDOs' leaders?*
- 2. What factors influence the success of IHDOs' leaders and leadership?*
- 3. How can professionalism contribute to better leadership in IHDOs?*

These questions thus form the foundations upon which the theoretical and practical methodologies of this research are applied. This research and researcher's philosophical background, and the methodological approaches taken (together with their rationale), are presented in the two consecutive chapters.

## 4. Research methodology: theoretical perspectives

*“Action is the way to change existence. To perform changes in desired ways, action must be guided by purpose and knowledge”*

Goldkuhl (2011)

### 4.1 Overview of this chapter

This chapter presents the philosophical framework (world view) and theoretical stance including this researcher’s epistemology and ontology. Next the research design and methodology chosen are introduced, including the research approach taken, and the rationale for these choices. This study is guided by one main and three sub-research questions:

*How can leaders and leadership be more successful in international humanitarian and development organisations in South Asia?*

- 1. Which characteristics, competencies and attributes are essential for IHDOs’ leaders?*
- 2. What factors influence the success of IHDOs’ leaders and leadership?*
- 3. How can professionalism contribute to better leadership in IHDOs?*

This chapter then addresses the criteria of validity, reliability and replicability, and presents the ethical considerations and actions taken for this research.

### 4.2 The philosophical framework and theory behind this study

The philosophical framework or, as many exponents of research philosophy term this, ‘the research paradigm’, has been determined using numerous and divergent perspectives, definitions, meanings and significances (Kuhn, T. S., 1970; Masterman, M., 1970; Burrell, G. and Morgan, G., 1979; Guba, E. G. and Lincoln, Y. S., 1989, 1994; Ritchie, J. and Lewis, J., 2003; Morgan, D. L., 2007; Saunders, M. *et al.*, 2009b). Mkansi and Achempong (2013, p. 133) argued that,

*Whilst they [research paradigms] share critical assumptions, they emphasize very different implications of those assumptions... [and] adopt different categorisation and classification. Given these differences, it is not surprising that these philosophical debates have generated a dilemma for research students.*

Saunders *et al.* (2009a) and Guba and Lincoln (1994) present perspectives that view philosophies (i.e. positivism, realism, interpretivism, and pragmatism) from an epistemological, ontological, and axiological stance. Yet for Ritchie and Lewis (2003), the ontological perspective includes realism, materialism, critical realism, idealism and relativism; their epistemological perspectives include positivism and interpretivism. Whilst Saunders *et al.* (2009a) proposed four elements of philosophy – positivism, realism, interpretivism and axiology, Flowers (2009) presented three of these (positivism, realism and interpretivism) as research paradigms; Nogeste (2007) added constructivism to this list. Research paradigms are presented very differently by Saunders *et al.* (2009a) as functionalist, radical humanist, interpretivist, and radical structuralist, whilst Greene and Caracelli (2003) proposed the definition of these paradigms to be a person's 'worldview'. Teddlie and Tashakkori (2009, p. 84) enhanced this by defining paradigm, '*as a world view, together with the various philosophical assumptions associated with that point of view*'. Kuhn (1970), promoting 'communities of practice' in social science research, suggested that paradigms are characterised by four things: (1) focus on a problem that is regarded as significant in relation to the advancement of knowledge; (2) shared understanding about which research techniques are appropriate for investigation; (3) sense of identity obtained through the process of information exchange and professional and interpersonal networks, and (4) operationalisation through groups of practitioners working in research communities.

Whichever terminology is applied, Flowers (2009, p. 1) asserted that it is important to discuss the philosophical and paradigm aspects, '*in order that approaches congruent to the nature and aims of the particular inquiry are adopted, and to ensure that researcher biases are understood, exposed, and minimised*'.

Research philosophy relates to the development of knowledge and the nature of that knowledge; it contains important assumptions about the way in which one views the world (Saunders, M. *et al.*, 2009a). For this researcher, Easterby-Smith *et al.* (2008) aptly presented ontology as: a consideration of what constitutes reality being closely coupled with epistemology; the most appropriate ways of enquiring into the social nature of the world; what is knowledge, and what are its sources and limitations. 'Being' for eighteen years in the multi-cultural, multi-influence and multi-

stimuli context of the aid sector globally, has led this researcher to believe that reality both exists but is also interpreted in its existence, based on personal perception, interactions, and practical experience. Whilst reality is acknowledged, in part, as existing 'out there – independent of social actors' (objectivism), this researcher equally appreciates 'social phenomena as being created from the perceptions and consequential actions of social actors' (subjectivism) (Blaikie, N., 1993; Saunders, M. *et al.*, 2009a).

### **4.3 Pragmatism, the research and this researcher**

Actions as a consequence of knowledge connects with this researcher as a 'development practitioner', an IHDO leader in South Asia, and a subjective element of the study itself. This philosophical position and epistemology of trying to understand 'what it means to know' (Gray, D. E., 2013), (i.e. what happens as a result of knowing), expresses this researcher's alignment to pragmatism, and focus on actions to resolve a research problem. This is presented as the pragmatist epistemology of objecting to viewing knowledge as 'just a copy of reality'; knowledge should be used to make a difference in action (Rorty, R., 1980). Goldkuhl (2011, p. 2) mirrored this researcher's epistemology, when stating that,

*Pragmatism is concerned with action and change and the interplay between knowledge and action. This makes it appropriate as a basis for research approaches intervening into the world and not merely observing the world.*

Pragmatism as a philosophical standpoint adheres to following a multi-paradigm approach to research (Lewis, M. W. and Kelemen, M. L., 2002; Madill, A. and Gough, B., 2008). This researcher's multi-paradigm worldview aligns to that of Saunders *et al.* (2009b, p. 4) who stated, '*pragmatism holds that the most important determinant of the epistemology, ontology and axiology adopted is the research question*'. The pragmatist axiology of this study – the values presented and inherent in the research, both those of this researcher (biased) and researched (unbiased) (Saunders, M. *et al.*, 2009a; Creswell, J. W. and Plano Clark, V. L., 2011; Mkansi, M. and Acheampong, E. A., 2013) – is made apparent in the research design and selection of the sampling frame – both the IHDOs and countries. Based on these philosophical perspectives, and founded on the epistemology of

pragmatism, this study is framed around the research problems related to IHDO leadership in South Asia, and the consequent research questions elaborated above (Section 4.1).

Denscombe (2008) presented four main aspects of pragmatism to which this study adheres: (1) it provides a fusion of approaches, challenging sterile and unproductive dualisms (i.e. the either/or of qualitative vs. quantitative analysis); (2) it proposes a new orthodoxy that is not only allowable, but also desirable; (3) it offers an expedient research solution (given pragmatism's orientation to practical solutions to real-world problems), and (4) it offers a third alternative using mixed methods where the advantages of using both quantitative and qualitative approaches have merit.

Pragmatism, as the underlying philosophical framework for mixed methods research, is supported by numerous exponents, including the main founders of the multi or mixed method thinking (Pierce, C. S., 1878; Dewey, J., 1931, 1938; Mead, G. H., 1934; Blumer, H., 1969; James, W., 1907, 1995; Hoshmand, L. T., 2003; Maxcy, S. J., 2003; Somekh, B. and Lewin, C., 2005; Morgan, D. L., 2007; Feilzer, M. Y., 2010; Hall, R., 2012). Johnson, R. B. *et al.* (2007), in presenting the perspectives and definitions provided by many key exponents of pragmatism, concluded that pragmatism is the most useful philosophy to support mixed methods research:

*Pragmatism offers an epistemological justification (i.e. via pragmatic epistemic values or standards) and logic (i.e. using the combination of methods and ideas that helps one best frame, address, and provide tentative answers to one's research questions) for mixing approaches and methods (Idem, p. 125).*

Given the above, and this researcher's intention to identify 'real world solutions' for more successful IHDO leadership in South Asia, pragmatism provides the most suitable foundation for this research, and supports the study being founded on the research questions.

#### **4.4 The research design**

Succinctly making the connection between research philosophy and its methodology, Krauss (2005, p. 758) explained that '*ontology involves the philosophy of reality, epistemology addresses how we come to know that reality, while methodology identifies the particular practices used to attain*

*knowledge of it'*. Thus, this research design and strategy are based on this researcher's pragmatist positioning and perspectives, as presented in Table 8 by Creswell and Plano Clark (2011).

Table 8: Taken from Creswell and Plano Clark (2011) *Designing and conducting mixed methods research*. 2 ed. Thousand Oaks, CA: Sage Publications.

	<b>Ontology</b>	<b>Epistemology</b>	<b>Axiology</b>	<b>Methodology</b>	<b>Rhetoric</b>
Fundamental question	What is the nature of reality?	What is the relationship between the researcher and that being researched?	What is the role of values?	What is the process of research?	What is the language of research?
Research approach	Singular and multiple realities	Practicality – researcher collects data by 'what works best' to address the research question	Multiple stances – include biased and unbiased perspectives	Combining qualitative and quantitative methods	Employing formal and informal writing styles

The design stems from this researcher's pragmatist belief in the association with and use of whichever research theories, approaches, methodology, instruments and research questions are best suited to addressing this study's research problem. The relationship between existing leadership theories and the theory elaborated in this thesis is presented in the conclusions chapter 8. Whilst the many existing leadership theories have been explored and tested, newly-developed theory – elaborated on the basis of this research – can only be, by definition, provisional (Walliman, N., 2011, p. 103). However, several practical proposals are presented in Chapter 9 as to how the testing of the newly-developed theory (based on this research's findings) can be implemented.

#### **4.5 The relevance of mixed methods for this research**

The research design incorporated and maximised on the use of both quantitative and qualitative methods and instruments. There exist some similarities between the two approaches (e.g. the use of empirical observations to address research questions) (Sechrest, L. and Sidana, S., 1995). Additionally, both methodologies, *'describe their data, construct explanatory arguments from their data, and speculate about why the outcomes they observed happened as they did'* (Idem, p. 78). However, more commonly, mixed methods' exponents advocate for their combined use to exploit the benefits of their unique characteristics (Patton, M. Q., 1990; Brannick, T. and Roche, W. K., 1997; Creswell, J., 2003; Tashakkori, A. and Teddlie, C., 2003; Bryman, A., 2004g, d), in several ways. The initiative stemmed from the 'paradigm wars' of the 1970-80's, wherein social scientists attacked the dominantly positivist, deductive and quantitative approaches to scientific study, arguing that a uniquely constructivist, inductive and qualitative approach (but equally the use of combined

approaches), could enhance the research field (Morse, J., 1991; Reichhardt, C. S. and Rallis, S. F., 1994; Terrell, S. R., 2012). Rossman and Wilson (1985) articulated this latter argument succinctly, identifying three reasons for combining quantitative and qualitative research. Firstly, combinations are used to enable confirmation or corroboration of each other through triangulation (i.e. seeking convergence of results from different methods studying the same phenomenon). Secondly, combinations are used to enable or to develop analysis in order to provide richer data and meaning. Thirdly, combinations are used to initiate new modes of thinking by attending to paradoxes that emerge from the two data sources. This research follows the above-mentioned logic. Both quantitative and qualitative methods were used to triangulate opinions and perspectives from IHDOs' leaders, IHDOs' staff, IHDOs' personnel departments, IHDOs' donors and aid-recipient government representatives. Thus, the methodology selected as most appropriate for this research was the *Explanatory Sequential Design* (Creswell, J. W. and Plano Clark, V. L., 2011). Using a quantitative approach (a broad-based deductive survey) followed by a qualitative approach (a sample of IHDOs and key stakeholders inductive KIs and FGD's) provided generality and particularity as well as depth and breadth in the data obtained. In respect of the sequencing, by first testing existing leadership theories in the former (quantitative) approach against the current IHDO leadership concerns, and then building on these findings in the subsequent (qualitative) approach, new concepts and theory for successful IHDO leadership and the aid sector have been developed and relevant IHDO leadership qualities highlighted. This mixing of quantitative and qualitative methods, and their sequencing, whilst seen as flawed (Hall, R., 2012), is endorsed by many key authors (Creswell, J., 2003; Tashakkori, A. and Teddlie, C., 2003; Bryman, A., 2004g; Johnson, R. B. and Onwuegbuzie, A. J., 2004; Freshwater, D., 2007; Greene, J. C., 2007, 2008; Johnson, R. B. *et al.*, 2007; Cameron, R., 2011).

With certain symmetry to this research, Shebaya (2011) promoted the use of mixed methods research as the most optimal approach, as it allowed for the exploration of alternatives rather than being bound by a single referencing system. Shebaya (2011, p. 146) stated that,

*This makes sense ... since both organisations and people are overwhelmingly complex, contradictory, and paradoxical in nature. Mixing methodologies can reflect*



*divergent perspectives and have the ability to help encompass dualities in paradoxical and complex situations.*

Adjacent to perspectives of complementarity (i.e. seeking elaboration, enhancement and illustration), clarification of the results from one method with results from the other method adds to the enrichment of findings. Denzin (1978, p. 14) asserted that, *'the bias inherent in any particular data source, investigators, and particularly method, will be cancelled out when used in conjunction with other data sources, investigators, and methods'*. Greene *et al.* (1989) and Denscombe (2008) supported the use of combining methods for three additional value-based purposes: (1) *initiation* – discovering contradictions and paradoxes that might instigate rephrasing of the research question; (2) *expansion* – seeking to enlarge or change the breadth and depth of inquiry by using different methods for different inquiry aspects, and, (3) *screening* – potential participants are sampled (i.e. through a questionnaire for inclusion in an interview programme). Whilst the first and second purposes are important for this research, there was a conscious decision not to use sampling, as the sampling IHDOs and participants for this research were identified for well-founded reasons (see Chapter 5, section 5.2.4), rather than having been selected based on the findings from the survey that had the objective of accumulating more generalised data on the existing theoretical and practical aspects of leadership in the aid sector.

Within this research design framework, selected mixed data collection methods, processes and instruments were optimised, as now elaborated.

#### **4.6 The research methodology**

The research methodology was chosen specifically to enable account to be taken of the nature, focus, locus and dimensions of the research problem. The methodology was geared towards meeting three key criteria – validity, reliability and replicability – elaborated in section 4.7, and followed three paths of inquiry.

Firstly, a *descriptive path* laid out the theories and concepts of leadership and professionalism; within this, what IHDOs are, and what they and their leaders do, was defined. The literature review facilitated the identification of this first path. It picked up on which characteristics, competencies and attributes are required by IHDOs' leaders, what factors influenced them, and highlighted the aid

sector's rhetoric around the issues of the effectiveness of IHDOs' leaders. It described aspects of professionalism and culture, and presented South Asia and the three countries selected as the geographic locus of the research. The emphasis here was to present an accurate profile, describing the '*what*' of the research (Bryman, A., 2004b; Milyankova, R., 2014).

Secondly, an *exploratory path* identified the gaps, problems and dilemmas facing IHDOs' leaders, and the shortcomings related to successful leadership in the sector. The research investigated what was required for IHDO leadership, and in doing so examined how professionalism might be a hindering or enhancing factor. To clarify understanding of the problem and possible solutions, the accent here was placed on the '*how*' of the research (Potter, S. and Subrahmanian, R., 1998; O'leary, Z., 2005; Milyankova, R., 2014). The electronic survey formed the basis for gleaning this data.

Thirdly, the *comparative inquiry path*, looked more closely at the relationships between variables in the research, including what influencing factors – leadership competencies, characteristics, attributes, the operational context, and cultural dimensions – could improve IHDO leadership. It also provided a comparative analysis of the three different sampling IHDOs in the different countries in relation to the aspect of leadership. This analysis included (but was not limited to): the type of work they were predominantly engaged with; the opinions of their HQs' representatives; their main donors' perspectives; perspectives of representatives of the host governments in which countries the IHDOs carried out their work; perspectives shared by their teams (followers), and several cultural elements. These factors all influenced the way leadership was manifested in the sampling organisations. Here, prominence was placed on the '*in which way*' of the research (Henwood, K. L. and Pidgeon, N. F., 1992; Potter, S. and Subrahmanian, R., 1998; Milyankova, R., 2014). For this path, sampling was undertaken from selected IHDOs and participants in pre-defined countries in South Asia (Chapter 5, section 5.2.3-4). The approach also enabled comparison between quantitative and qualitative data collected.

The study was cross-sectional, not longitudinal, looking at the concerns related to IHDO leadership as a phenomenon at a given moment in time. Due to the complex, partly subjective, interpretive nature of this research, no hypothesis was established. The study was founded on the research questions and was based on this researcher's pragmatist philosophy, with a focus on identifying

solutions for this research's real-world problem: the need for more successful IHDO leadership. This methodology was grounded in academic design and structure, but with a very practically-intended impetus and ultimate focus. It featured the theories and concepts behind leadership and professionalism (Chapter 2, sections 2.2.1 and 2.3.1) as main potential influencing factors. It examined and built on these for the development of new concepts and leadership theory specifically for the aid sector, as well as the elaboration of an aid sector-specific set of professional tenets. The questions investigated the relevance of existing leadership and professionalism theories and practices in the aid sector, with the intention to explore what improvements could be induced and how.

To undertake this research, both deductive and inductive approaches, applied sequentially, were used, conjointly with quantitative and qualitative methods; amongst other reasons this was to triangulate research findings (Patton, M. Q., 1990; Morse, J., 1991). The deductive element of the research was geared towards challenging and testing the established theories and practices of leadership and their relevance for the aid sector. Deduction in this case was based in the positivist ontology, emphasising the scientific principle of moving from theory to data generation. This involved the collection of quantitative data from IHDOs' leaders and others working in the aid sector in South Asia; a highly structured approach (using an electronic survey) where this researcher was independent of the research (Gray, D. E., 2013). The quantitative data, once collected, analysed and having had key themes around successful leadership extrapolated, then formed the basis for the subsequent inductive approach, grounded in interpretivist ontology. Here the intention was theory-building from the data. Induction required gaining an understanding of the meaning humans attach to events; the collection of qualitative data (using sampling within selected IHDOs and relevant stakeholders), and the use of more flexible structures (semi-structured KIIs and FGDs) to permit changes in research emphasis as progress unfolded, with less concern placed on the need to generalise (see Chapter 7). During this phase it was acknowledged and presented that this researcher was part of the research process (Milyankova, R., 2014).

## 4.7 Key research criteria: validity, reliability and replication

For social science research aimed at providing or proposing practical solutions to real world problems, the design – addressing the criteria of validity, reliability and replicability of the methodology, and methods and instruments used – was paramount (Bryman, A., 2004b).

### 4.7.1 Validity: fitness for purpose of the methodology and instruments

According to Babbie (1992, p. 132), '*In conventional usage, the term validity refers to the extent to which an empirical measure adequately reflects the real meaning of the concept under consideration*'. Bazely (2004) stated that validity stems more from the appropriateness, thoroughness and effectiveness with which methods are applied, than from adherence to rules established by a particular tradition. However, several typologies of validity exist (Frankfort-Nachimias, C. and Nachimias, D., 1992; Bryman, A., 2004d). These can be *internal* (whether causal relationships between variables have founding; whether there is a good match between observations and theoretical ideas developed) or *external* (whether research findings can be generalised outside the context across other social settings). To address both these typologies of validity, specific and relevant research participants were selected, and both quantitative and qualitative instruments used (see Chapter 5, sections 5.3.2 and 5.3.7). The study addressed *predictive or empirical validity*, indicating the relationship between the measurement instrument and measurement outcomes (Frankfort-Nachimias, C. and Nachimias, D., 1992; DeVellis, R. F., 2003). This was undertaken by ensuring the response options to the survey allowed for accurately and objectively depicting the respondents' opinions. Next, *substantive or content validation* was undertaken (i.e. how appropriate this researcher felt the instruments to be, and how adequately the total research population was represented by the instrument) (Frankfort-Nachimias, C. and Nachimias, D., 1992; Schwab, D. P., 1999). A measurement instrument also has substantive validity when it includes items that accurately reflect the conceptual definition of the construct domain (i.e. where questions within an interview situation with an IHDO leader were specifically connected to the theories and concepts of leadership, and not solely to the practical aspects related to successful leadership itself as a construct) (Idem, 1999). An example of this was by providing all participants from the three sampling organisations' with the same definition of versatility. *Convergent validity* covered to what extent there was a

correspondence between multiple approaches to measuring the same construct (Idem, 1999). With reference to the above, the correlation between the use of different instruments (quantitative and qualitative), the subjective perspective of this researcher on the appropriateness of the instruments to the research, and the sampling strategy and sample size – for both the survey and sampling frame i.e. the three sampling organisations) – were considered (e.g. this researcher factored in the context related to identifying the total population (N) of IHDOs leaders globally, the sub-set (*n*) within South Asia, and the lack of availability of explicit and up to date information on both these, and the numbers of IHDOs operating in the region). This applied to both data collection and analysis instruments, and the use of triangulation in the research design (literature review → survey → sampling frame) to ensure as far as possible the extent to which the measurement instruments were both pertinent and relevant (Bryman, A., 2004c). Other terms – trustworthiness, credibility, dependability, confirmability, authenticity – are also sometimes used as substitutes for validity (Bryman, A., 2004b), yet individually none exactly surrogate for validity in the research context.

#### **4.7.2 Reliability: the quality of consistency of approaches used**

The second research design criteria was reliability, defined by Babbie (1992, p. 129) as, '*a matter of whether a particular technique, applied repeatedly to the same object, would yield the same result each time*'. This position was supported by Cameron and Quinn (1999) and Pedhazur and Schmelkin (1991). As measuring instruments employed by social scientists are rarely completely valid, assumed validity is supported by the degree of reliability (Frankfort-Nachimias, C. and Nachimias, D., 1992); that is the extent to which measuring instruments contain variable errors, or errors that appear inconsistent from observation to observation during one measurement, or that vary each time a given unit is measured by the same instrument (Frankfort-Nachimias, C. and Nachimias, D., 1992). Bryman (2004c) added that the measures and instruments used must also be consistent, focusing more on their quality than on the research design itself. As with validity, both *internal* (when more than one observer exists the results are agreed on) and *external* (researchers need to adopt new social roles to ensure that in new contexts, variables they control or influence remain constant) reliability was equally important (Bryman, A., 2004d). For this research, the latter was considered

when this researcher moved between different IHDOs (for KIIs and FGDs), and between countries where the case studies were undertaken (Chapter 3, section 3.2; Chapter 5, section 5.2.3).

#### **4.7.3 Replicability: precision required for ensuring duplication of methods and findings**

The third design criteria, replicability, states that procedures must be detailed; other researchers should be able to carry out the same research using the same measures with the same results (Bryman, A., 2004b; Stern, R. D. *et al.*, 2004). Given the part-subjective and interpretive nature of the study – from the perspectives of both participants and this researcher – extra attention was required to utilise precision and accuracy in the terminology and phrasing of the online questionnaire, and semi-structured KII and FGD questions. This included, where necessary, providing a working-definition within the survey format where required (i.e. for versatility), and giving the same explanation to each participant from the sampling organisations to ensure all perspectives were aligned around the same concept. Maintaining detailed and rigorous research notes, memos and documentation, assisted this researcher to ensure (to the extent possible) the potential replicability of this study for other researchers and with IHDO leadership in other countries and regions of the world.

#### **4.8 The ethical considerations of the research**

Approval for this study was granted by the Oxford Brookes University Research Ethics Committee. This covered all the forms for and communication with participants, including: 'IHDO gate-keeper letters'; email introductions (for the electronic survey); participant information sheets for all research participants (Annex 4); consent forms for participants of the case studies (Annex 5); the electronic survey questionnaire (Annex 6); semi-structured KII formats (Annex 7 - example of the leadership interview framework), and the FGD formats (Annex 8 – the FGD framework).

Prior to each participant becoming engaged with the study, the aspects of data confidentiality, anonymity, informed consent, and relevant information about the research were provided to them. All contributions from participants were provided on an entirely voluntary basis. No physical, social, legal or economic risks were envisaged or taken. Online questionnaires, KIIs and FGDs were almost

always conducted in the safety and security of the respondents own working places. No costs (other than time) were required of the survey respondents and sampling organisations' participants.

From a psychological perspective, the respondents were asked some potentially sensitive questions related to the performance of leaders (in some cases including themselves or their supervisors), of the problems with successful IHDO leadership in the sector, on the relevance of professionalism as an influencing factor for leadership, and of other factors that influence successful leadership within their own IHDOs. IHDOs leaders' knowledge was tested and challenged in relation to the theories of leadership and professionalism that form the mainstay of their positions. The research questions could have induced very mild levels of pressure, related to feelings of job insecurity (specifically for the IHDOs' non-leadership staff), and whether or not they were at liberty to disclose internal organisational policies and practices (e.g. related to the organisation's culture, recruitment processes, and regarding the competencies of their colleagues and supervisors). Additionally, there may have been fear that this researcher shared sensitive information with their organisations' donors or government representatives. However, at the end of each session, all participants affirmed that the process had been positive, stimulating, interesting, and, for some, a learning experience.

The survey and all KIIs and FGDs were undertaken with the highest regard for the sensitivity of the content, especially as this researcher himself was employed at the time within an IHDO operational in South Asia, and one of the sampling organisations. Anonymity was clearly and specifically offered in both the survey, face to face and electronic (Skype) engagements with respondents.

Offered as part of the research methodology, respondents of the online survey were able to receive the results of the survey after completion. Results of KIIs and FGDs (transcripts) held with sampling IHDOs were made available on demand after completion. Further, the finally selected quotations were structured into 'framework matrices' using NVIVO (Chapter 5, section 5.4.4) and transferred into simple Excel spreadsheets, allowing the participants a final approval of what was to be presented in the qualitative findings and analysis chapter of this thesis (Chapter 7).

Each sampling IHDO was officially requested for (and provided) their approval for their leaders and staff to be engaged in the study. The position of this researcher, vis-à-vis his employment within the

sector and specifically within one of the sampling IHDOs, was made clear up front to each and every participant in the study (Annex 4).

Anonymity was also offered regarding the summarized findings from the FGDs that was fed back to their IHDO (upon their requests); extreme care was taken when documenting the results of the FGDs, to ensure individual participants' contributions would not allow any specific individual source to be identified.

Risk mitigation measures existed from the outset of the research, including: (1) the exclusion of physical trials on human respondents; (2), the respondents were not obliged to take part, and (3) respondents who did take part signed consent forms to do so. However, in the event that the survey questionnaire or interview questions proved too sensitive, respondents were able, at any time, to cease from continuing to be part of the study. In the unlikely case that respondents felt adverse effects as a result of partaking in the research (this never occurred), communication would have been established with the individuals IHDOs' Personnel Department and Supervisor (the latter of whom having provided advance consent for their engagement). IHDOs generally have very good welfare policies for staff working in countries such as those targeted in this research, with adequate support and access to medical health facilities and counselling services included as part of each organisation's human resource management policy.

Participants were actively encouraged to share extra-research dialogue and feedback with this researcher on the experience and research process itself, which opened up possibilities for further qualitative data to be obtained. It was not envisaged (nor proven) that the research itself demanded any kind of post-interaction counselling or psychological support. Rather, many participants expressed appreciation at having learned new ideas, concepts, definitions, and a desire for further interaction with this researcher.

All data collected was held on this researcher's computer, and backed up to a separate hard drive and in the cloud for security purposes. All locations were password protected; the passwords shared only with this researcher's supervisors at Oxford Brookes University as part of the University confidentiality regulations. All research participants were provided this researcher's contact details.



## 4.9 Summary of research philosophy, theory and methodology

For this research, the philosophical standpoint and theoretical approach taken were identified as the most appropriate for responding to the research needs and research questions: identifying success factors for leaders of international humanitarian and development organisations in South Asia. The research methodology, approaches and instruments – mixed methods using both deductive and inductive approaches, and the *explanatory sequential design* (quantitative surveying followed by qualitative sampling) – were presented as the most appropriate. This researcher's epistemology and ontology (including the relevance of pragmatism) were exposed. The focus – that of identifying real world solutions for real world problems – placed on seeking responses to the research questions, was presented.

Key research criteria (validity, reliability and replicability) were unpackaged, and the limitations with this research, from these perspectives, were presented. The ethics of the study were covered, showing the necessary rigorous steps and measures taken to ensure risk minimisation to study participants. Relevant institutional and organisational approval for the study took place, and the security measures utilised to ensure data protection and participant anonymity were elaborated.

This chapter presented the theoretical perspectives of the research that lead to the practical research methods and applications discussed in the following chapter.

## 5. Research methodology: practical application

### 5.1 Overview of this chapter

This chapter commences by introducing the research target group and participants, and includes a brief section on the locus of the sampling frame (IHDOs and countries in South Asia). Next, the data collection methods and approaches intended are presented, as well as the justification for their selection (including what was planned and what actually happened). The data analysis processes and instruments used are then described, as are the reasoning behind their selection. Finally, limitations and constraints with the research are presented.

### 5.2 Research target group, research locus and participants

#### 5.2.1 The research population and target group

The size of the overall population of IHDO leaders in the whole world ( $N$ ) – a theoretical construct defining the whole group (Freeman, J. V. and Julious, S. A., 2005a) – was (and remains) an unknown and continuously in-flux entity. IHDOs evolve and disappear; their leaders come and go, moving between IHDOs in the aid sector, and to and from other sectors. No up-to-date and comprehensive list of IHDOs, or of their leaders, existed. Within these ambiguous parameters, the target group or research population ( $n$ ) was established. The target group consisted primarily of IHDOs' leaders – senior representatives in the three South Asian countries (India, Pakistan and Sri Lanka) – and leaders in their organisations' HQs. However, several other key stakeholders, directly associated with the Asian country-based leaders, were also targeted (Sections 5.2.4). Given the focus of the research on the successful leadership of IHDOs in South Asia, these participants were well placed to provide relevant insights and opinions on the issues and concerns presented in the literature, and to respond to the research questions. However, given the lack of up-to date data available about the total population ( $N$ ), findings from analysis of responses from this research's sub-population ( $n$ ) could not be considered as *representative* of the whole, but could only be used to make *inferences* about the whole population (Freeman, J. V. and Julious, S. A., 2005a).

## 5.2.2 Survey respondents

To source IHDOs leaders' contact details, numerous websites were examined:

- [www.reliefweb.org](http://www.reliefweb.org): an aid sector-specific site presenting regularly up to date information on several IHDOs, many without contact details, and providing sector-specific job vacancies
- [www.devex.org](http://www.devex.org): an aid sector-specific site presenting many IHDOs and other organisations but not all with contact details, as well as providing sector-specific job vacancies
- [www.developmentaid.org](http://www.developmentaid.org): a development sector website with a detailed database of IHDOs
- [www.devdir.org](http://www.devdir.org): an extensive database on IHDOs by region and country
- [www.linkedin.org](http://www.linkedin.org): an aid sector-specific platform presenting a few specific organisations' details, mostly for recruitment purposes, but also supporting thematic discussion groups
- [www.peopleinaid.org](http://www.peopleinaid.org): a site providing a short list of mostly-humanitarian organisations
- [www.wango.org](http://www.wango.org): a site offering a comprehensive list of mostly humanitarian organisations
- [www.hpn.org](http://www.hpn.org): an aid sector-specific site presenting organisations, but with no contact details
- [www.ngoconsortium.sl](http://www.ngoconsortium.sl): a site presenting IHDOs and national Sri Lankan NGOs
- [www.phap.org](http://www.phap.org): an aid sector-specific platform with individual contact details of PHAP members, but not IHDOs
- [www.iatiregistry.org](http://www.iatiregistry.org): a site offering limited information on some IHDOs
- [www.pakhumanitarianforum.org](http://www.pakhumanitarianforum.org): a 'members only' platform containing information about a small number of IHDOs in Pakistan, but with no contact details
- [www.kent.ac.uk](http://www.kent.ac.uk): a site presenting a small number of IHDOs, but not all with contact details
- [www.comsat.org](http://www.comsat.org): a site offering information on a limited number of IHDOs and other organisations

The United Nations Office for the Coordination of Humanitarian Affairs (OCHA), having previously provided similar details to this researcher for Master's degree research in Sri Lanka (2010), was approached through both [www.ocha.org](http://www.ocha.org) and [www.one.un.org](http://www.one.un.org). Extensive research was also undertaken by internet and telephonically on a global scale, to source individual IHDO's contact details in their headquarters' countries, as well as lists and contact details of IHDOs' leaders in the three targeted countries. Working in the aid sector in South Asia, this researcher also utilised

established professional contacts and networks to access contact details of IHDOs' leaders in the three research countries.

From the above-mentioned websites, and numerous key word searches, it was found that each source provided overlapping, different and sometimes extremely varied numbers of IHDOs working in the three South Asian countries. Some did not provide a breakdown of IHDOs by country; others presented IHDOs more than once as 'members' within different countries, both including and excluding the three countries selected for this study. Others included local organisations in their listings, and organisations that were not directly and solely working in humanitarian or development aid work (i.e. military entities). Additionally, whilst many sources presented contact details of IHDOs, only in rare cases were contact details provided for their leaders. Other sites included donor organisations, and government ministries from the respective countries, all in the same databases. Many of the contact details were out of date, due to the rapid turnover of leaders within IHDOs, and IHDOs themselves using short-term email addresses for specific interventions in certain sectors, countries, or emergency humanitarian operations (e.g. for fund-raising purposes).

To highlight the discrepancies that existed between the different sources, an overview of the website sources and numbers of IHDOs' leaders (Table 9) and IHDOs' contacts (Table 10) identified, are now elaborated.

Table 9: IHDOs leaders' sources

<b>IHDO Leaders Source</b>	<b>Year updated</b>	<b>IHDO Leader India</b>	<b>IHDO Leader Pakistan</b>	<b>IHDO Leader Sri Lanka</b>
<a href="http://www.ocha.org">www.ocha.org</a>	2013			91
<a href="http://www.pakhumanitarianforum.org">www.pakhumanitarianforum.org</a>	2015		58	
<a href="http://www.oneun.org">www.oneun.org</a>	2015	29		
Professional Contacts and networks (some still operational)	2000-2015	37	60	20

Table 10: IHDOs' sources

IHDO Source	Year updated	IHDOs India	IHDOs Pakistan	IHDOs Sri Lanka	Total IHDOs only	IHDOs plus others	IHDOs as 'members'
www.DevDir.org	2011	94	72	140	306		
www.developmentaid.org	2014					2110	
www.wikipedia.org	2014					92	
www.peopleinaid.org	2014						206
www.wango.org	2014					3136	
www.reliefweb.org	2014				440		
www.devex.org	2014					1035	
www.iatiregistry.org	2015				342		
www.phap.org	2015						2000+
www.kent.ac.uk	2015				143		
www.comsats.edu.pk	2007				66		
Individual IHDOs' websites	2015	45	42	33	401		

With this diverse and confusing array of IHDOs plus other organisations, the targeted IHDOs' leaders were finally selected through an in-depth comparative analysis of these sources. This included IHDOs mentioned across all websites appearing as working in the three South Asian countries. It also covered the IHDOs that had more than one entity working in the same country (i.e. both Oxfam International and Oxfam GB work in Pakistan and Sri Lanka). Attempts were made to cross-check contact details for the IHDOs' leaders using this researcher's professional contacts lists, the available aid sector platforms and website details, and corroborated with the IHDOs' websites, to maximise accurate targeting. In many cases, this researcher, not having specific contact details for IHDOs' leaders in the South Asian countries nor for IHDO HQs, made telephone calls to IHDOs in both the US and several European countries. This approach was generally unsuccessful, arising from constraints related to the IHDOs' personnel confidentiality policies. Once the survey respondents were identified, respondent typologies and categories were elaborated so as to disaggregate the data (and survey findings) for analysis purposes, as presented in Table 11. Given the geographic focus of the South Asian region, and the three European-based IHDOs representative of the types of organisations working in the aid sector in this region, 'nationality' was clustered into three groups: European, South Asian, and 'other', the latter not of primary interest for this research.

Table 11: Respondent typology and category options

Respondent typology	Respondent category options for comparative analysis						
Location (Country/HQ)	India	Pakistan	Sri Lanka	HQ			
Gender*	Male	Female					
Nationality by region (clustered)	European	South Asian	Other**				
Position	Leader	Follower	Other***				
IHDO type (clustered)	Humanitarian	Transitional	Development				
Years of experience in the aid sector	up to 5	6 to 10	11 to 15	16 to 20	21 to 25	26 to 30	above 30
Years of experience outside the aid sector	up to 5	6 to 10	11 to 15	16 to 20	21 to 25	26 to 30	above 30

\*Use of only the 'male' and 'female' gender options was validated with several LGBT professional colleagues

\*\* IHDOs of nationalities not selected within the sampling frame were grouped together

\*\*\* Other positions from survey respondents included 1 independent consultant and 1 university lecturer (from the LinkedIn platform)

Ultimately, following analysis of the potential survey sub-set of the population (*n*) based on all the above data sources in Table 10, a total list of **1441 IHDOs leaders' emails** was elaborated. In combination with this, **8 online aid sector platforms**, and **6 aid sector institutions' websites** were also identified as possible locations to place a link to the survey. In these latter cases, it became further apparent that pre-definition of the exact size of the research sub-population was impossible. Following analysis of findings from the survey, qualitative sampling was carried out in the three South Asian countries of India, Pakistan and Sri Lanka.

### 5.2.3 Locus of the research

The locus of the research – South Asia, and particularly the three countries of India, Pakistan and Sri Lanka – was chosen for this study for the following reasons.

Firstly, all these countries have characteristics and contexts that require the assistance of IHDOs, ranging from emergency-orientated assistance, in response to disasters and conflict, through rehabilitation and recovery measures to longer term development (Chapter 3, section 3.2). The latter may be in the fields of climate change, poverty alleviation, governance, economic growth, regional security and suchlike. These countries' profiles reflect many of the global concerns that IHDOs are engaged with in other regions of the world, and in many cases provide acute examples of the work that IHDOs undertake (Chapter 3, sections 3-4).

Secondly, from a personal and professional perspective, this researcher worked in these three countries as an IHDO leader within the aid sector. This included working for government and non-government organisations, as a consultant, and in leading medium and large scale teams and

programmes. This researcher was familiar with the contexts and cultures within the region, and this experience provided further enrichment, insight and understanding of the research environment.

Thirdly, the aspect of access, logistics and research costs, influenced the choice of geographic locus for the research. Being based in Pakistan (for the majority of the field research) facilitated easy access to the sampling organisations in the same country. Logistically, travel within the region was envisaged as straight forward and within this researcher’s (personally-financed) budget. Whilst the second criteria for country selection infers the risks associated with researcher bias, the methodology chosen reflects the subjective nature of this researcher in the research. This information was transparently shared with all research participants (along with this researcher’s employment situation and bias mitigation measures applied), and factored into the research from the outset in terms of the pragmatist philosophical perspective, and the interpretive nature of the study.

#### 5.2.4 Sampling organisations and participants

To characterise the broad types of work that IHDOs and their leaders undertake in the aid sector in South Asia, three sampling organisations were selected: Médecins sans Frontières (MSF), the Oxford Committee for Famine Relief (Oxfam) and the Deutsche Gesellschaft für Internationale Zusammenarbeit (German Company for International Development - GIZ). They are representative of the spectrum of humanitarian (including emergency), transition (mixed humanitarian and development), and development work undertaken in the aid sector. This representative selection of IHDOs incorporates diverse mandates, partners, beneficiaries and other stakeholders. The type of their work influences the duration of their engagements as well as the diverse operational contexts in which their assistance is delivered. They also represent three different European countries, each with its own culture, with each IHDO having its own organisational and leadership culture. Additionally, they have a wide range of funding sources, as highlighted in Table 12.

Table 12: Sampling IHDOs, their work, funding source and culture of origin

Organisation	Type of work	Source of funding	Culture of origin
MSF	Emergency	Predominately private	French
OXFAM	Transitional	Mixed public and private	British
GIZ	Developmental	Predominantly public	German

These types of work, sources of funding and organisational culture are followed up as key influencing factors in Chapter 6 and Chapter 7. Thus, the three sampling organisations themselves are not discussed in depth; they were selected purely to provide a representation of the broad spectrum of work undertaken in the aid sector in South Asia. This researcher was familiar with all three IHDOs, having worked within one (GIZ), and having access to the others through established professional contacts and networks. This facilitated entry to and acceptance within each IHDO in all research locations.

The sampling organisations' participants were identified and selected to ensure retrieval of relevant opinions and inputs from informed respondents specifically working in or directly with these IHDOs. They included: (1) IHDOs' leaders; (2) IHDOs' senior national staff (followers) reporting directly to these leaders; (3) IHDOs' HR representatives (in their IHDOs' HQs or Regional offices); (4) the main donor representatives of each IHDO within its operational region (South Asia), and (5) relevant aid-recipient government authorities' representatives in two of the three South Asian countries. Each of these groups is now briefly presented.

#### **5.2.4.1 IHDOs' leaders**

Given the focus of this research on success factors for IHDO leadership, the sampled IHDOs' leaders were best placed to recount their pertinent empirical experiences, knowledge and opinions. Representative of the sampling IHDOs, eight semi-structured KIIs were held with Country Directors (or equivalently-titled representatives) across the three South Asian countries. A balance of male and female respondents ensured gender perspective, and several different nationalities ensured that both European and South Asian cultures, amongst others, were reflected.

#### **5.2.4.2 IHDOs' HR representatives**

To obtain the perceptions on IHDO leadership from each sampled organisation's HR perspective, three semi-structured KIIs were held with the IHDOs Personnel Departments' representatives in their HQ's and Regional Offices. These participants informed the research with regard to each IHDO's HR policies and recruiting practices, provided information on the type of characteristics, competencies and attributes desired for leadership, and contributed to a further understanding of the



challenges in and methods for identifying successful leaders. They also enabled learning about the IHDOs' practices regarding leadership development and professionalism.

#### **5.2.4.3 IHDOs' main donor representatives**

Given the increased proximity of donor organisations to the IHDOs they fund, and their influential role in determining the type of work undertaken, three semi-structured KIIs were held with representatives of donors of each of the IHDOs. Each donor was selected as a well-established and recognised source of the sampled IHDOs' funding, and as being acknowledged as such by each of the IHDOs. The exception to this principle was the case of MSF, whose funding sources are predominantly private. However, with 11% of MSF's funding coming from the European Union (EU) (<http://www.msf.org/donate>), the EU was selected for this semi-structured KII.

#### **5.2.4.4 Host government representatives**

Two semi-structured KIIs were held with recipient government representatives from the Ministries/Authorities responsible for dealing with Foreign Aid and IHDOs in Sri Lanka and Pakistan. The third – in India – could not be realised (see section 5.3.6). These participants were well-placed to present information about the local demands and contextual aspects that influence the successfulness of IHDO leadership in their own countries, including the way IHDOs and their leaders engage and interact with national authorities.

#### **5.2.4.5 IHDOs' senior national personnel (followers)**

Thirty five senior national staff formed seven FGDs. They were identified using a purposive sampling process, matching the criteria of their ability, willingness and availability to discuss the leadership of their sampled IHDOs, and as staff reporting directly to their IHDO's leaders in the sampling organisations and countries. They were reasonably gender balanced (19 males and 16 females) with an average of five persons for each FGD for each sampled IHDO in each country. They were selected from amongst the senior staff in the IHDO by the IHDO's Personnel Department in each country and not by this researcher, to avoid bias. Permission for them to participate was obtained from each IHDO's leadership in each of the three countries, and from each staff member's direct line manager.

## 5.3 Data collection methods, processes and instruments

Data collection took place in two phases in accordance with the *explanatory sequential design* (Chapter 4, section 4.5) using two main methods. Firstly, a survey was carried out on IHDO leadership in the three South Asian countries of India, Pakistan and Sri Lanka, and their IHDOs' HQs. This was followed by a sample KIIs and FGDs in the three selected IHDOs working in the three South Asian countries, and the afore-mentioned stakeholders.

### 5.3.1 The quantitative survey

The survey (Annex 6) comprised queries based on findings from the extensive literature review (Chapters 2 and 3), theoretical and practical aspects of IHDO leadership in the aid sector, and was founded on the research questions. Three options existed for the survey medium:

1. Electronic questionnaires circulated from a central server (where the survey was established) using automated web-links
2. Directly targeted emails sent from this researcher with a link to the questionnaire inserted in the text (connecting respondents to the central server-based survey)
3. Hard copy questionnaires sent by standard postal service, requiring the participants to hand complete and return them by post.

A combination of the electronic web-based survey and direct emails were selected due to time, costs involved, practicality and efficiency with the survey respondents based in numerous countries, as well as this option offering subsequent easy transfer and manipulation of data for analysis purposes. Next a choice between two strategies was made; either targeting a larger population with a shorter questionnaire (focussing more on obtaining quantity and consequentially seeking consistency of the responses) (Anthony, J. *et al.*, 2007), or using a sampling method to obtain responses from a smaller population but with a broader questionnaire (focussing more on the specificity and detail of responses from divergent perspectives in different contexts). Aside from not knowing the total population (N), and so being unable to create an accurate sample size, three reasons for selecting the former strategy are now elaborated.

Firstly, given the risk that some IHDOs' leaders had left their organisations and been replaced by leaders whose contact details may not have been updated, and that some would be non-respondents, it was not envisaged that using a specific sampling methodology for this survey with this small and manageable number of recipients was feasible. Based on this, and given the ease (with no budget restrictions) of adding additional email addresses to an outgoing survey recipient circulation list, the survey aimed to reach as many as possible of the identified sub-population (*n*) in the three South Asian countries and the IHDOs' HQs. However, it was well acknowledged that the response rate – the number of respondents divided by the number of recipients (excluding failed deliveries) from electronic surveys tended to be low (Fowler, F. J., 2002; Bryman, A., 2004e). According to many online questionnaire analyses, surveys sent to the general public tended to incur a response rate of between 10% and 30% (Henderson, P. A., 2003; Stern, R. D. *et al.*, 2004). Stern *et al.* (2004) suggested four main factors that influence an increased response rate:

1. The brevity of the questionnaire
2. The presentation and layout of the questionnaire
3. The use of incentives
4. Survey follow-up reminders

For this study, an additional factor considered was the level of responsibility and complexity of the work (and consequential time required) of the recipients. However, a similar survey undertaken by this researcher in Sri Lanka in 2010 with similar target participants (IHDOs' Country Directors and senior national personnel) on "Disengagement Strategies of IHDOs" (a politically more sensitive subject), elicited a response rate of 26.8% (Walker, A., 2010).

Secondly, to further validate the choice of strategy, a larger volume of responses to the survey provided more generality, and enabled key themes to be more easily identified, based on consistency of responses. These were then extracted to form the basis of the subsequent sampling organisations' KIIs and FGDs.

Thirdly, the objective of the first phase was to amass as wide a set of quantitative responses as possible from IHDOs' leaders across South Asia, with which to inform the qualitative nature of the second phase of the research (case studies within a limited group of IHDOs). The larger the

population from which the data was obtained, the higher the chance of more responses and a reduced sampling error (Fowler, F. J., 2002; Anthony, J. *et al.*, 2007). However, according to Fowler (2002, p. 36), *'it can be seen that precision increases rather steadily up to sample sizes of 150 to 200. After that point, there is much more modest gain from increasing the sample size'*. Based on this assessment, less additional, new, or diversified data was expected to be obtained with a higher number of responses.

Therefore, the following three approaches to circulating the survey were used:

1. Direct emails (with the survey link embedded) sent from this researcher's Oxford Brookes University email account to leaders in the three South Asian countries.
2. Server-generated emails (from Survey Monkey using 17 collectors to different groups of survey respondents) containing web-links sent to IHDOs in their HQs and in the three countries with requests to forward the survey link to leaders in their IHDOs, at HQ, regional and country levels.
3. Web-links placed on aid sector professional platforms and websites targeting IHDOs' leaders working in any of the three countries, including LinkedIn, HPN, PHAP, Networklearning, and DevelopmentAid websites with a weblink. The weblink was also sent to the administrator of the Pakhumanitarianforum for circulation to its members.

The survey was first circulated, using the first two approaches, on April 26 2015 to 1441 IHDOs' leaders in India, Pakistan, Sri Lanka, and to selected IHDOs' HQs. In relation to the sector's professional platforms and websites, this was an initiative included post- survey start, to expand the potential for increased responses, given a lower than expected response rate during the initial period of the survey. In the original design, a validity question was placed in the survey to ensure that respondents were in fact IHDOs' leaders. However, based on the initial lower response rates, but also to elicit 'follower' (and other<sup>3</sup>) perspectives, a 'skip-logic' was added to the survey. This allowed IHDOs' leaders to respond to selected questions only relevant to those with actual leadership experience. Followers (staff reporting to IHDOs' leaders) taking the survey, and 'others',

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<sup>3</sup> By placing the survey on aid sector websites and platforms, access was given to a broader range of potential participants, two of whom were an independent consultant and a University lecturer – both working with IHDOs

automatically skipped such questions and provided alternative viewpoints on leadership, where their experiences and opinions about leadership added different values and insights to the findings, and enabled some interesting comparison of perspectives (see Chapter 6).

The survey was sent out for a period of three months initially, with three reminders sent during this period. With close monitoring of the response rate over this period, and several factors that caused this to be low, the survey time period was extended by a further two months, with an additional three reminders being sent (see section 5.3.5, table 14).

### **5.3.2 The quantitative survey instrument**

SurveyMonkey (Gold), as an established survey instrument, was previously used successfully by this researcher for Master's degree research as the platform to collect quantitative secondary data. However, three other survey instruments with similar functions and prices were analysed for this study: QuestionPro, SurveyGizmo, and FluidSurveys Ultra. After analysis, SurveyMonkey was selected as: having the most comprehensive range of applications for the typology and structure of questions; being the most user-friendly; having its own analytical capacity, and having the potential for transferring data to other programmes intended for analysis. Support from the SurveyMonkey technical assistance team during the setting up of the survey was fast, effective, and friendly, and reinforced the decision to use this programme.

### **5.3.3 Piloting the survey**

The survey questionnaire was piloted using 22 respondents (11 of each gender), representing eight nationalities working in eleven different countries (including South Asian countries). The pilot survey recipients were both academic and senior practitioners/leaders in the aid sector, the latter of similar profile to those that were intended to receive the final questionnaire. None of the pilot survey 'testers' were the ultimate survey recipients. They were targeted as willing and capable of providing both technical and academic feedback on the survey. They also gave feedback on the introductory email, and the title of the email subject line; this was the first impression that the recipients received of the research and researcher, and was potentially catalytic in terms of facilitating a response from busy IHDOs' leaders (i.e. in encouraging them to even open the email with the survey link).

The pilot respondents' critical responses on the first survey questionnaire (its structure, layout, content, time taken, clarity and relevance) instigated the elaboration of a second adapted questionnaire, which also incorporated further knowledge obtained through continued literature review. This included a significant reduction of the overall number of questions from 43 to 21. This second questionnaire was then circulated to a smaller group of seven respondents, again with similar professional profiles to the intended ultimate recipients of the online questionnaire. After the second set of respondent's feedback, the survey was further edited to become the final version. Again, none of these survey testers were ultimate recipients of the final survey.

#### **5.3.4 The final survey: design and structure**

The survey design paid particular attention to *structure* – the extent to which all participants are asked identical questions in an identical way, and *degree of directness* – the extent to which direct questions are asked about the phenomena or issues of interest for the research (Peterson, R. A., 2000). The survey structure, based on the testing of findings from the literature and focused on obtaining responses to the research questions, is presented in Table 13. It presents the main themes (variables), sub-variables, and number of response categories for each.

Table 13: Structure and variables of the online quantitative survey

Variable	Sub-variables	Response categories
Characteristics	31	3
Competences	32	3
Attributes: versatility	9	5
Attributes: intuition	7	5
External influences	28	4
Leadership locus	3	5
Continuous professional development	12	-
Stakeholders in leaders performance appraisal	9	-
Professionalism	13	4
<b>Total response options</b>	<b>144</b>	<b>29</b>

The survey contained 21 quantitative closed-end questions and statements, with both single and multiple choice - multiple statement options, most with a range of possible response categories, and, where relevant, using uni- or bivariate scales. According to Peterson (2000, p. 42), researchers, ‘*Constructing closed-end questions must use answer alternatives that are mutually exclusive and collectively exhaustive*’; that is, all possible options are presented, and each is unique, not overlapping with any of the others. Questions and statements were intentionally brief, relevant, unambiguous, specific and objective (Idem, 2000). The use of closed rather than open-ended questions and statements during this phase of the research was intentional. They were easier for participants (involving less physical and mental effort and writing), were faster to administrate (keeping related costs down), and easier to analyse. Whilst this limited the potential expansion on ideas, this researcher based the survey on a literature review of 1494 journal articles, books, reports, papers and other online publications. This review enabled the key themes and issues around the research problem to be well developed (Annex 6 – survey; Annex 9 – Endnote bibliography screenshot). In planning the questionnaire, both *measurement* (the assignment of a symbol to a characteristic) and *scaling* (the generation of a continuum) were key factors (Bryman, A. and Cramer, D., 2003). For answers that measured continuous constructs, such as IHDOs leaders’ opinions and

perceptions, monadic scales were used, whereby objects were measured independent of the others, allowing for answers like 'don't know', to be possible. This freedom increased the generality of measurement.

Where only two answers or categories were possible, dichotomous closed questions were used. Where relevant, measurements were *isomorphic* (the assignment of similar structure and numeric coding to the questions and statements, (e.g. with years of experience inside and outside the aid sector)), and *non-degenerating* (i.e. measurement process was constant, and not changing over the period the survey was in place) (Frankfort-Nachimias, C. and Nachimias, D., 1992; Peterson, R. A., 2000).

Where the study needed the respondents to commit to taking a stance or position about a particular phenomenon (e.g. the level of agreement with statements about the use of intuition, versatility and professionalism), even numbers of response categories were provided. This ensured that respondents were obliged to commit to a more positive, or more negative stance, and that there was no 'middle ground' opportunity. Aligned more to the Likert scale (Bryman, A., 2004f) and where this was less essential, odd-numbered response options (3 or 5) were provided to offer participants a middle ground (e.g. the level of importance of different characteristics and competencies for leadership, mentioned in the literature: very important; important; less important).

Both bipolar and unipolar scales were used, dependent on the variable in question. In some cases (e.g. competencies acknowledged as relevant in the literature) a unipolar scale was used ('very important', 'important', and 'not so important'). In other cases, for example agreement with a statement, a bipolar scale was used ('totally agree', 'mostly agree', 'most disagree', and 'totally disagree'). Care was therefore given to the strength of each scale's anchors, and the terminology applied to the labelling of all categories therein. Categories in all cases were balanced (i.e. providing respondents with options along the entire length of any continuum, including a category to 'rather not say'), ensuring that objectivity criteria were fully met. For this study, variations on the Likert scale (a five-category scale consisting of two parts: a declaration or statement, and a list of response categories) was used, though not exclusively. The survey did not use multi-item scales as they are highly complex: to design, to respond to and to analyse (Frankfort-Nachimias, C. and Nachimias, D.,



1992; Peterson, R. A., 2000). The survey instrument, structure, design, and content proved to have obtained the data required, to an acceptable standard and in the (ultimate) timeframe allocated, without the use of further, more complicated scaling of response options.

With the above survey structure and methodology applied, the survey was undertaken, and response progress tracked on a weekly (and towards the end daily) basis, to identify the overall response.

### **5.3.5 The survey response**

Several phenomena, one with immediate effect, impacted on the response rate (see bottom of Table 14). On April 25 2015, the day prior to the survey being circulated, an earthquake of magnitude 7.8 struck Nepal. Of 181 immediate 'out of office' replies, 33 stated specifically that the recipients were 'travelling to Nepal for the earthquake response'. Of the 1441 email addresses used for the survey, 268 came back immediately with 'failed delivery'. Surprisingly from these, only 7 recipients sent automatic replies stating they had since left their positions or organisations. There were an immediate 118 automatic emails from IHDOs with varying responses approximating to 'your message has been received and will be handled'. Massive earthquake aftershocks then also struck Nepal on May 12, protracting the crisis, demanding continuous IHDOs' support, and further hindering participants' responses. This demonstrated the already existing coordination and support efforts of IHDOs between different countries in the South Asian region.

12 weeks after circulation of the survey, and following three reminders, it became clear that two additional phenomena were hindering the response rate. Firstly, one of the countries, Pakistan, had entered into its Holy Month of Ramadan, with religious activities that may have impeded on the use of time for other less spiritual activities. Secondly, European summertime meant that many Western IHDOs' leaders were out of office for their vacations.

Given the low rate of responses by the end of the first three months, this researcher decided to (1) extend the survey by a further two months, (2) increase the regularity of reminders during this period, and (3) heighten the importance, value and essential need for the respondents' opinions, in the reminder emails. Consequently, a further three reminders were sent to non-respondents, culminating

at the end of the extension period (and a total of five months) in **180 survey responses** from all sources. These included: 81% leaders and 19% followers<sup>4</sup>; 22% from mostly and totally humanitarian organisations' respondents, 51% from transitional (mixed humanitarian and development) organisations' respondents, and 27% from mostly and totally developmental organisations' respondents; 76% male and 24% female respondents; 9% responses from India, 58% from Pakistan, 21% from Sri Lanka and 12% from IHDOs' HQs; 27% from European leaders, 64% from South Asian leaders, and 9% from the remaining 'other leaders'. Whilst the total of 180 responses was less than hoped for, the data provided numerous stimulating and useful perspectives, both validating this researcher's ideas and adding new dimensions. Table 14 shows the structure and process of the survey response tracking, monitoring and reminders (with dates) sent, including the total responses accumulated. Nonetheless, several factors influenced the unknown overall response rate achieved, including placing the survey on aid sector-based electronic platforms where the number of total 'possible participants' was unknown. However, for the direct email-based questionnaire alone, the response rate was 15.35%.

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<sup>4</sup> Other positions from survey respondents included 1 independent consultant, and 1 university lecturer (from the LinkedIn platform); both selected the 'follower' respondent option in the survey

Table 14: Collectors, recipients, responses and response rate, indicating follow up responses of the quantitative survey

No	Collector name	Total sent	Date sent	Fail	Max Poss	Progress over time (W=week; R=reminder)																							
						W1	W2	W3	W4	R1	W5	W6	W7	W8	R2	W9	W10	W11	W12	R3	W13-17	R4	W18-20	R5	W21-23	R6	W24	Total	
<b>DIRECT UNIQUE EMAILS THROUGH SURVEY MONKEY</b>																													
1	EMAIL-LEAD-PK	126	26.4	4	122	5	1	1	0	23.5	3	0	0	0	20.6	2	0	0	0	17.7	0	23.8	1	12.9	0	28.9	0	13	
2	EMAIL-LEAD-IN	17	5.5	1	16	0	0	0	0	23.5	0	1	0	0	20.6	0	0	0	0	17.7	1	23.8	0	12.9	1	28.9	0	3	
3	EMAIL-LEAD-SL	97	26.4	8	89	2	0	0	0	23.5	1	0	1	0	20.6	2	0	0	0	17.7	1	23.8	0	12.9	0	28.9	1	8	
4	EMAIL-LEAD-CONTACT	58	26.4	9	49	5	1	1	0	23.5	3	1	1	0	20.6	1	1	0	0	17.7	0	23.8	0	12.9	2	28.9	1	17	
5	EMAIL-LEAD-GIZ-IN-SL	40	1.5	3	37	0	2	0	0	23.5	4	0	0	0	20.6	3	0	0	0	17.7	0	23.8	1	12.9	0	28.9	0	10	
<b>DIRECT MULTIPLE EMAILS THROUGH BROOKES ACCOUNT</b>																													
6	WEBLINK-HDO-PK	108	27.4	45	64	1	0	0	1	23.5	1	0	0	0	20.6	0	0	0	0	17.7	2	23.8	8	12.9	4	28.9	2	19	
		1	29.4																										
7	WEBLINK-HDO-IN	157	27.4	67	91	0	0	0	0	23.5	0	0	0	0	20.6	0	0	0	0	17.7	0	23.8	1	12.9	0	28.9	0	1	
		1	29.4																										
8	WEBLINK-HDO-SL	152	27.4	84	71	1	0	0	1	23.5	0	0	0	0	20.6	1	0	0	0	17.7	1	23.8	0	12.9	1	28.9	0	5	
		2	1.5																										
		1	5.5																										
9	WEBLINK-HDO-HQ	334	27.4	27	365	1	1	0	0	23.5	2	0	1	0	20.6	3	0	0	0	17.7	0	23.8	2	12.9	2	28.9	0	12	
		11	29.4																										
		45	2.5																										
		11	2.5																										
10	WEBLINK-LEAD-SECTOR-CONTACT	2	2.5	11	25	-	-	-	-	-	-	-	-	20.6	0	0	0	0	17.7	0	23.8	0	12.9	3	28.9	0	3		
		34	12.5																										
<b>DIRECT UNIQUE EMAILS TO PROFESSIONAL FORUMS FOR CIRCULATION AMONG MEMBERS</b>																													
11	WEBLINK-LEAD-PK-HUMFORUM	1 link	29.4	-	53	-	-	-	-	23.5	7	0	0	0	20.6	0	5	0	0	17.7	0	23.8	0	12.9	0	28.9	0	12	
		53																											
12	WEBLINK-LEAD-PHAP	1 link	30.4	-	191	-	-	-	-	23.5	-	-	-	-	20.6	-	-	-	-	17.7	0	23.8	22	12.9	11	28.9	6	39	
		191																											
13	WEBLINK-LEAD-NETWORKLEARNING	1 link	30.4	-	?	3	0	0	0	23.5	0	0	0	2	20.6	0	0	0	0	-	0	-	0	-	0	-	0	5	
14	WEBLINK-LEAD-SOUTHASIA	3 links	8.7	-	?	-	-	-	-	-	-	-	-	-	-	-	-	0	0	8.7	0	23.8	1	12.9	0	28.9	0	1	
<b>DIRECT LINKS PROVIDED ON PROFESSIONAL PLATFORMS</b>																													
15	WEBLINK-LEAD-HPN	1 link	10.5	-	?	-	-	0	0	-	0	0	0	0	20.6	0	0	0	0	-	0	-	0	-	0	-	0	0	
16	WEBLINK-LEAD-LINKEDIN	6 links	5.5	-	?	-	3	2	1	19.5	0	10	1	0	20.6	4	0	1	0	17.7	0	23.8	3	12.9	4	28.9	3	32	
																													31.5
17	WEBLINK-LEAD-DEVELOPMENTAD	1 link	23.5	-	?	-	-	-	-	31.5	0	0	0	0	20.6	0	0	0	0	17.7	0	-	0	-	0	-	0	0	
																													5.7
TOTALS		1441 / 14 links	0	268	1173	18	8	4	3	33	21	12	4	2	72	16	6	1	0	95	5	100	39	139	28	167	13	180	
Pertinent aspects		Nepal earthquake response in South Asia												Ramathan				European summer				More regular urgent / important reminders							

### **5.3.6 The approach taken to setting up and undertaking the qualitative sampling**

The qualitative sampling commenced with seeking approval from the three selected IHDOs: GIZ, Oxfam and MSF. This required numerous emails, telephone and skype calls, through many channels and professional networks. It needed the support from a number of sources and contacts (as far away from the region as the US), to obtain the official approval to carry out research within these IHDOs. Eventually, all three IHDOs provided their official approvals in writing (Annex 10).

All sampling organisations' participants were contacted in advance of their KII or FGD, and were sent the participants' information sheet and consent form, as well as some basic charts of primary findings from the survey as background preparation material. All signed consent forms were sent back via email, handed over in person at the time of the encounters, or scanned and sent to this researcher post the participants' KII or FGD. This researcher maintained a fully documented and complete file of all sampling organisations participants' consent forms.

In parallel to setting up all the consecutive KIIs and FGDs, amendment of all KII and FGD frameworks – elaborated in 2014 during the University ethics approval process – was necessary. This was based on the further literature review that took place after the ethics approval, and the findings from the survey itself. Approval was then again sought and obtained from the University's Ethics Research Committee for the newly-adapted KII and FGD frameworks.

This researcher attempted to contact all the IHDOs' leaders in their countries of operation. At this point it became apparent that six months previously, MSF had ceased their operations in Sri Lanka, negating the possibility of KIIs and FGDs with these participants. However, in communication with the other IHDOs' leaders and representatives assigned by them to support this research (based on the letters of approval provided by their IHDOs), and with support from their IHDO's HR representatives in the three countries, the participants for the FGDs were identified.

Based in Pakistan, this researcher then commenced the process of applying for relevant 'research visas' for both Sri Lanka and India, to carry out the field research associated within the sampling organisations in these countries. For Sri Lanka, the visa was granted in a 24-hour period. Commencing eight weeks in advance for the same process with the Indian High Commission in Islamabad, the intended travel plan was first to go to Sri Lanka, then directly to India, before returning

to Pakistan to complete the field work. Numerous follow up telephone calls and email communication were made with the Indian High Commission. A 45-minute interview was held at the Indian High Commission, where all the research material was also shared with the representatives there. Finally, on the evening prior to the next morning's flight to Sri Lanka, the Indian High Commission regretted that they could not obtain approval from Delhi to provide this researcher with a Research Visa, offering instead a 'Tourist Visa'.

Based on moral, ethical and professional principles, this researcher declined the offer. To have had discussions with senior Indian Government representatives, while affiliated to the Oxford Brookes University, as well as working for GIZ at the time (one of the sampling IHDOs operational in India), might have put all organisations, and this researcher himself, at risk of negative reprisals. Contact was made immediately to this researcher's Oxford Brookes University supervisors, who, alongside sharing their commiserations, all confirmed this was the right, even if difficult, decision to take. Contact was then immediately made with all the research participants in India to inform them of this situation, and then relevant logistical steps were taken to cancel all transport and accommodation arrangements in India, and rebook flights to return directly to Pakistan after the field research in Sri Lanka.

While undertaking all the face-to-face KIIs and FGDs in Pakistan and Sri Lanka, this researcher rescheduled as many of the India-based KIIs and FGDs to take place via Skype from Islamabad in Pakistan. This took an additional 4 months to arrange and put into place. With the exception of the KII with the Indian Government representative, and one IHDO's FGD, all others were able to be completed.

Several other changes to the intended research approach took place. When it came to organising the KIIs with the HR representatives of the IHDOs, the following occurred:

- For GIZ, this was planned to take place in its HQ in Eschborn, Germany (during a professional visit), but was not possible at the intended time, and ultimately occurred via a Skype conversation from Islamabad in Pakistan.
- For Oxfam, this was planned in the UK, but investigation found that the Regional HR Manager (who had incidentally hired all three Country Directors in South Asia) was based at Oxfam's

regional office in Bangkok, Thailand. The HR Manager was on assignment in Pakistan around the time intended for the KII, so this took place in Islamabad instead of Oxford.

- For MSF, this was intended to take place in Paris during a vacation of this researcher to his home in France, but as similarly occurred with Oxfam, it was discovered that MSF had a regional office in Delhi, India, and this was then the intended location for the KII. Regrettably, for reasons now presented, this was not possible face to face, so the KII took place between Islamabad and Delhi via Skype.

For the IHDOs donors' KIIs, the following occurred:

- For the main donor to GIZ (BMZ), the KII was held in Islamabad as planned
- For the main donor to Oxfam (DFID), the KII was planned to be held in Delhi, but this did not happen, and a KII was held with a Senior DFID representative, face to face in Islamabad
- For MSF, whilst it was intended to hold the donor KII (ECHO) in Sri Lanka, given MSF's ceased activities, ECHO also centralised its support to the region in Delhi (6 months prior to the planned visit). As in other cases, the KII was not possible in person, so it was held with ECHO representatives for MSF in the region between Islamabad and Delhi via Skype

For the host country Government representatives, numerous attempts, channels and support sources were opened, to obtain access to the appropriate personnel who would be able to provide insights and opinions about IHDO leadership in their countries. Finally, the following happened:

- The host government representative in Sri Lanka was interviewed, face-to-face in Colombo
- The host government representative in Pakistan was interviewed, face-to-face in Islamabad
- After numerous emails, telephone and skype calls and meetings, many contacts approached, and several unfounded commitments made to assist in reaching the right person in the Indian Government, this KII finally did not materialise. This researcher extended to the last possible moment the opportunity, regarding the overall timeframe and schedule (to complete the field work and the doctorate), but to no avail.

Ultimately, **16 KIIs** and **7 FGDs** were able to be held; mostly face to face, and some by Skype, which equates to an 89% response rate against the intended plan (see section 5.3.7, table 15).

### 5.3.7 The sampling methods and instruments

For the qualitative sampling, two methods and two instruments were utilised. The rationale for their use was influenced by the research problem, the philosophy and methodology of the research, and the participants, including their contexts and their IHDOs. The first method, semi-structured face-to-face KIIs, captured the qualitative opinions of IHDOs' leaders and key stakeholders. Each KII took approximately one hour. The semi-structured KII frameworks were formed based on key findings from the survey. These semi-structured KIIs were carried out with eight IHDOs' leaders from the three sampling organisations in the three countries (MSF closed their activities in Sri Lanka only months prior to the field research taking place). Three semi-structured KIIs were also held with an HR representative of each sampling IHDO, and with four donor representatives of the IHDOs (in the case of MSF, two Programme Officers from ECHO were interviewed). Semi-structured KIIs were also held with two key host government representatives responsible for dealing with foreign organisations and IHDOs in Pakistan and Sri Lanka.

The rationale for using semi-structured as opposed to closed-question KIIs was that the preceding online questionnaire provided key themes around which the KIIs could be framed, yet they still allowed participants to express associated, if not directly related, ideas and opinions (Poate, C. D. and Daplyn, P. F., 1993; Stroh, M., 2000; Bryman, A., 2004a). Equally, with the information already obtained through literature review and the survey, open-question KIIs would not have facilitated a focused enough discussion on the key findings from the previous phase of the study. Thus, a semi-structured interview framework ensured the respondents had some structure and orientation throughout the KIIs. At the same time this researcher allowed for extra-curricular inputs when considered to add value and meaning (see Annex 7). All KIIs were planned to be held face to face, to pick up on body language and nuance, to ensure the capture of all statements and responses directly, and to mitigate risks of the KIIs not happening (i.e. personally-requested KIIs stress the importance of the interviewee's presence). Table 15 shows the ultimate participants, the dates and locations of KIIs and FGDs, and their dates of completion. The table also indicates the dates of the sampling organisations' approvals, the dates of responses on visas, and the date this researcher ultimately stopped trying to obtain the last KII and FGD in India.

Table 15: Organisation of qualitative sampling organisations' KIIs and FGDs

Sampling organisations' interviews and focus group discussions in South Asia											
No.	Date	Time	Country	City	Organisation	Participant title	Research method	Date sent docs	Confirmed	Completed	Medium
1		09:30	Sri Lanka	Colombo	Oxfam	Country Director	Interview	26.09.16	Y	Y	Face
2	12.10.16	11:00				Senior National Personnel (5)	Focus Group Discussion	12.10.16	Y	Y	Face
3	13.10.16	11:00			Ministry of Finance – External affairs Division (Sri Lankan Government)	(removed for anonymity)	Interview	02.10.16	Y	Y	Face
4	14.10.16	09:30			Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)	(removed for anonymity)	Interview	26.09.16	Y	Y	Face
5	15.10.16	11:00			Senior National Personnel (5)	Focus Group Discussion	15.10.16	Y	Y	Face	
6	23.10.16	11:00	Thailand (changed to Pakistan!)	Bangkok (changed to Islamabad)	Oxfam	HR Director South Asia	Interview	23.09.16	Y	Y	Face
7	24.10.16	09:30	Pakistan	Islamabad	Medicines Sans Frontiers	(removed for anonymity)	Interview	07.10.16	Y	Y	Face
8	01.11.16	16:00			Federal Ministry for Economic Cooperation and Development (BMZ) (German Government)	Donor Representative	Interview	30.09.16	Y	Y	Face
9		09:30			Country Director	Interview	21.09.16	Y	Y	Face	
10	02.11.16	11:00	Oxfam	Senior National Personnel (6)	Focus Group Discussion	23.10.16	Y	Y	Face		
11	02.11.16	15:30	Pakistan	Islamabad	MSF	Senior National Personnel (6)	Focus Group Discussion	25.10.16	Y	Y	Face
12	03.11.16	10:00	India (changed to skype)	Delhi	Oxfam	(removed for anonymity)	Interview	07.10.16	Y	Y	Skype
13	03.11.16	11:30	MSF	Head of HR South Asia	Interview	30.09.16	Y	Y	Skype		
14		09:30	Pakistan	Islamabad	(removed for anonymity)	Interview	30.09.16	Y	Y	Face	
15	15.11.16	11:00			Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)	Senior National Personnel (5)	Focus Group Discussion	19.10.16	Y	Y	Face
16	18.11.16	12:00	India (changed to skype)	Delhi	European Civil Protection and Humanitarian Aid Operations (EU-ECHO)	Donor Representatives	Interview	22.09.16	Y	Y	Skype
17	18.11.16	14:00	India (changed to skype)	Delhi	Medicines Sans Frontiers	Senior National Personnel (2)	Focus Group Discussion	05.10.16	Y	Y	Skype
18	23.11.16	14:00	India (changed to skype)	Delhi	Medicines Sans Frontiers	(removed for anonymity)	Interview	01.10.16	Y	Y	Skype
19	29.11.16	14:00	Pakistan	Islamabad	Department for International Development (UK Government)	Donor Representative	Interview	17.10.16	Y	Y	Face
20	29.11.16	14:00	Germany (changed to skype)	Eschborn	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)	HR Representative	Interview	24.10.16	Y	Y	Skype
21	12.12.16	10:00	India (changed to skype)	Delhi	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)	(removed for anonymity)	Interview	07.10.16	Y	Y	Skype
22	12.12.16	11:30	India (changed to skype)	Delhi	Oxfam	Senior National Personnel (5)	Focus Group Discussion	10.10.16	Y	Y	Skype
23	12.12.16	14:00	India (planned for Skype)	Delhi	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)	Senior National Personnel (6 planned)	Focus Group Discussion	28.09.16	Y	N	Skype
24	30.01.17	10:00	Pakistan	Islamabad	Ministry of the Interior - Economic Affairs Division (Pakistani Government)	(removed for anonymity)	Interview	24.01.17	Y	Y	Face
25			India (planned for Skype)	Delhi	Ministry of Home Affairs – Foreigners Division (FCRA Wing) (Indian Government)	GoN Representative	Interview		N	N	Skype
			Sri Lanka Visa	14.09.16		15.09.16: hotel and flight booked for 10.10.16	Stopped trying to contact GIZ India FGD: 12.07.17; Stopped trying to contact Indian Government Representative: 04.07.17				
			India Visa	no visa: 10.10.16		no visa - no hotel, all interviews and FGDs postponed					
			GIZ Authorisation	28.09.16							
			Oxfam Authorisation	03.10.16							
			MSF Authorisation	06.10.16							

To complement the perspectives obtained when talking to the IHDOs' leaders, donors, host country governments' representatives, and IHDOs' HR representatives, the second method – FGDs – were undertaken with senior national personnel from the three IHDOs in each country. Each focus group consisted of a mix of men and women from the three sampling organisations in the three countries



(with the exclusion of MSF – not operational in Sri Lanka as mentioned above). Each FGD took between 1.5 and 2 hours.

The FGDs provided an additional seven sources (a total of 35 participants) from within the IHDOs, and from the 'followers' perspectives. This enabled triangulation of findings and results (Bryman, A., 2004c; Stern, R. D. *et al.*, 2004), and served as a process to substantiate or challenge the IHDOs leader's responses. The dialogue was also informed by the results of the IHDOs leaders' KIIs. This researcher allowed space for the discussion to move freely around the selected subjects, and to pick up additional insights previously un-envisaged or not touched upon by the interviewed participants.

All KIIs and FGDs were captured using a digital electronic recording device, the first of the instruments. This instrument served nine main functions: (1) it ensured that no comment or response was missed, and that, as is imperative with verbal discourse, the nuance and intonation of the responses were captured, adding value to the analysis; (2) it allowed this researcher to concentrate full time on listening intently to the responses to questions, and to the dialogue in the focus groups' discussions, and to freely pick up threads and follow them, providing space for further probing on specific themes of interest without the distraction of having to take notes simultaneously; (3) it provided a verbal narrative of the proceedings that facilitated accurate retrieval of the responses and their transcription; (4) it allowed this researcher to work alone, without the need for assistance in documenting the discussion and findings; (5) it provided a medium whereby repetitive listening to the responses *post-ante* was possible to ensure complete comprehension and understanding of the responses, which were then translated into written form; (6) it facilitated the ease of preparation of transcripts, and the possibility of sending electronic data files (once deciphered and cleaned where necessary) directly back to the sampling organisations' participants (in the case where requests for this were made); (7) it saved a large amount of time in the transcription process, whilst negating the risks associated with hard copy note taking (error and loss or damage); (8) it facilitated speedy storage of data to the safety of this researcher's computer, and backups, and finally (9) it provided data in a more malleable form than hand-written notes or scanned PDF documents in terms of flexibility during the data analysis stage in NVIVO (the second instrument).

## 5.4 Data analysis: processes and instruments

### 5.4.1 Quantitative data analysis

To support the study's quantitative analysis or deductive phase of the study, the 'Statistical Package for the Social Sciences' (SPSS) was initially used. SPSS has the capacity to handle large quantities of data (Gupta, V., 1999; Bryman, A. and Cramer, D., 2003), and supported this researcher in carrying out the analysis. Once the data was extracted from SurveyMonkey into SPSS, a process of screening and cleaning took place. Firstly, the data was examined to identify any outliers, spurious responses, or incongruences. Secondly, data filtering was undertaken. This involved, for example, scrutiny of narrative responses to nominal categorical questions (i.e. where 'other' was a response option), and adjustment of the locus of the participants response for further analysis. Eight 'respondent clusters' were formed for further comparative analysis, from groups of existing individual respondents, as follows:

(1) South Asians leaders, and (2) South Asian followers: both these groups comprised respondents from Bangladesh, India, Nepal, Pakistan and Sri Lanka; (3) European leaders, and (4) European followers: both these groups comprised respondents from France, Germany, Ireland, Italy, the Netherlands, Sweden, Switzerland and the UK; (5) IHDOs' leaders, and (6) IHDO's followers comprising respondents from solely or mostly humanitarian organisations; (7) IHDOs' leaders, and (8) IHDO's followers comprising respondents from solely and mostly development organisations.

After this clustering process, it became clear that limited value addition was to be had from undertaking in-depth or complex statistical analysis. Indeed, it was not relevant to further disaggregate the data, as this would have reduced the sample under analysis to a negligible size, from which any inherent implications for the total population could not have been reasonably derived. However, comparative analysis was deemed as relevant and appropriate for providing numerous stimulating themes for the consecutive qualitative sampling. In discussion with this researcher's supervisors, this was confirmed.

To process the cleaned and categorised data, descriptive statistics, based on common mathematical techniques, were used. The responses provided categorical data that was divided into two groups: nominal and ordinal. Nominal data, such as the citizenship of IHDOs' leaders, had no natural ordering. Ordinal data however was ordered, such as that which came from the responses to scaled measurements (i.e. from the responses to Likert-type scaled questions) (Freeman, J. V. and Julious, S. A., 2005b). However, initially it would have been difficult to make sense of the large volume of quantitative data accumulated from the survey. Therefore, this researcher decided to examine the data visually in the form of charts and tables: a well-prescribed first step to simplify analysis. Without the need for deeper statistical analysis (and consequently SPSS) the data set was transferred to Microsoft Excel, with which this researcher was more familiar. This facilitated the potential for provision of the research findings to the intended target groups (fundamentally IHDOs' leaders), providing information in a form that was relatively easy to understand and assimilate (as compared to the alternative academic narrative and complex statistical descriptions, figures and formulas).

In addition, describing the spread for each variable added value, as the results of the study were to be used to influence the follow-on phase of the research (the qualitative sampling). For this, methods included *numerical counts or frequencies* (how many times something occurred or how many IHDOs leaders' responses fitted into a particular category), and *percentages* (expressing information as a proportion of the whole). This latter method was good for interpretation and comparison, and to show relationships (e.g. with the opinions of IHDOs' leaders regarding their agreement with declarative statements on criteria for successful leadership).

The outputs from this first research phase were the identification and extraction of a number of key themes related to successful leadership. These, together with key findings from the literature, and commencement of the formation of responses to the research questions, were then used to provide the basis on which the next phase of the study was built. However, whilst triangulation of findings was one objective of the two-phased mixed method approach, equally the quantitative and qualitative responses provided different types and levels of meaning (Mason, J., 2002).

#### 5.4.2 Qualitative data analysis

Within the inductive phase of the study, applied research was used due to its potential for actionable outcomes (Ritchie, J. and Spencer, L., 2002). Three research categories were established, aligned to the research design paths.

Firstly, a *contextual category* was set up, identifying the form and nature of what exists, for example, what were the dimensions of attitudes or perceptions held by and about IHDO leadership, what were the nature of peoples' experiences, and what did IHDOs' leaders need to become more successful (e.g. specific competencies).

Secondly, a *diagnostic category* examined the reasons for, or causes of what exists, for example, what factors underlay the particular attitudes or perceptions mentioned above, and why were decisions or actions that reflect the successfulness (or not) of IHDO leadership taken or not taken.

Thirdly, an *evaluative category* was established, to appraise the effectiveness of what exists, for example: how IHDO leadership objectives were achieved; what affected the successful leadership of IHDOs' programmes or services; how did experiences gained affect subsequent behaviours; which competencies impacted more than others on leadership, and which facets of professionalism (either as per the theory or adapted), influenced how successful IHDO leadership could be.

This qualitative analysis phase commenced whilst this researcher was in the field collecting primary data, and continued after receiving, documenting and coding data (Bogdan, R. C. and Biklen, S. K., 1982). Hence, qualitative data analysis was not just undertaken as a standalone sequenced phase of this research, as, according to Wiseman (1974, p. 317), *'the constant interplay of data gathering and analysis is at the heart of qualitative research'*. This approach allowed, for example, one set of primary data – comprising the responses of a sampling organisations' participants in one country – to inform the new data set produced by subsequent participants (Burgess, R. G. *et al.*, 2002). Nonetheless, extra care was given to ensuring that the main themes extracted from the quantitative secondary data collected in the previous phase (survey) remained prominent. The process included taking detailed field notes of emerging concepts, elaborating ideas for categories, and making research memos (a grounded theory tactic) (Bogdan, R. C. and Biklen, S. K., 1982; Mason, J., 2002). Grounded theory in this case influenced this research phase in terms of the desirability of developing

concepts and theory from data, and the use of different types of codes and their role in the creation of such concepts (Glaser, B. G. and Strauss, A. L., 1967). This generation of concepts emerged as a consequence of this researcher being immersed in the data, seeking out patterns, identifying possible surprising phenomena, and being sensitive to inconsistencies (i.e. awareness of divergent views offered by different groups of individuals) (Bryman, A. and Burgess, R. G., 2002). It focused on documenting both processes undertaken as well as the outputs of those processes; the latter commencing with the development of a coding system.

#### **5.4.3 Qualitative data coding**

Coding, according to Charmaz (1983, p. 111) was, *'simply the process of categorising and sorting data'*, while the purpose of codes were to *'summarise, synthesize, and sort many observations made out of the data'* (Idem, p. 112). Codes were established predominantly aligned to three design paths followed, these being descriptive (contextual), explanatory (diagnostic), and interpretive (evaluative) (Miles, M. B. and Huberman, M., 1984). However, given the usually complex and unwieldy nature of qualitative data (Bryman, A. and Burgess, R. G., 2002), an initial 'open coding' was used to commence the process of deconstructing, examining, comparing, conceptualising and categorising the data (Strauss, A. L. and Corbin, J., 1990). This can be seen in the example leader's KII framework in Annex 7, and in the coding categories in Annex 11. Ritchie and Spencer (2002) proposed five concrete steps that were referenced throughout this qualitative analysis process.

Firstly, this researcher became familiar with the range and diversity of the data, maintained an overview of the range of methods used, and the extent to which the research process was modified during this phase. This latter point was of particular pertinence given that sampling within three organisations, carried out in three countries, also involved five other countries (including interaction and preparation for and with the IHDOs' HQs and regional offices for relevant approvals), but was not undertaken simultaneously in the three selected countries (i.e. through the use of a research team working in parallel).

Secondly, thematic KII and FGD frameworks were established, based on the survey findings and analysis, and research notes and memos made, which enabled the identification of key concepts

according to the data examined. Judgements were made about the relevance and importance of issues and meanings, particularly prior to the following step.

Thirdly, an indexing system was established (i.e. a systematic referencing system for the data). At this stage it was important that the system could be easily understood by others, and annotation was used to assist comprehension.

Fourthly, data were extracted from the original context and rearranged to form visual stimuli (dominantly charts, tables and systems), based on the research themes (from semi-structured KIIs and FGDs).

Fifthly, key characteristics of the data were then brought together, and the data set in its entirety mapped and interpreted. At this stage, the rigorous and systematic process of detection began. This ensured that: emergent theory was captured (e.g. the extent of need of leader's versatility); the range and nature of phenomena were mapped; different attitudes, experiences, perceptions, and opinions were categorised; associations between experiences and attitudes, influencing factors (including professionalism) and IHDO leadership behaviours, and between circumstances and motivations were identified; explicit and implicit explanations were sought, and that new theories and proposals for application, were developed. Thus, a five-phase coding approach was taken:

Firstly, *thematic coding*, established in the participant KII and FGD frameworks, enabled compartmentalisation of all pertinent responses against the following main categories: characteristics, competencies, intuition, versatility, influencing factors, the locus of leadership, continuous professional development (CPD), performance assessment, and professionalism.

Secondly, *descriptive coding* was applied, to break down participant responses into more concise categories.

Thirdly, upon further analysis of the data, six additional coding and sub-coding categories were added: challenges, context, culture, gender, organisations, and the aid sector.

Fourthly, all these descriptive responses were screened and the most relevant were compiled under three overarching code categories: *interpretations* (related to how responses address themes within

the research questions); *opinions* (value-based statements), and *perspectives* (covering issues specifically for and of leaders, such as their time and space, their future success and focus).

Fifthly, these responses were filtered to provide the ultimate material for this research. To support the structuring, categorising, coding and analysis of primary data collected during the semi-structured KIIs and FGDs, the qualitative data analysis programme NVIVO was selected (Annex 11).

#### **5.4.4 The qualitative data analysis instrument**

From sixteen KIIs and seven FGDs, the transcripts amounted to a total of 393 pages. NVIVO (previously known as Non-numerical Unstructured Data Indexing Searching and Theorising) offered many relevant and appropriate features for breaking down and supporting qualitative analysis of this huge amount of data. (Ozkan, B. C., 2004). These included being able to accept multiple input formats such as those of rich text documents, memos, multi-media, and downloads from transcripts made using MS Word. It also provided for sophisticated data coding, ease of searching, cross-case analysis, and the exploration of complex ideas. Fundamentally, it assisted in developing concepts, and supported this researcher in building theory. These elements, including a sophisticated search tool, which enabled accurate and fast targeting of data stored, assisted this researcher and saved time through the automation of numerous processes and data manipulation. Broad varieties of output formats were also offered by this programme, which were both directly and indirectly translated into narrative and diagrammatic form for the qualitative results chapter of this thesis. These included charts, tables, mind maps and system diagrams that not only assisted in visualising conclusions but also in reaching them (Dey, I., 2005). Systems diagrams were also used for visualising relationships between categories, in making comparison between categories, and identifying missing or spurious data.

NVIVO helped in the indexing and retrieval functions of qualitative data management, and in the exploration of relationships and comparisons between responses against different variables, sub-variables and categories (Ozkan, B. C., 2004; Dey, I., 2005). It also provided the framework matrices used to compartmentalise and package the selected quotations from the KIIs and FGDs that allowed the respondents, at a glance, to give a final approval for their use in the presentation of findings (Chapter 7). However, it was acknowledged that NVIVO could not perform the creative and

intellectual tasks of devising categories, deciding which categories or types of data were relevant, or defining what was a meaningful comparison between different categories. This researcher did the thinking, followed and applied the logic of the research, and did not limit analysis only to what the computer programme could do. This researcher's creativity, insight and intuition was not lost, but documented, as required for this phase of the research, and recommended for qualitative analysis by Dey (2005).

## **5.5 Summary of research methodology: practical application**

This chapter presented the research participants, how they were identified and the rationale for their selection. It introduced the three sampling organisations, and how they are representative of the type of IHDOs where success factors for leadership can be applied – along the humanitarian-development continuum. The chapter touched on the rationale behind the locus of the research, based in three South Asian countries.

The methods and instruments used for the field research – both the online quantitative survey, and the qualitative KIIs and FGDs – were elaborated on. This included the design, structure, and application of the survey, using two pilots to test and develop the final survey's worth. It also showed how key themes were then taken into the frameworks for KIIs and FGDs within the sampling organisations, and the instruments used for this purpose. The iterative nature of this social research, the documentation established to support this, and the inter-connectedness of the two methods were all presented.

The structure of tracking and follow up on both the quantitative survey and the qualitative sampling preparation were elaborated. Hindrances and challenges that were faced and overcome as far as was possible were also presented.

Finally, the way in which both quantitative and qualitative data was analysed, which instruments were used, and how these findings and analysis shaped the information presented in the two consecutive Chapters 6 and 7, were detailed.



## **5.6 Research limitations**

Seven principle limitations existed with this study, as now presented.

### **5.6.1 Scope and scale**

As in many cases, this researcher set out with a set of ideas and issues that required addressing. These were initially threefold: (1) the limited number of national personnel in leadership positions in IHDOs; (2) the deficit in IHDO leadership effectiveness more generally but, especially, within the South Asia region, and (3) the contested drive for more professionalism in the sector. Each subject held its stimulus, value and interest for this researcher (and the aid sector), yet if addressed in combination, none would have had the attention that each warranted. Ultimately, the focus on successful leadership was selected, yet with the sub-element of the aspect of professionalism – and how it affects better leadership – incorporated. This has led to a very dense and still quite broad study being undertaken. Whilst the results are pertinent, and the connection between successful leadership and professionalism has been explored in depth, with hindsight perhaps selecting only key tenets of professionalism, rather than the whole, may have been more meaningful.

Additionally, addressing a research subject as diverse in scope and scale as leadership entailed the risk of neglecting some element or variable, or having to intentionally side-line certain perspectives. Some of the aspects of leadership (e.g. the aspect of power, leadership at different levels within IHDOs, the backgrounds and experiences of the aid sector's leaders, and some of the daily-utilised and required skills – such as communication, conflict management etc.), whilst mentioned, were not able to be explored in depth.

### **5.6.2 Nature of the research**

The more subjective interpretive nature of the study, formed dominantly around the perceptions, personal opinions and interpretations of the respondents, and the position of this researcher as an IHDO leader, opened up multiple non-controllable variables. Whilst all efforts were made to reduce risks associated with this (triangulation, use of mixed methods, etc.), the inherently 'social' and subjective nature of the research did not allow for the establishment of concrete, quantifiable findings

more dominantly associated with the natural sciences, through research undertaken in controlled and variable-controllable environments.

### **5.6.3 Statistical aspects**

As regards statistical analysis of the quantitative data from the survey, not knowing the total population ( $N$ ) of the target group (leaders in humanitarian and development organisations in the aid sector in the world), nor the sub-set ( $n$ ) (the research target group specifically within the South Asia region) created limited options for the use of different sampling techniques. Thus, with no hypothesis, no knowledge of the actual proportional and appropriate sample size ( $n$ ), no interval data (so no possibility of exploring means and distribution), but still with the interest and need to show some statistical analysis undertaken, comparison between variables, response categories and participant typology were, in principle, the only valid statistical analyses possible. Herein, due to the total number of survey responses spread across numerous respondent characteristics, it was not relevant to further disaggregate the data from the survey, as this would have reduced the sample under analysis to a negligible non-representative size from which inherent implications for the total population could not be obtained. A concrete example of this would be breaking down responses from the survey by organisational type *and* years of experience, *and* country of operation *and* gender, wherein the possibility of even having any participants represented was negligible. Therefore, disaggregation of data was limited for comparative analysis purposes.

### **5.6.4 Geographical locus**

The regionally-specific geographic locus of the field work in South Asia may have cultural and contextual peculiarities that make replicability challenging in other regional contexts. Whilst many of the phenomena from the aid sector perspective remain the same, and the rationale and modus operandi of IHDOs and their leaders were also strongly influenced by their own cultures and mandates, the South Asian perspectives – particularly those of the research participants local to the region – could have influenced respondents' perceptions about leadership. Additionally, only three of the eight South Asian countries were covered. Differences in relation to other regions – Africa,

Latin America, Eastern Europe, South-East Asia, etc., particularly cultural – would need to be factored into any future research of this kind in other areas of the world.

Additionally, at the time of commencement of this doctorate research, this researcher – a full-time professional in the ‘development sector’ engaged on contract basis with different government and non-government organisations in the region – was unaware that his current assignment would be in Nepal. This has been the case for the past two years, during which time this researcher has witnessed many of the issues and concerns covered by this research as being prevalent. With hindsight, and with this knowledge, and to add more external or substantive validity to the research findings, and potential for more replicability, a study of broader geographical scale within the region, and perhaps less scope, could have added value and new perspectives.

#### **5.6.5 Cultural perspectives**

Fifthly, the aspect of culture is intrinsic to IHDO leadership and divergent in outlook and influence in different areas of the world. This would need to be factored in and accounted for if and when the criteria of replicability were to be applied to this research in an area of the world other than South Asia. From another cultural perspective, this study is based predominantly on western-based philosophy and research theory, even though this researcher’s own epistemology, ontology and axiology have been influenced by many years spent living and working in South Asia, Africa, the Middle East, the Caribbean, North America and Europe.

Additionally, whilst an extensive literature review of 1,494 articles was undertaken, only limited material was identified from authors ‘*within*’ the South Asian region, and specifically from the three South Asian countries of India, Pakistan and Sri Lanka on the main research areas: leadership and leadership theory, influencing factors, culture itself, and professionalism. This may be due to an existing dearth of material published in these fields, that the material is only currently available in local languages and not translated into English, or that – from an aid sector and IHDO perspective – these works are not incorporated into their strategic and operational undertakings. The implications of this deficit may be of significance in relation to aligning IHDO leadership practice to local contexts, and indeed, may be one of the reasons behind the currently documented lack of leadership success.

### 5.6.6 Research criteria

In terms of validity, the methods utilised were appropriate in terms of their use for comparisons made between the different research sources (the literature; the survey respondents; the sampling organisations' participants), and were applied as effectively as was possible for both quantitative and qualitative research approaches. In both phases of the field-based research (the quantitative survey followed by the qualitative sampling undertaken with the selected participants from three IHDOs in three South Asian countries), iteration and adaptation were necessary due to unforeseen hindrances in response rate, or logistical aspects related to physically carrying out the research in several countries. Whilst *internal validity* (if there is a good match between observations and theoretical ideas developed) was considered as well-achieved, *external validity* (if research findings can be generalised outside the context across other social settings) was achieved to a lesser extent, due to the regional, contextual, cultural, and specific nature of the research. The survey instrument captured the perspectives presented by all respondents, hence this researcher feels that substantive or content validity was attained. Convergent validity was also tested and felt to be achieved, given the use of both quantitative and qualitative approaches, and the correlation of perspectives elicited from participants between them (from the survey and the sampled IHDOs). Some shortcomings in the sampling technique and sample sizes of the survey respondents were unavoidable because of a) not knowing the total population (N), nor b) having access to up to date information about the subset (*n*) of the survey population. The sample frame (selected South Asian countries, sampling organisations' and participants) was relevantly identified and justified in terms of its rationale.

Reliability (if a particular technique, applied repeatedly to the same object, would yield the same result each time) was not able to be tested, given the cross-sectional rather than longitudinal nature of the research. However, asking the same set of research questions (quantitative in the survey and qualitative in the sampled IHDOs) allowed for this researcher to draw strong conclusions from the approaches used, as highlighted in Chapters 6 and 7. Additionally, wherever and whenever possible, this researcher ensured that in new contexts and interactions or engagements with research participants, variables under his control remained constant: the same questions were asked in KIs and FGDs; the same prominence and nuance was placed on aspects that required emphasis; traits

and behaviour were attuned to always presenting the same physical presence and misdemeanour, and the time taken for each engagement, whilst varied, was approximately similar in scale.

Regarding replicability (procedures must be detailed; other researchers should be able to carry out the same research, use the same measures with the same results), due diligence was done by this researcher in meticulously documenting and rationalising every step of the design, methodology, research approach, instruments used, and findings. However, given the cross-sectional approach taken, replication would face two main constraints: (1) the likely change in participants, both for the survey and the sampled IHDOs (given the rotation of staff in these positions), and (2) the constant change in, influences on, and direction of IHDOs and the aid sector itself.

### **5.6.7 Practical constraints**

Major constraints were faced in accessing both the country of India and research participants therein. As the largest of the three sample frame countries, the response rate from the survey of participants in India was surprisingly low by comparison to Pakistan, Sri Lanka and IHDOs' HQs. Further, this researcher was denied a research visa, even after adhering to and following all requirements, protocols and allowing enough time for the relevant authorities to process this. This required an adaptation for the sampled IHDOs' KIIs and FGDs which had to happen online via Skype. This approach may have lost some of the nuances more easily captured when operating face to face with participants. Additionally, even with concerted efforts through several channels, this researcher was unable to obtain an interview with a relevant host (Indian) government official, as well as one of the intended FGDs. This was likely because of the lack of proximity (less feeling of obligation of participants), and as, at that time, this researcher was based in and travelling from Pakistan (potentially felt to be a political issue). It is unknown to what extent value addition might have taken place were this researcher to have been given access directly to the country and research participants, and held face to face interviews and focus group discussions with the participants.

## **6. Quantitative survey responses: combined findings and analysis**

### **6.1 Overview of this chapter**

This chapter presents findings and analysis from the quantitative survey, illustrated using comparative analysis charts and tables. Opinions of the variables, expressed by the survey respondents, were analysed in relation to their use for, level of importance or influence on successful IHDO leadership. The variables were: characteristics, competencies, attributes (versatility and intuition) influencing factors, the locus of leadership, continuous professional development (CPD), performance assessment, and professionalism. Analyses of these findings provided insights for responses to the main research questions, and stimulus for the subsequent sampling (Chapter 7).

The summaries of each section in this chapter cover the specific content presented, but also the overall findings and analysis for responses related to that particular section in the survey. In Section 6.2 it is made clear why it was impossible to present all findings from the survey in this thesis.

### **6.2 Overview and rationale of results selected and presented**

To categorise responses, seven respondent typologies were established to be presented as follows (Chapter 5, section 5.2.2, table 11):

1. Region of nationality: European, South Asian, other
2. Location of response: India, Pakistan, Sri Lanka, IHDOs' HQs
3. Gender:<sup>5</sup> male, female
4. Position: leader, follower, other
5. IHDO type: humanitarian, transitional, development
6. Years of leadership experience only in the aid sector
7. Years of leadership experience including outside the aid sector

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<sup>5</sup> Three LGBT colleagues consulted proposed using only these two respondent typologies for simplicity

These typologies enabled disaggregation of findings from different perspectives, assisting in more accurate pinpointing of responses to the research questions, and to setting up the subsequent qualitative sampling. Two variables – versatility and intuition – were reserved for IHDOs’ leaders, requiring a leadership-centric perspective only. All other survey sections could be completed by all survey respondents.

The nine variables included 144 sub-variables, and a variety of response categories and options presented 469 possible individual results (Chapter 5, section 5.3.4, table 13); this was too large a volume of data to be presented in this chapter and thesis. Eight filters were used to identify, select, analyse and present findings that: (1) proved most relevant and meaningful for this research; (2) connected directly with aspects highlighted in the literature; (3) offered non-ambiguous insights for responses to the research questions; (4) were extrapolated specifically for the sampled IHDOs’ KIIs and FGDs; (5) stood out significantly in some way (i.e. were non-conformant with expected norms and values); (6) showed a clear trend; (7) were most visually striking in figure form for this discussion, and (8) reflected the prominence placed on the variables by different respondent typologies (i.e. the alignment or misalignment between humanitarian and development respondents on, for example, the influence of their IHDOs’ policies, procedures and practices on “their” success). This latter filter was based on the survey respondents being indicative of the ultimate target audience of this research (Chapter 5, section 5.2.2). Prior to presenting the selected findings and analysis more deeply, the breadth and depth of survey responses are presented from a meta-level in Table 16.

Table 16: Overview of quantitative survey responses and sources

Survey statistics	Basic source details
<b>180</b> survey responses	From <b>1,441</b> direct emails (1,173 received), <b>8</b> Professional networks (PHAP, Networklearning, LinkedIn - 6 different discussion platforms) and <b>6</b> aid sector-specific platform (HPN, DevelopmentAid, SDSN, ADRRN, Duryog Nivaran and the Pakhumanitarianforum)
<b>109</b> IHDOs*	International and regional NGO's, multi and bi-lateral government agencies, humanitarian institutions (ICRC, IFRC) and clusters, UN agencies, development sector consulting firms, social and cultural organisations, philanthropic organisations and foundations
<b>26</b> countries of origin (IHDOs)	From within South and Central Asia, Africa, Europe, North and Central America and Canada, the Caribbean, the Middle East and Australasia
<b>22</b> nationalities (leaders)	Working in international humanitarian and development organisations (IHDOs) in India, Pakistan and Sri Lanka, and their Headquarters and regional offices around the world

\* At least 109 IHDOs were represented –16 respondents did not complete this question

Neither the total number of possible responses, nor the ultimate response rate could be gauged due to the non-direct nature of targeting of some of the survey recipients, using several platforms as well as direct emails (Chapter 5, section 5.3.5, table 14). Nonetheless, the 180 responses portray the diversity of organisations and actors engaged in the aid sector in South Asia. Although the responses may not be *representative*, they are *indicative* of the sub-population (*n*), reflecting relevant opinions for this research (Chapter 5, section 5.2.1). This enabled this researcher to use this data as the basis for (1) obtaining information contributing to the research questions' responses, and (2) as a basis for the subsequent qualitative sampling.

## 6.3 The selected survey findings and analysis

### 6.3.1 Characteristics

Leadership characteristics comprise innate, intangible, learned and developed attitudes, behaviours, personal traits and values. 31 characteristics were presented in the survey, related to their level of importance for successful leadership (Annex 2). These were taken as the most prominent from the literature reviewed, reflecting aid sector and key IHDOs' HR and leadership quality frameworks and matrices (Chapter 2, section 2.2.5; Chapter 3, section 3.5.3).



### 6.3.1.1 The top three most importantly-ranked characteristics

Integrity, the ability to accept and learn from error, and trustworthiness ranked more importantly than all other characteristics, and considerably more importantly than all the competencies presented. In Figure 4, Integrity is presented in relation to its importance by respondents from different locations.

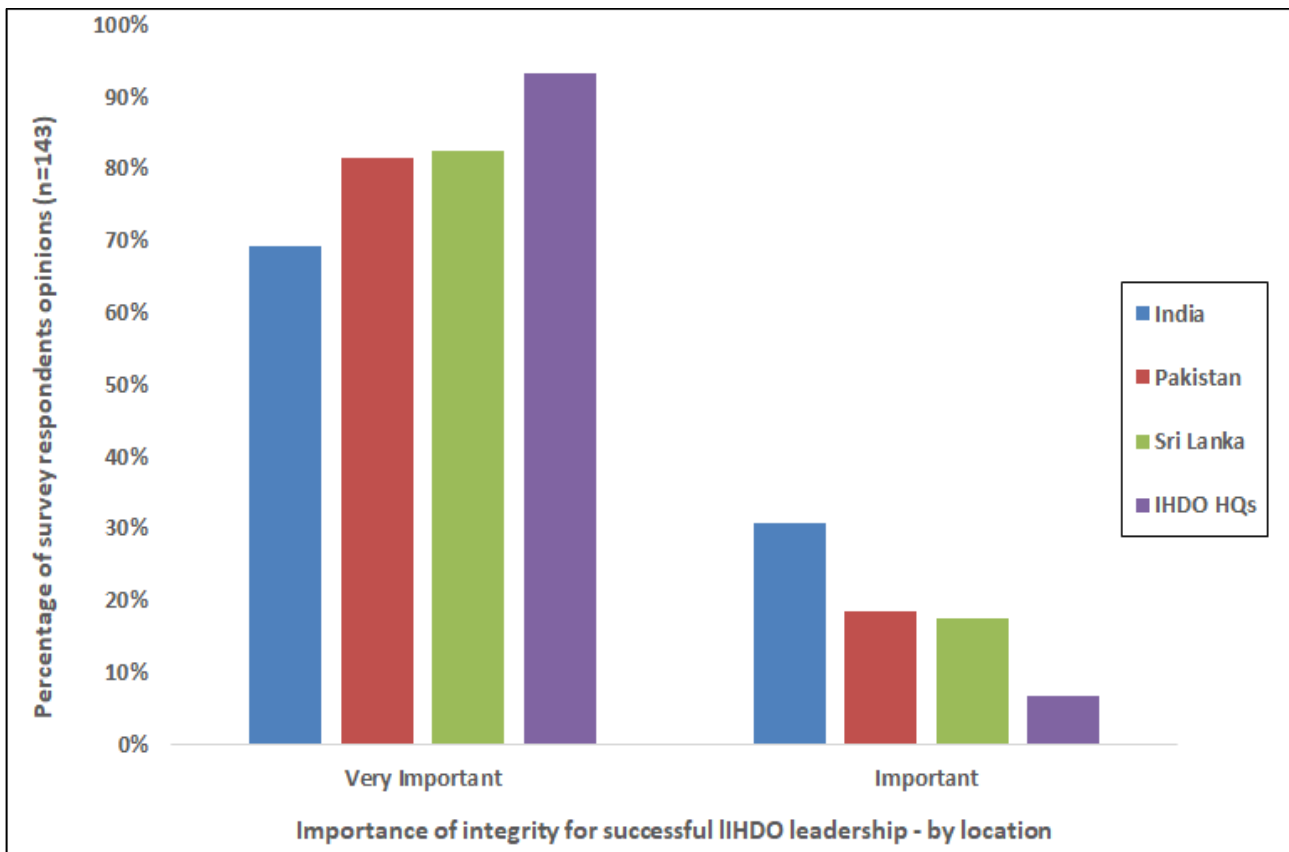


Figure 4: The importance of integrity for successful leadership – by respondent's location

93% of IHDOs HQs' respondents presented integrity as very important for successful leadership (the highest individual survey variable rating). Many other terms associated with integrity – sincerity, honour, decency, honesty and ethics – all cut across global categories of gender, race, religion and culture; aspects that IHDOs' leaders deal with daily (Chapter 3, sections 3.5.2 and 3.5.3). This also portrayed the representative role and nature of IHDOs' leaders. Integrity encapsulates and defines not just leaders, but also their organisations. This latter conjecture aligns to the founding philosophies in the provision of aid – humanitarian or development – that of a moral obligation to help others (Chapter 3, section 3.4.1, table 7).

Trustworthiness was also viewed by the respondents with a similar level of importance. This was interestingly even the case from respondents with diverse cultural backgrounds, where the connotation, basis, and expression of trust can be perceived understood, and expressed very differently (Chapter 2, section 2.2.10). European and South Asian leaders' opinions are presented in Figure 5, highlighting this similarity of perspective.

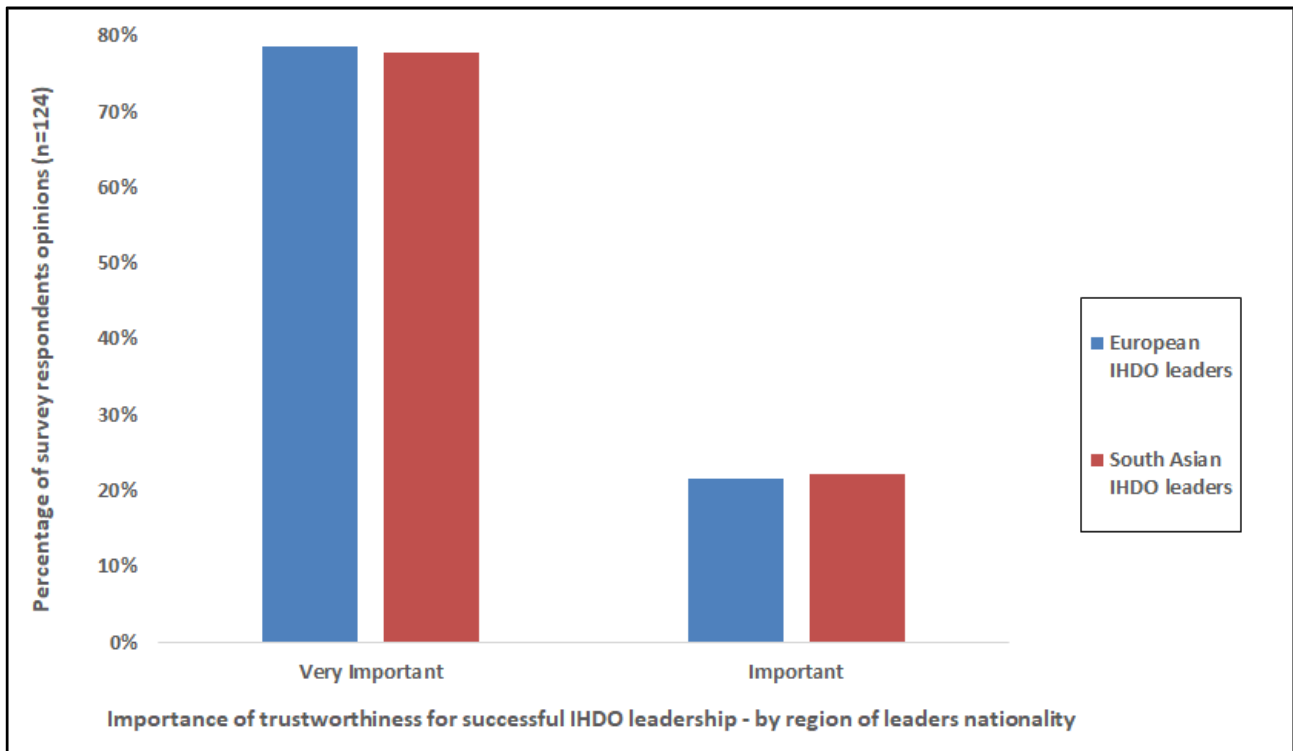


Figure 5: The importance of trustworthiness for successful leadership by region of leaders' nationality

In Figure 6, the perspectives of IHDO leadership with respect to varying (generally increased) years of leadership experience, revealed that importance was placed on accepting and learning from error. The figure presents the percentage of each group (based on their years of experience) that stated the importance of learning from error, e.g. 79% of leaders with 11-15 years of experience, saw this as important. The pie chart does not thus reflect the number of individuals that comprised each group. Newer leaders may be fearful of taking the risks associated with failure, and miss seeing benefits that could be accrued from trial and error approaches. Whilst a tendency is not specifically portrayed, as leaders gain experience (and confidence) over time, they may be more willing to utilise errors for learning. Equally IHDOs, with more confidence in them, may provide more space for this. Acceptance of learning from error also infers willingness for self-reflection and redressal. Further, this finding reflects that even with continued and increased experience in the work IHDOs are doing, mistakes are still being made, and so their leaders continue to require this characteristic.

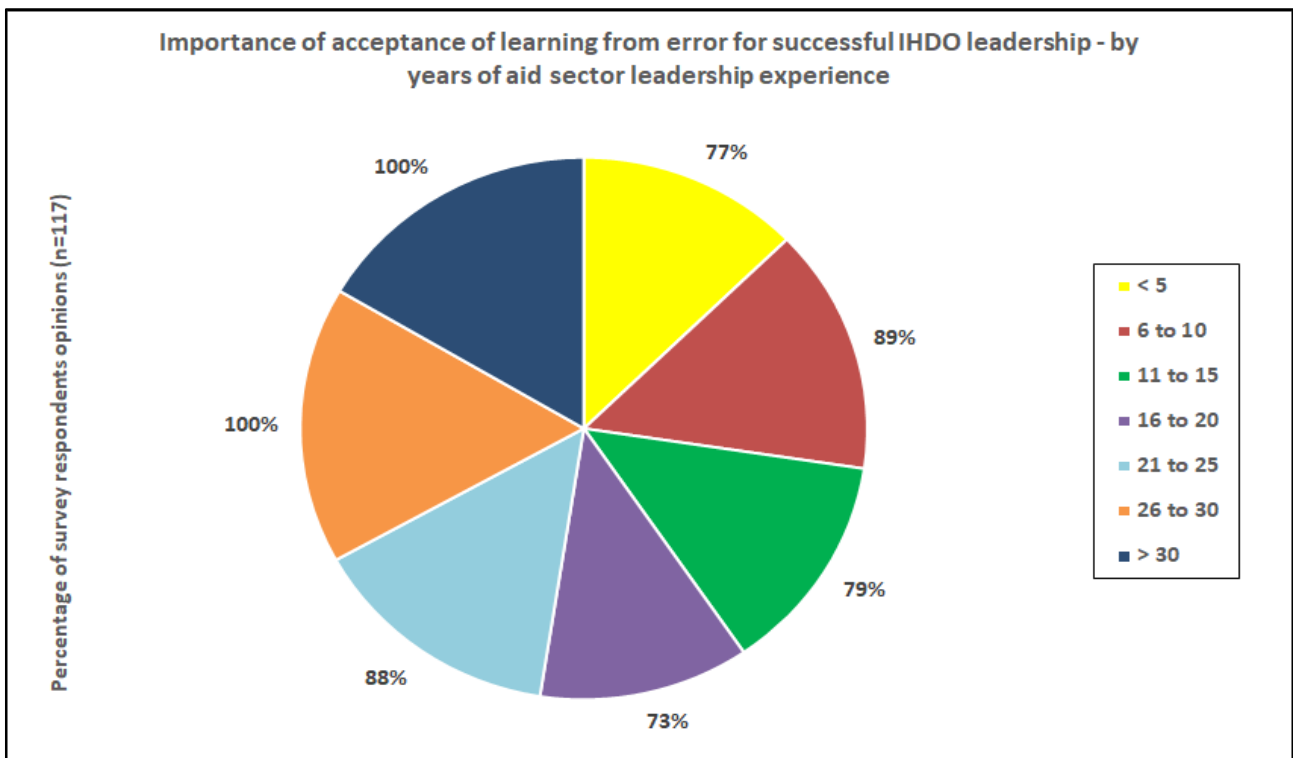


Figure 6: The importance of acceptance of learning from error by years of IHDO leadership experience

### 6.3.1.2 Three noteworthy characteristics

Empowerment, incorporating the attitudinal and behavioural aspects of fostering, encouraging and developing, was seen almost identically from the perspective of gender, by all survey respondents. This nurturing trait of leaders (leading to autonomy and self-determination) is well-documented and encouraged amongst IHDOs, explaining the similar responses from survey-respondent females and males in Figure 7.

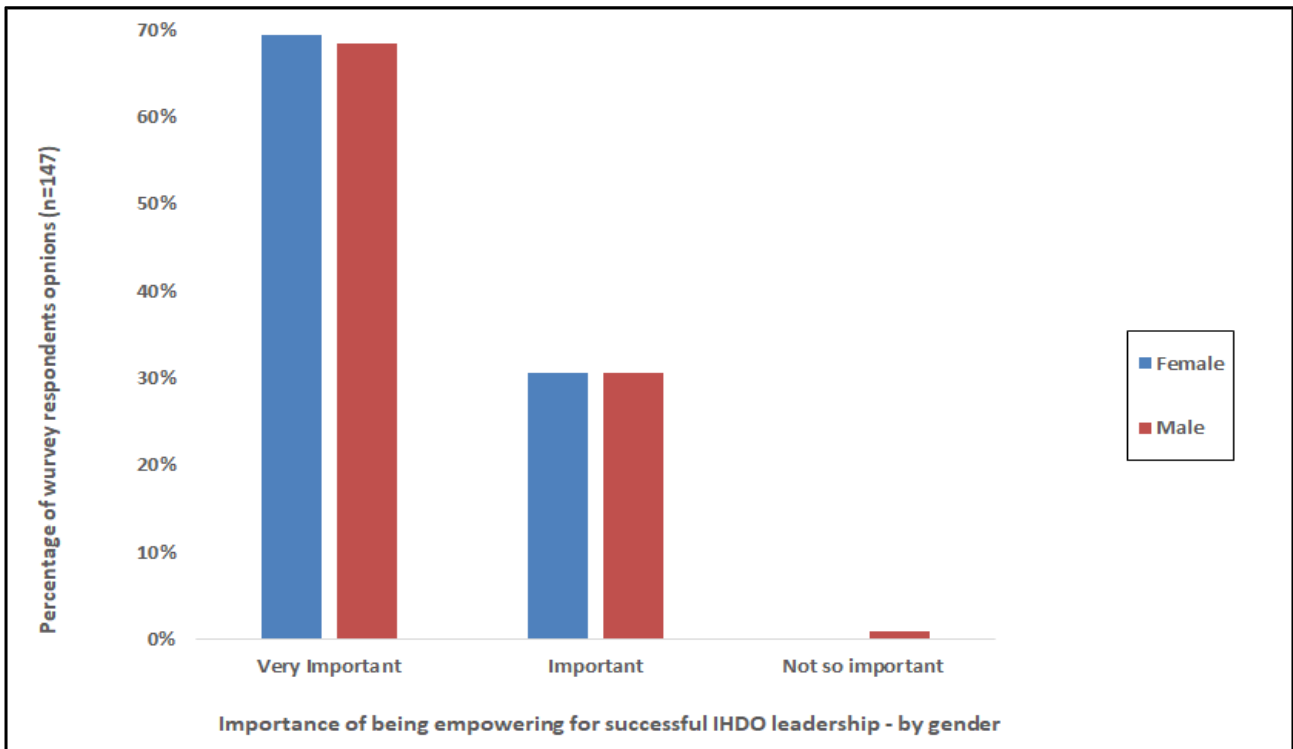


Figure 7: The importance of being empowering for successful leadership by gender

Two of the lower rated characteristics – dependability (ranked 25<sup>th</sup>) (Figure 8) and charisma (ranked 31<sup>st</sup>) (Figure 9) – are now presented. Being dependable was seen in a not-dissimilar manner by the country-respondents. However, a stark difference of opinion is presented by IHDOs HQs' respondents, with 87% seeing dependability as very important when compared to the aggregated average of 44% presented by country-respondents. The most common synonym for being dependable is trustworthiness (Oxford English Dictionary and Merriam Webster's Dictionary 2018), yet this is the third-highest rated characteristic. The significance of these terms are clearly seen very differently by HQ and country respondents.

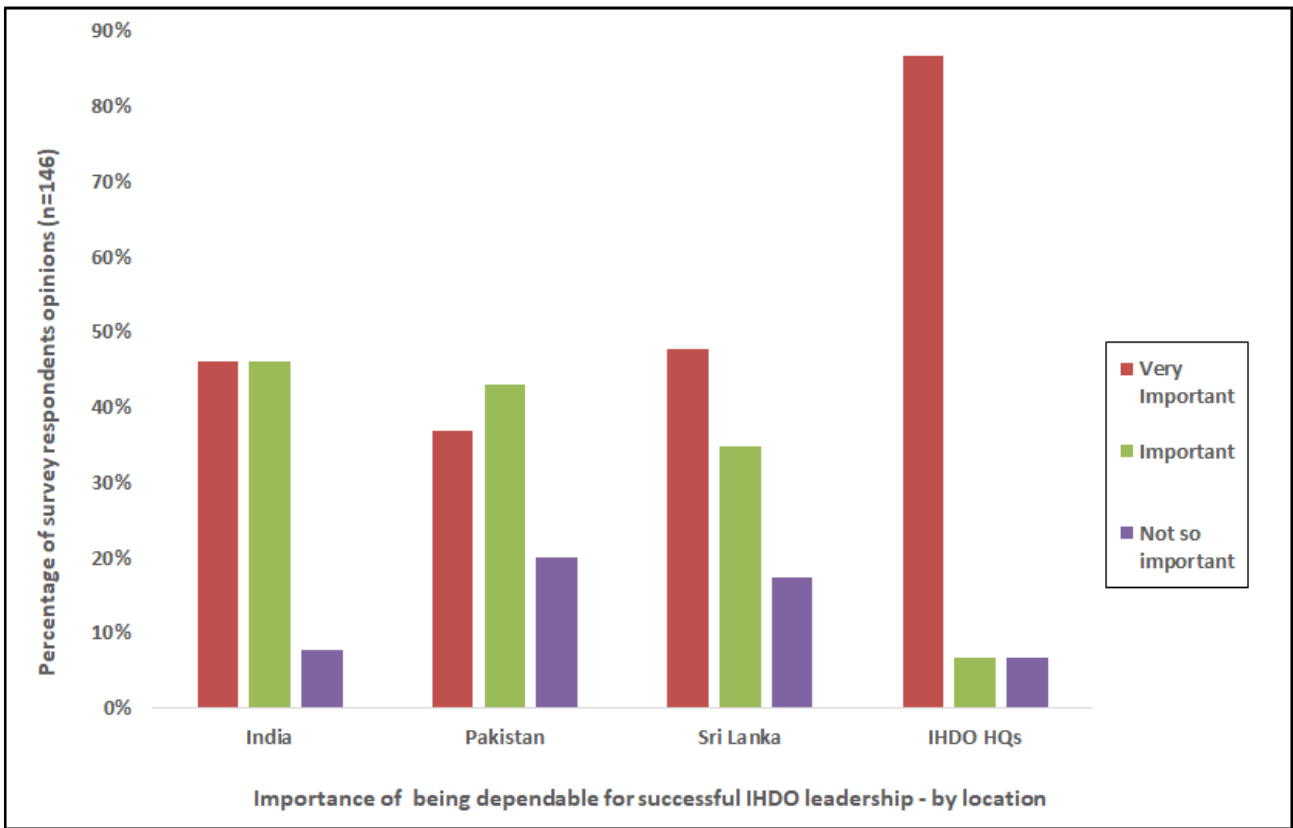


Figure 8: The importance of being dependable for successful leadership by location

In Figure 9, the lowest rated characteristic – charisma – is presented from the perspectives of different organisational types.

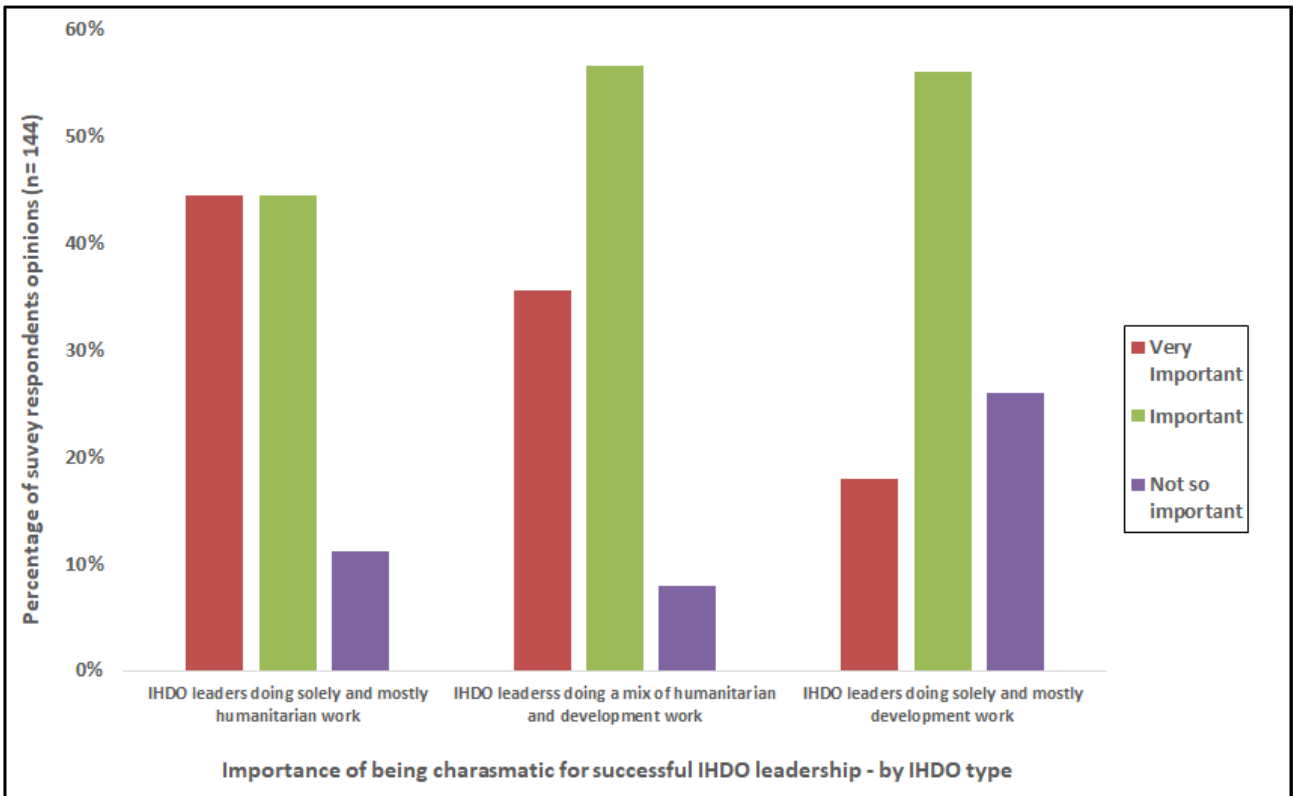


Figure 9: The importance of being charismatic for successful leadership by IHDO type

Responses from humanitarian organisations presented charisma as more important than those from transitional and development organisations. Humanitarian leaders may need a more visible and vibrant strength of character or presence to inspire and motivate their teams, and promote confidence in other stakeholders when tasks are arduous, hours long, and conditions stressful. This dynamic characteristic may not be seen as suitable for more stable situations requiring calm diplomacy (e.g. when advising governments on developmental concerns). Interestingly, followers generally rated charisma similarly to IHDOs' country leaders, whilst HQs' respondents rated charisma significantly lower than all country-level respondents.

### **6.3.1.3 Summary of all survey findings and analysis for characteristics**

All respondents unanimously and significantly rated integrity, acceptance of learning from error and trustworthiness as the most important characteristics for successful leadership. Being respectful, honest and motivational, were rated the next most important; these characteristics present a clear indication of the qualities that teams need from successful IHDOs' leaders.

Overall, South Asian and European leaders were reasonably aligned in their perceptions of characteristics, implying that their cultural backgrounds were not a major influence.

IHDOs HQs' respondents rated being tolerant, supportive, and applying and promoting ethical and moral standards higher than the countries (both leaders and followers) respondents. It is curious why these characteristics that address differences between personnel were not given more prominence from the countries' respondents. Leaders rated 23 of 31 characteristics as more important than followers. Yet for the three overall lowest rated characteristics - being charismatic, straightforward, and friendly – followers' ratings were higher. As leaders should address team needs and interests, more prominence could be placed on these characteristics.

Two opinions from humanitarian organisations' respondents were noteworthy. Firstly, they rated acceptance of learning from error significantly higher than respondents from the other organisational types (94% against an average of 78% for both other organisational types combined). This alluded to the necessary high-speed that humanitarian leaders need to make and implement decisions (with a focus on saving lives), incurring perhaps a higher risk of error. Secondly, they rated the application

and promotion of ethical and moral standards significantly lower than the other two organisational types (47% against an average of 72% for both other organisational types combined). This is curious given the application of standards (humanitarian principles, SPHERE Minimum standards, etc.) is more prevalent in the humanitarian than development practitioners' worlds.

### 6.3.2 Competencies

'Hard' leadership competencies comprising learned and developed abilities, skills, knowledge and experience, overshadow 'soft' characteristics (attitudes, behaviours, values) from IHDOs' recruitment, in HR documentation, through employment, in their development and in performance appraisal (Chapter 2, section 2.2.6). The founding pillars of 'being a professional' (Chapter 2, section 2.3.1) are fundamentally based on competencies. 32 competencies (Annex 3) were presented in the survey in the following seven clusters: (1) knowledge, (2) skills, (3) abilities, (4) relations, (5) experience, (6) qualifications, and (7) professional qualities. These were taken as the most prominent from the literature reviewed, reflecting aid sector and key IHDO leadership quality frameworks and matrices (Chapter 2, section 2.2.6; Chapter 3, section 3.5.3). Table 17 presents the most, second most, and least important groups of competencies rated across all response options.

Table 17: Rating of competencies for successful leadership from the qualitative survey

Level of importance of competences for successful leadership	Very Important (V)	Important (I)	Not so important	Combined V+I
Ability to solve problems	73%	27%	0%	100%
Ability to embrace, learn from, and manage change	71%	29%	0%	100%
Listening skill	69%	31%	0%	100%
Ability of critical judgement	64%	36%	0%	100%
Ability to manage diversity and complexity	63%	37%	0%	100%
Ability to deal with conflict	77%	23%	1%	99%
Credibility	76%	23%	1%	99%
Communication skill (verbal)	68%	31%	1%	99%
Years of professional experience	26%	60%	14%	86%
Level of academic qualifications	26%	50%	24%	76%
Technical (specialist) skill	25%	57%	18%	82%

Adaptability, the overall highest-rated competence, is not presented in this table given its similarity to versatility, which is covered in Section 6.3.3. Abilities (the possession of a means to accomplish something proficiency) and skills (expertise; aptitude) are seen as very important competency clusters for successful leadership. Equally evident is that listening and verbal communication skills far outweigh technical skills. Further, the two lowest-rated competencies (academic qualifications and technical specialist skills) are two of the founding and central tenets of 'professionalism' (Chapter

2, section 2.3.1), and amongst those most dominantly presented as required in IHDOs' recruitment processes and vacancy announcements. Three of the higher-rated competencies are directly affiliated to three characteristics. Firstly, 69% of leaders stated they used intuition (Section 6.3.4) for making critical decisions or judgement calls. With 64% of respondents stating critical judgement is very important for successful leadership, this evinces the intrinsic value of intuition. Secondly, the ability to deal with conflict requires several qualities including the trust of conflicting parties; a prerequisite for mediation and resolution. Whilst conflict management is an IHDO leadership requirement, being trustworthy – the third highest rated characteristic – is rarely mentioned in IHDOs' HR recruitment documentation. The third competence is credibility, also encompassing the characteristic of trust. Credibility is also an external portrayal of the leader's internal quality of integrity – itself the highest rated characteristic for leadership success. All three competencies are also inter-related. When facing a complex situation, being adaptable and capable to deal with conflicts, and being seen by others as credible in these circumstances, is essential.

#### **6.3.2.1 Abilities for successful leadership: are regional and cultural roots influential?**

Two competencies seen as priorities in the literature (Chapter 2, section 2.2.6; Chapter 3, section 3.5.1) – embracing, learning from and managing change, and managing diversity and complexity – are examined in Figures 10 and 11. These responses demonstrate that South Asian and European IHDOs' leaders shared extremely similar opinions on the importance of these competencies.



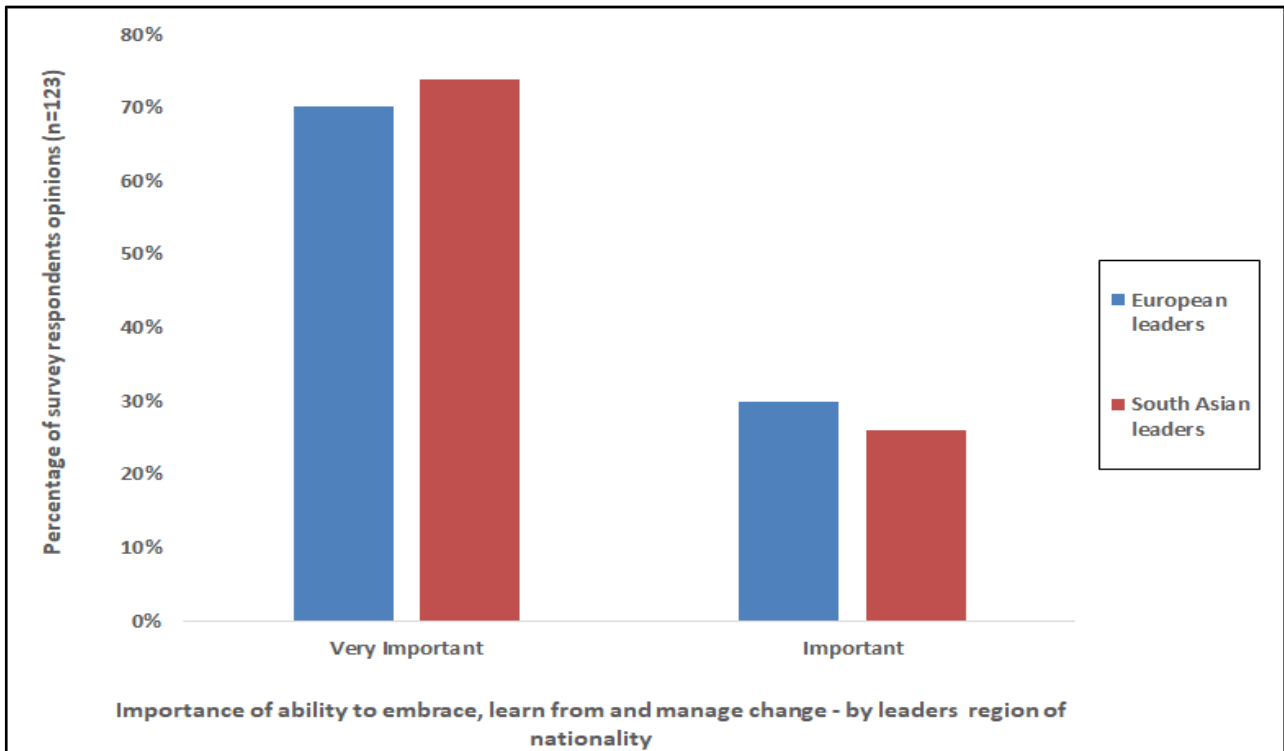


Figure 10: The importance of the ability to embrace, learn from and manage change by leaders' region of nationality

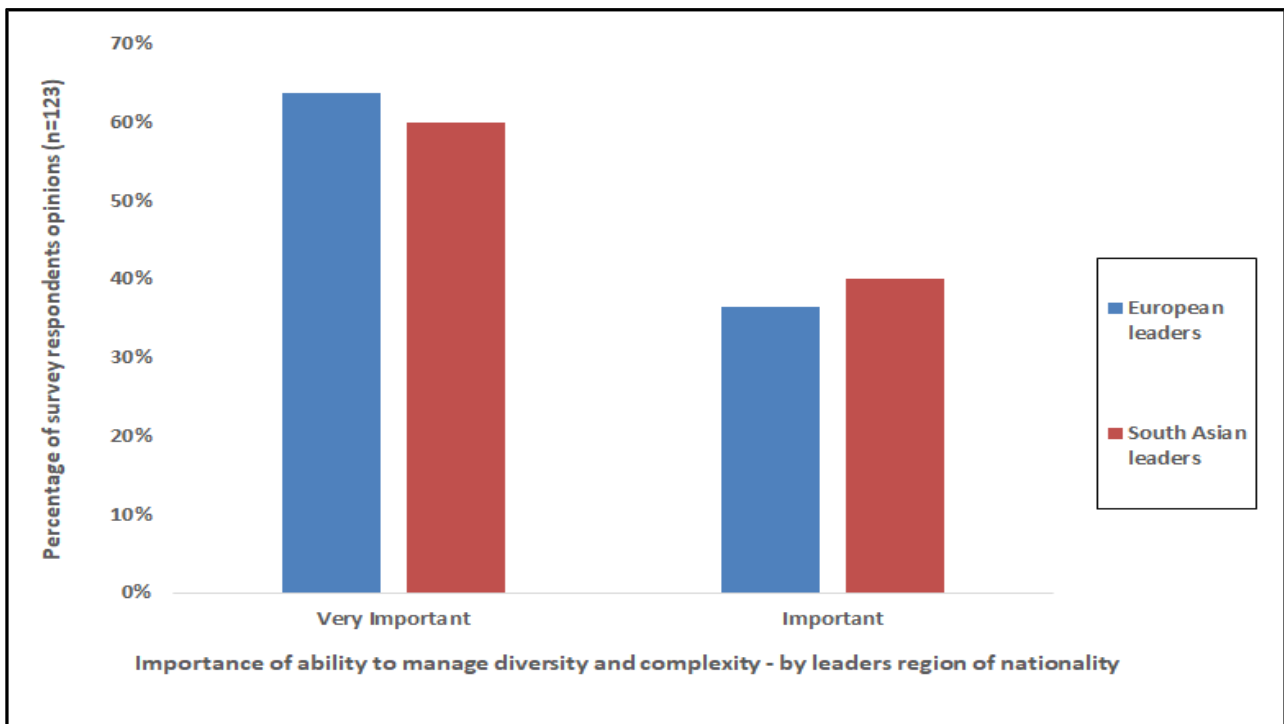


Figure 11: The importance of the ability to manage diversity and complexity by leaders region of nationality

Given that respondent typology did not produce a broadly varied opinion of the level of importance placed on these competencies, the operational context (missing from most leadership theories other than the Situational Theory, Contingency Theory and Integrated Psychology Theory – Chapter 2, section 2.2.1) clearly plays an influential role on their importance for successful leadership, and validates the need for new aid sector leadership theory to be established.

### 6.3.2.2 Listening for successful leadership: does the type of work undertaken count?

For IHDOs' leaders, listening is an essential competence. Figure 12 shows comparison of its importance between respondents from the three different IHDOs types. A clear trend of opinion is evident of the decreasing level of importance placed on listening skill, from respondents from humanitarian, through mixed-transitional to development organisations. This trend invokes two suppositions, related to time available for communication, and its content. In development work, time for discussion and decision-making – and consequently for listening - is more readily available than with humanitarian and emergency interventions. Contrarily, appropriate use of time is critical when responding to a disaster or crisis. Further, the content of the communication may impact on people's lives: they may be at risk if information transmitted has not been well received and understood.

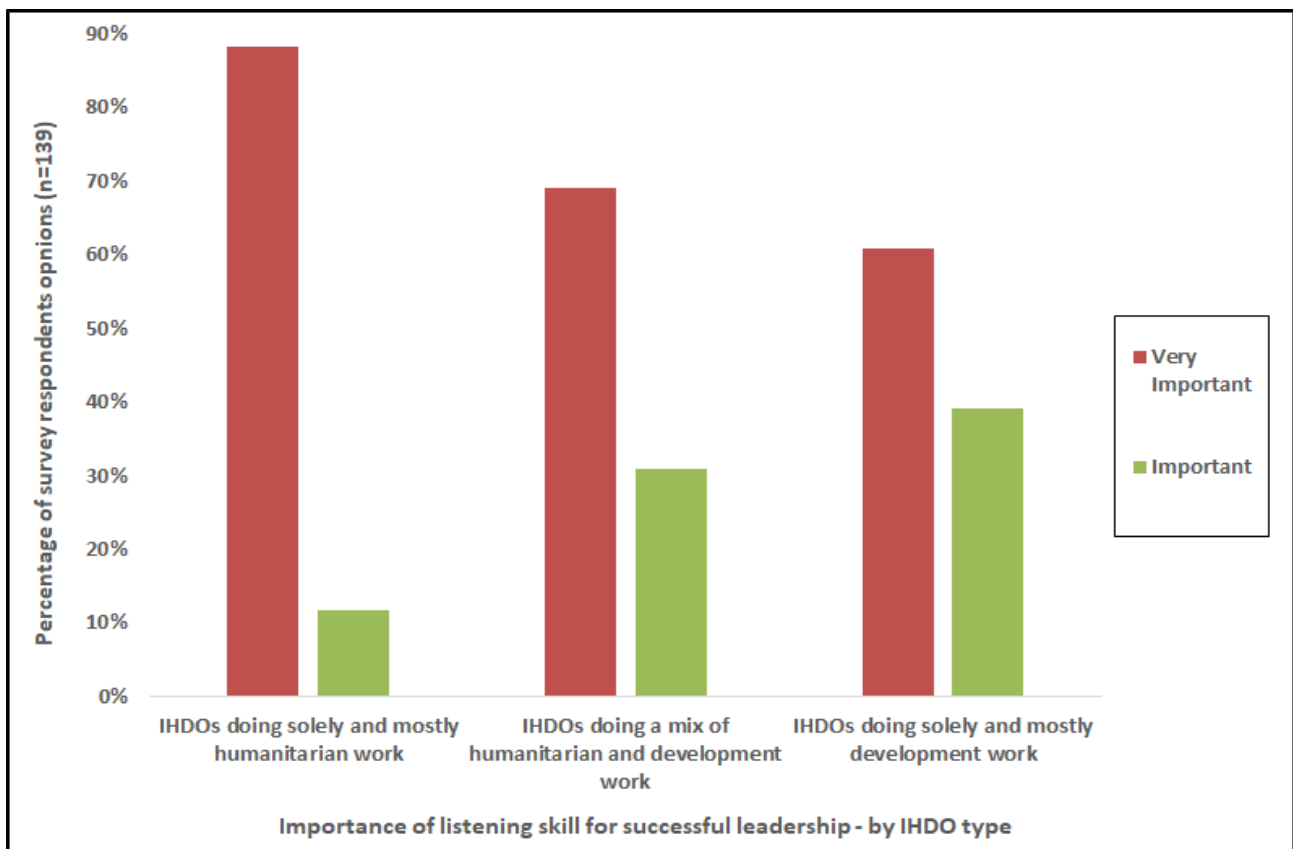


Figure 12: The importance of listening skill for successful leadership by IHDO type

Additionally, in multi-lingual and multi-cultural settings (as is the case for IHDOs' leaders), listening is an ability that is required on a daily basis. Different dialects, intonation and inference, speaker's linguistic ability, and background context, all indicate the importance of listening for IHDOs' leaders to be successful.

### 6.3.2.3 Academic qualifications: still among the top competencies required by IHDOs?

Academic qualifications usually feature in the top two required competencies in IHDOs' HR recruitment documentation (e.g. vacancy announcements). This indicates to the organisation the candidate's level of intellect and knowledge of specific academic/thematic areas. Academic qualifications are also one of the founding pillars of professionalism (Chapter 2, section 2.3.1). Yet for successful leadership, respondents accorded far less importance to this competence, as seen in Figure 13.

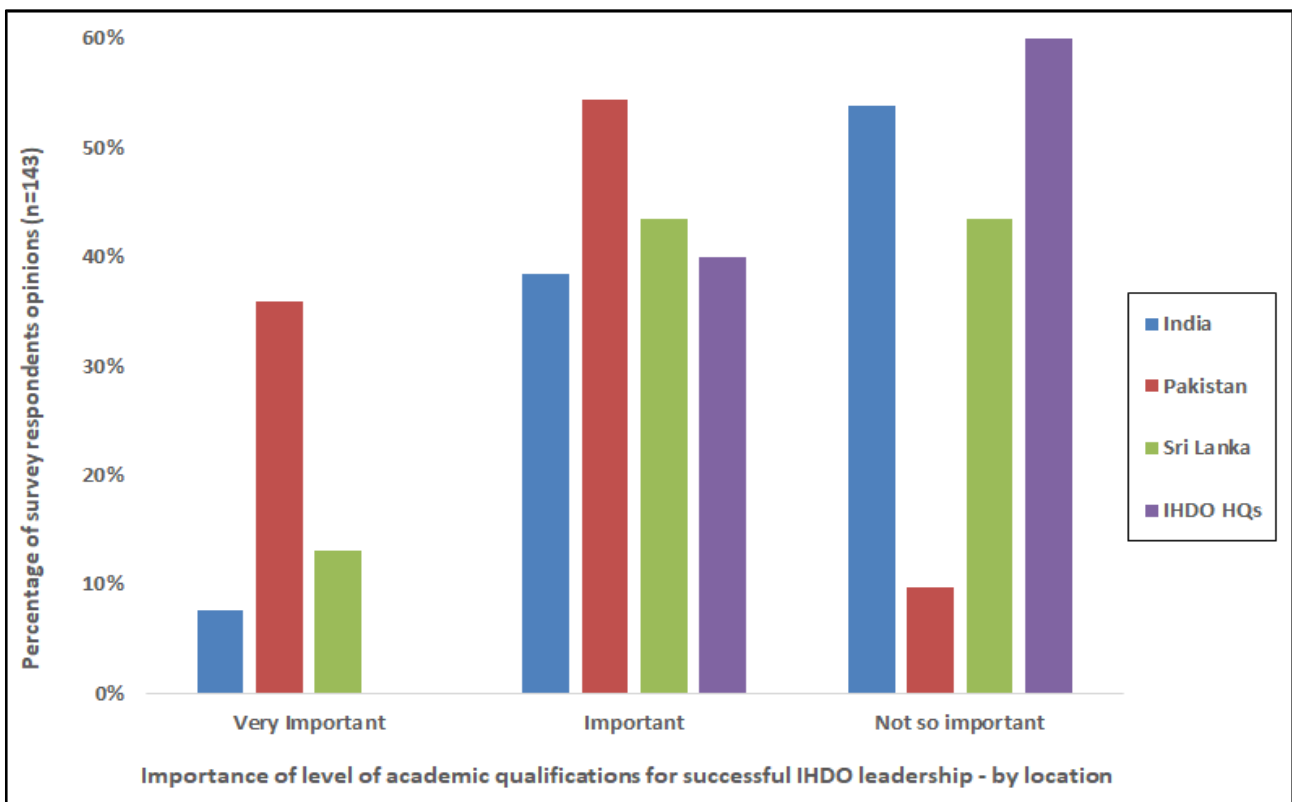


Figure 13: The importance of level of academic qualifications for successful leadership by respondents' location

The quantitative nature of this survey negated comprehension of the variation between country responses. However, IHDOs' HQs are the locus for defining HR policies, processes and systems. It is from here that demand derives for academic qualifications as part of leaders' selection criteria. Therefore, it is curious that HQ respondents saw academic qualifications as generally not so important for successful leadership. Nonetheless, there was a tendency expressed by all respondents (excepting Pakistan) that academic qualifications are not so important (rating them overall second from bottom) when compared to all other competencies.

### 6.3.2.4 Years of leadership experience: is having more of them a good thing?

Highly prominent in IHDOs' HR recruitment practice, years of experience provides an understanding of the depth and breadth of the candidate's background. Yet this competence was rated third from bottom by all respondents. Ironically in Figure 14, a tendency showed that with more years of experience, IHDOs' leaders saw years of experience to be of lesser overall value. The message here can be perceived as rather bleak, perhaps alluding to a point in one's leadership experience whereafter no further value addition to successful leadership can be achieved.

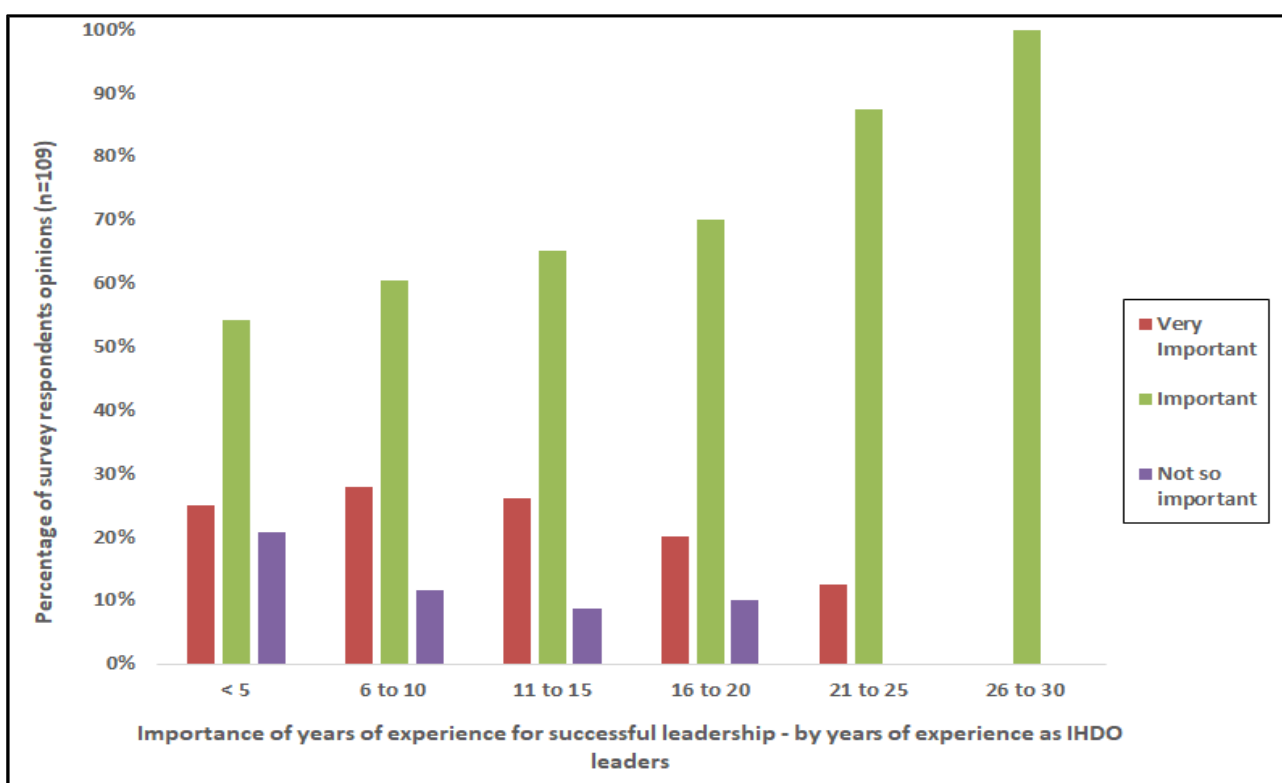


Figure 14: The importance of years of experience for successful leadership by years of IHDO leadership experience

The findings here also aligned to those presented by IHDOs' leaders from different types of organisations, with years of experience seen as more important for humanitarian, than transitional and development organisations' leaders (Section 6.4, table 22). Humanitarian interventions (and the contracts of their leaders) are generally shorter than those of transitional and development organisations, demanding immediate high levels of experience (gained over time). Contrarily, it may be suggested that with the high levels of pressure and the contexts often being arduous, humanitarian leadership posts attract a younger generation of leaders. This alludes to an increase of the age of leaders when moving from humanitarian through transitional to development organisations, which again, presents the findings as somewhat ambiguous.

### 6.3.2.5 Cross-cultural relations: how are they seen by leaders with different backgrounds?

Figure 15 shows the opinions on the importance of cross-cultural competence, from IHDOs' leaders who also have experience in leadership positions *outside* the aid sector.

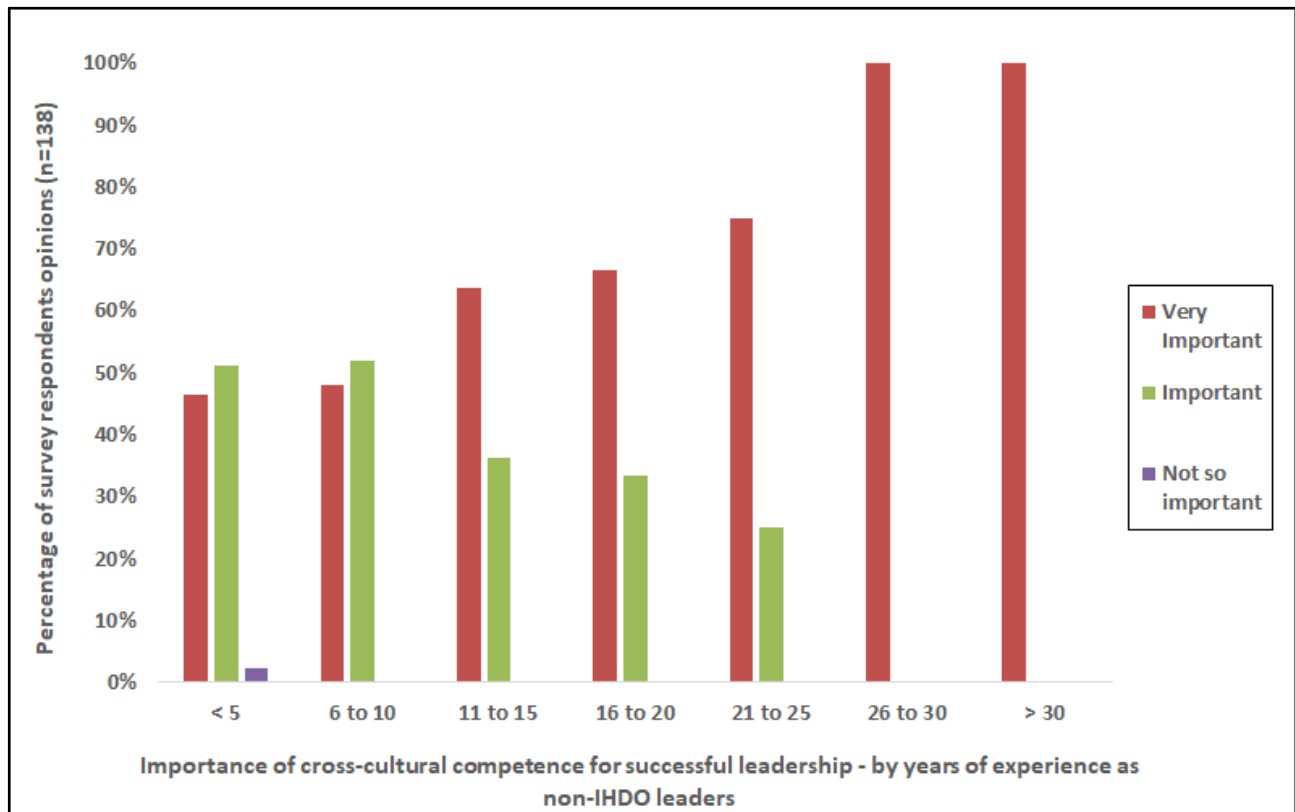


Figure 15: The importance of cross-cultural competence for successful leadership by years of leadership experience outside the aid sector

A clear trend indicates the reciprocally-increased importance of leaders' ability to manage cross-cultural relationships, with years of *non-aid sector* leadership experience, curiously not apparent in IHDOs' leaders with *only aid sector* experience (the latter results not visualised in this chapter). This indicates the existence of another success factor for IHDOs' leaders: having had leadership experience outside the aid sector. Culture itself, and the necessity for IHDO leadership to have and utilise inter, intra and cross cultural competence, whilst prominent within IHDOs' HR documentation and policies, and seen by all respondents as influencing leadership success, does not appear in most existing leadership theory (Chapter 2, section, 2.2.1) nor in the drive for more professionalism (Chapter 2, section 2.3.1; Chapter 3, section 3.6.3).

### 6.3.2.6 Summary of survey findings and analysis for competencies

The most-aligned responses were equally on the most importantly-rated competencies: adaptability, the ability to deal with conflict, being credible, having the ability to solve problems, embracing, and learning from and managing change (see Annex 3). Academic qualifications, technical specialist skill, years of professional experience (the three most-requested competencies in IHDOs' HR recruitment processes), were markedly rated as the least important.

Trends for several competencies appeared along the humanitarian-transitional-development organisation continuum (Section 6.4, table 22). Trends for some competencies (diplomacy, ability to create and promote a vision, years of experience, representational skill and cross-cultural skill) appeared as decreasingly important in proportion to the increase in years of leadership experience.

European leaders rated cultural-related competencies higher than South Asian leaders, which could be due to a heightened awareness of these factors when moving to work within new countries and contexts.

HQs' respondents placed significantly higher importance on strategic thinking, diplomacy, risk-taking and intercultural relations than the countries respondents, even though these competencies are equally essential at the operational level (Section 6.4, table 23).

Against 28 of 32 competencies, leaders' ratings were higher than those of followers. The exceptions were academic qualifications, technical specialist skill and representational skill, two of which were rated overall least important by all respondents. Regarding representational skill (ranked 13<sup>th</sup> of 32 competencies), this may be because IHDOs are not developing leadership knowledge and competencies from an early stage in 'followers' employment, or followers are new to the aid sector and their organisations, and unaware of the need for this specific competence.

Respondents from humanitarian organisations rated willingness to take risks and ability to deal with conflict lower than respondents from the other organisations. This is interesting given their operating contexts often incur the requirement for a high level of competence in both these areas.

There was a tendency for a reciprocal diminishing of importance against increasing years of *only* IHDO leadership experience placed against communication skill (both verbal and written),

knowledge of the country, ability to create and promote a vision and years of experience. Yet with an increase in leadership experience gained outside the aid sector, there was a tending reciprocal increase of importance placed against the following competencies: knowledge of the sector, country, and organisation; strong values and ethics; willingness to take risks; coordination skill; organisational skill; representational skill; cross-cultural relations and inter-cultural relations. These are all highly pertinent competencies addressing many of the deficits in aid sector leadership (Chapter 3, section 3.5.3). This reinforces a further competence that may positively affect IHDOs' leaders: leadership experience gained outside the aid sector.

### **6.3.3 Attributes: versatility**

Versatility was almost completely absent from the breadth of literature on leadership examined for this research (Chapter 2, section 2.2.7). Yet given the nature of their work, the complexity of their operational contexts, and the continuously changing and increasing demands placed on them, versatility is essential for IHDO leadership. Thus, nine statements about versatility related to its use for IHDOs' leaders, their organisations and contexts were included in the survey (see section on versatility in the survey in Annex 6).

#### **6.3.3.1 Versatility: necessary for numerous aspects of IHDO leadership?**

In Figure 16, a range of leadership facets and other factors necessitating leadership versatility are presented. Versatility is not an attribute that features in the requirements outlined in IHDO leadership vacancy announcements and HR documents and frameworks. These focus more on competencies: qualifications, skills, years of experience, specific sectoral knowledge etc. Only leaders completed the section of the survey on versatility.

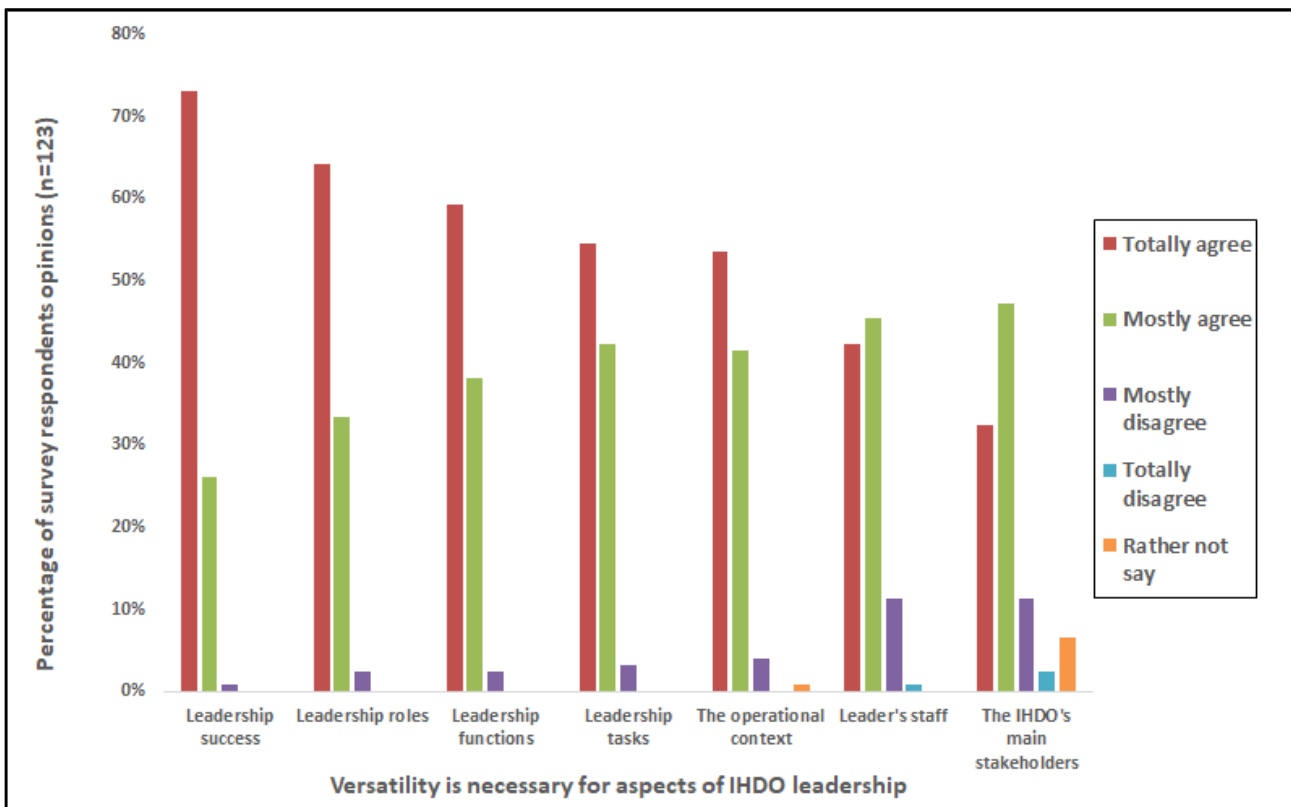


Figure 16: Versatility as necessary for aspects of IHDO leadership

Clearly, versatility was seen by the leader-respondents as necessary for successful IHDO leadership, and for leaders to be capable of responding to a broad scope of demands. It may be that the 11% of leader-respondents who mostly disagreed that versatility is necessary for their staff, related this to the staff requiring them to be stable and focused. The apparent trend in Figure 16 is not representative of any specific relationship. Nonetheless, an interesting association appeared regarding leadership roles, functions and tasks. This reflects the more clearly defined tasks in a job description, known by IHDOs' leaders in advance, the functions of leadership assigned to and assumed as practiced by experienced leaders, and the broader (perhaps initially unknown) elements – requiring versatility – of the leadership role to eventually be played.

It is curious that the operational context from within which these leadership facets must be partly derived, is afforded somewhat less prominence. Given its importance, the context is further explored in Figure 17, from the perspective of leaders from the three different IHDO types.



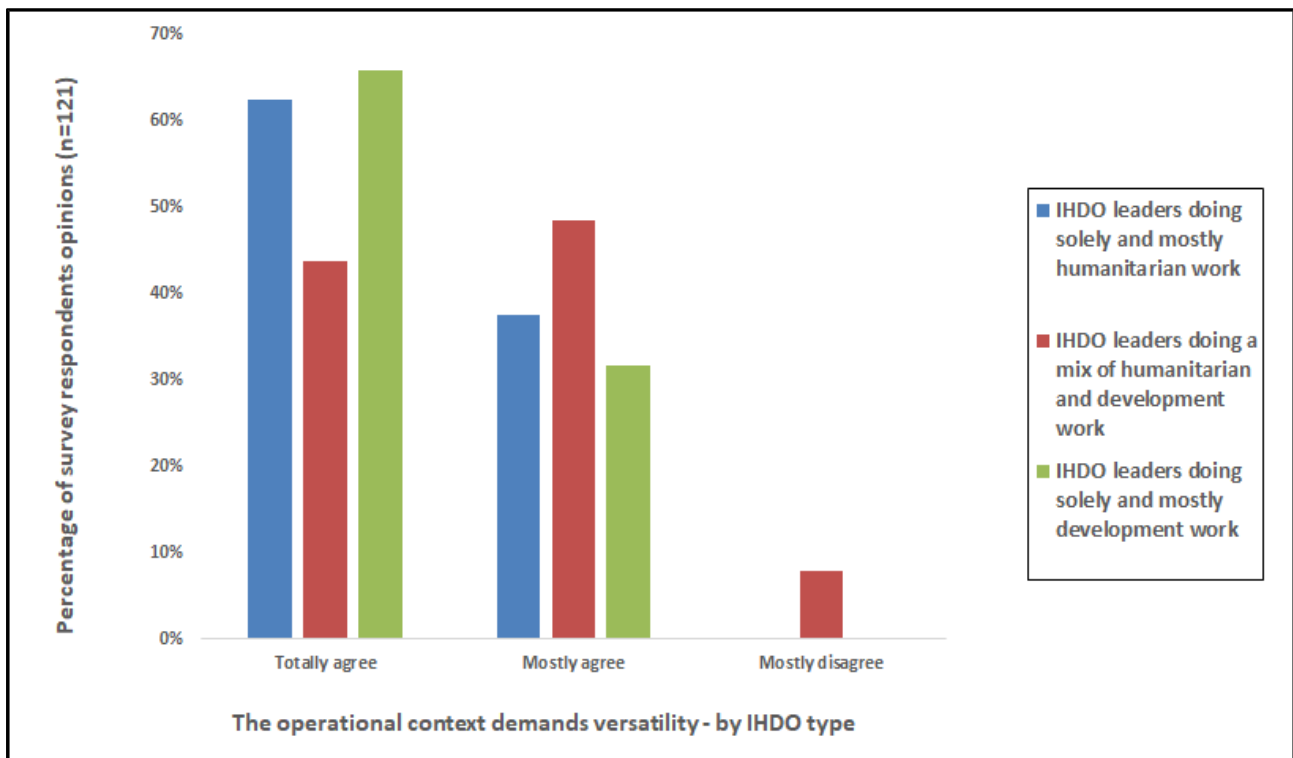


Figure 17: The operational context demands leaders' versatility by IHDO type

Interestingly, IHDOs' leaders with more focused mandates (humanitarian and development) perceived versatility as more important than those from transitional organisations. Yet these latter IHDOs normally have a broader scope of work and more diverse operating contexts, requiring more versatility.

### 6.3.3.2 Versatility for successful leadership: are IHDOs measuring this?

Findings from the survey indicated that versatility was measured, to some extent, in leaders' performance appraisals. It is therefore at least acknowledged and accepted as an essential attribute by IHDOs, even if IHDO HR documentation of this term does not exist and, rather, adaptability and flexibility are used (Chapter 2, section 2.2.7). However versatility was seen by leader-respondents to be measured in performance appraisals to a greater extent in the countries, than in IHDOs' HQs, as seen in Figure 18. This is most likely demand-driven: with the work environment in HQ's being less volatile, and there being less demand for HQs' leaders to adapt to a variety of changing conditions, the need for versatility is apparently minimized. Differences of opinions between IHDOs' HQs and country-based leaders alluded to the risk of inappropriate HR policy and practice around the promotion, use and measurement of versatility, and its contribution towards more successful leaders.

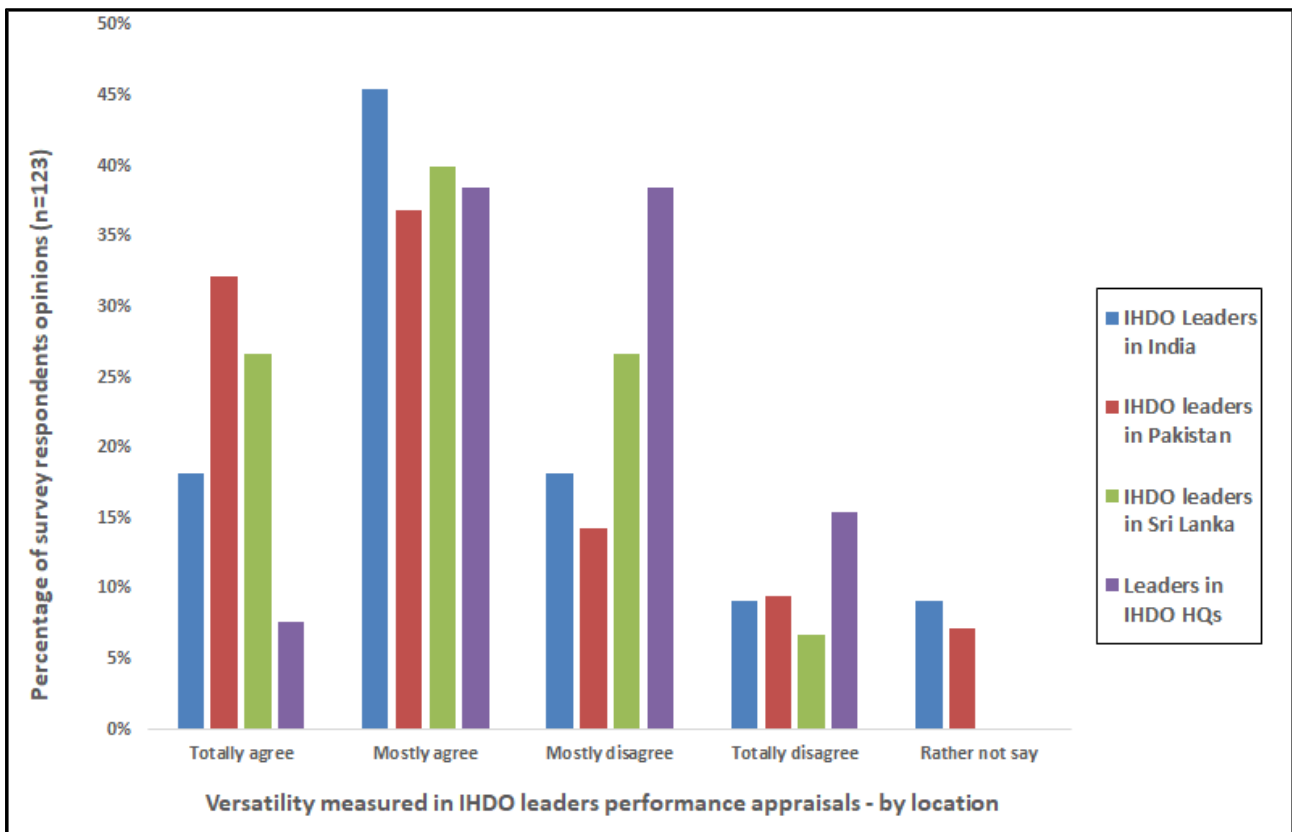


Figure 18: The measurement of versatility in IHDOs' leaders performance appraisals by respondents' location

### 6.3.3.3 Summary of survey findings and analysis for versatility

With a leader-respondent overall response of 99% agreement (Figure 16), versatility was perceived to be essential for successful leadership. The contexts in which IHDOs operate contribute significantly to this, as agreed by 95% of the leader-respondents. Yet only 66% agreed that versatility is measured in their performance appraisals. Thus, whilst the policies and practices of IHDOs do provide an enabling environment for their leaders to be versatile, these organisational procedures could be improved. Against versatility for the three leadership facets of role, functions and tasks, the overall combination of 'very important' and 'important' responses were almost identical. This suggested that there is a lack of in-depth understanding of the differences between these three facets, and their significances for leadership.

Against the survey statement 'my operational context demands that I am versatile', the responses of IHDOs HQs' leaders of 'totally agree' were over 20% higher than any of the country-level leaders. Interrelated to this, their response to 'versatility is measured in my performance appraisal' was 54% in disagreement, much higher than country-level leaders. Versatility appears to be an anomaly; it is

measured in leaders' performance appraisals inversely to its perceived need by location, with the respondents' perception itself apparently incongruent with the nature of the work and stability of the environment. Transitional organisations' leaders (undertaking both humanitarian and development work), against all statements on versatility agreed to a lesser extent than the other organisations' leaders. Yet de-facto by type of work (being broader in spectrum), they need to be more versatile.

### 6.3.4 Attributes: intuition

Intuition is mentioned only six times in the breadth of literature on leadership examined (Chapter 2, section 2.2.7). Intuition was presented using seven statements related to its use for IHDOs' leaders, their organisations and contexts (see survey section on intuition in Annex 6). Only leaders responded to the survey section on intuition.

#### 6.3.4.1 Intuition for successful leadership: are IHDOs measuring this?

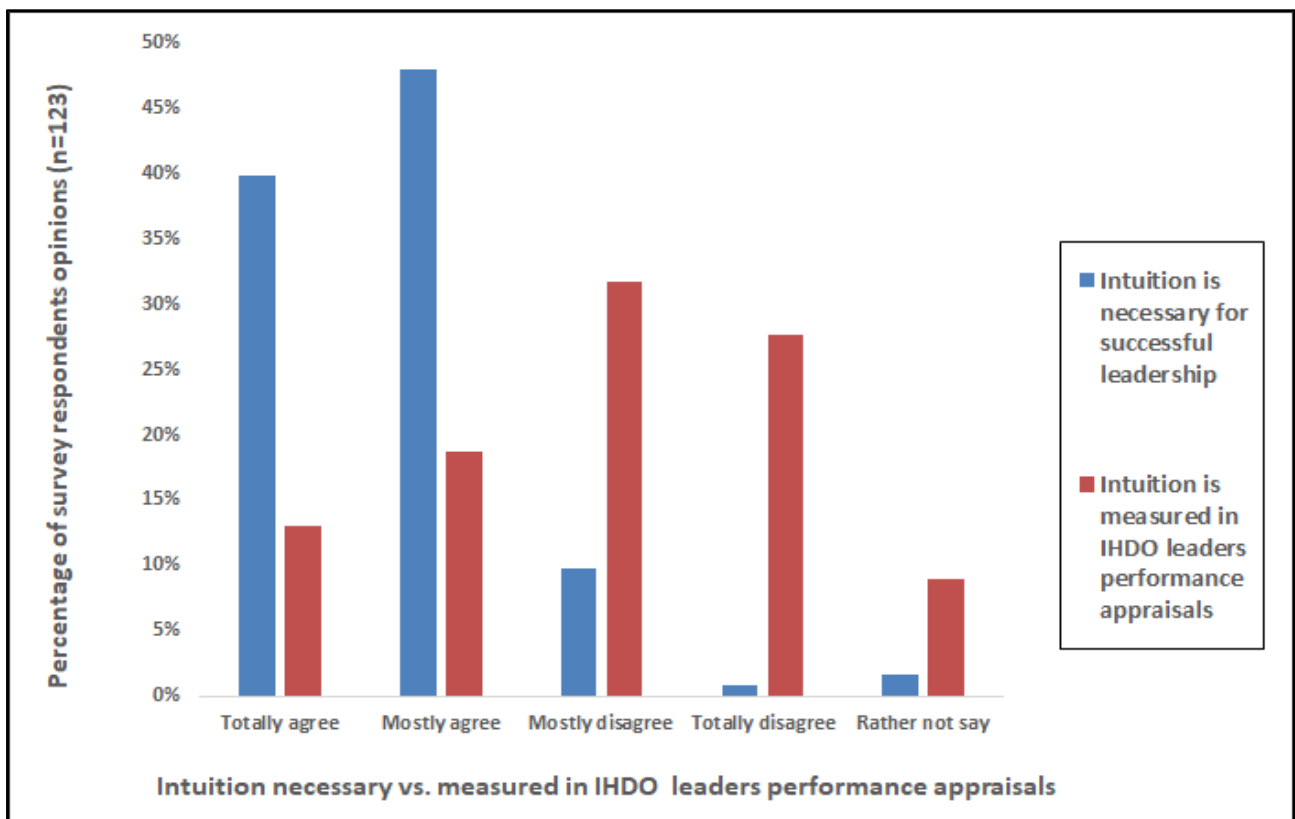


Figure 19: Intuition is necessary for successful leadership vs. intuition being measured in IHDOs leaders' performance appraisals

In Figure 19, 88% of these leader-respondents stated they agreed or mostly agreed with intuition being necessary for successful leadership. By comparison, leaders felt much less that intuition was measured in their performance appraisals. This may be due to the subjective nature of intuition and complications with its measurement. It could suggest that IHDOs' performance appraisals focused

rather on tangible and visible aspects (i.e. goals achieved, delivery of products, funds raised etc.). Alternatively, this could be related to the capacity or willingness of IHDOs to look into the characteristics and attributes of leaders, as compared to the higher prominence placed on their competencies. Further, perhaps it was felt that intuition alone was insufficient for the realisation of leader's goals, and to disaggregate this influence was too complex. This is followed up in Chapter 7, section 7.5.3.

9% of IHDOs' leaders chose to 'rather not say' whether their organisation measured intuition in their appraisals. IHDOs' HR regulations on data confidentiality and external presentation of organisational practices, organisational culture, the respondents' levels of courage, and perhaps even fear of retribution, may be some of the reasons for this.

### 6.3.4.2 Intuition for successful leadership: how enabling are IHDOs' environments?

A gap remained between the leaders' use of intuition and the space provided for this by IHDOs. With pressure to standardise approaches and processes for more transparency and accountability, and with a focus on evidence-based decision-making, the use of intuition may be contradictory.

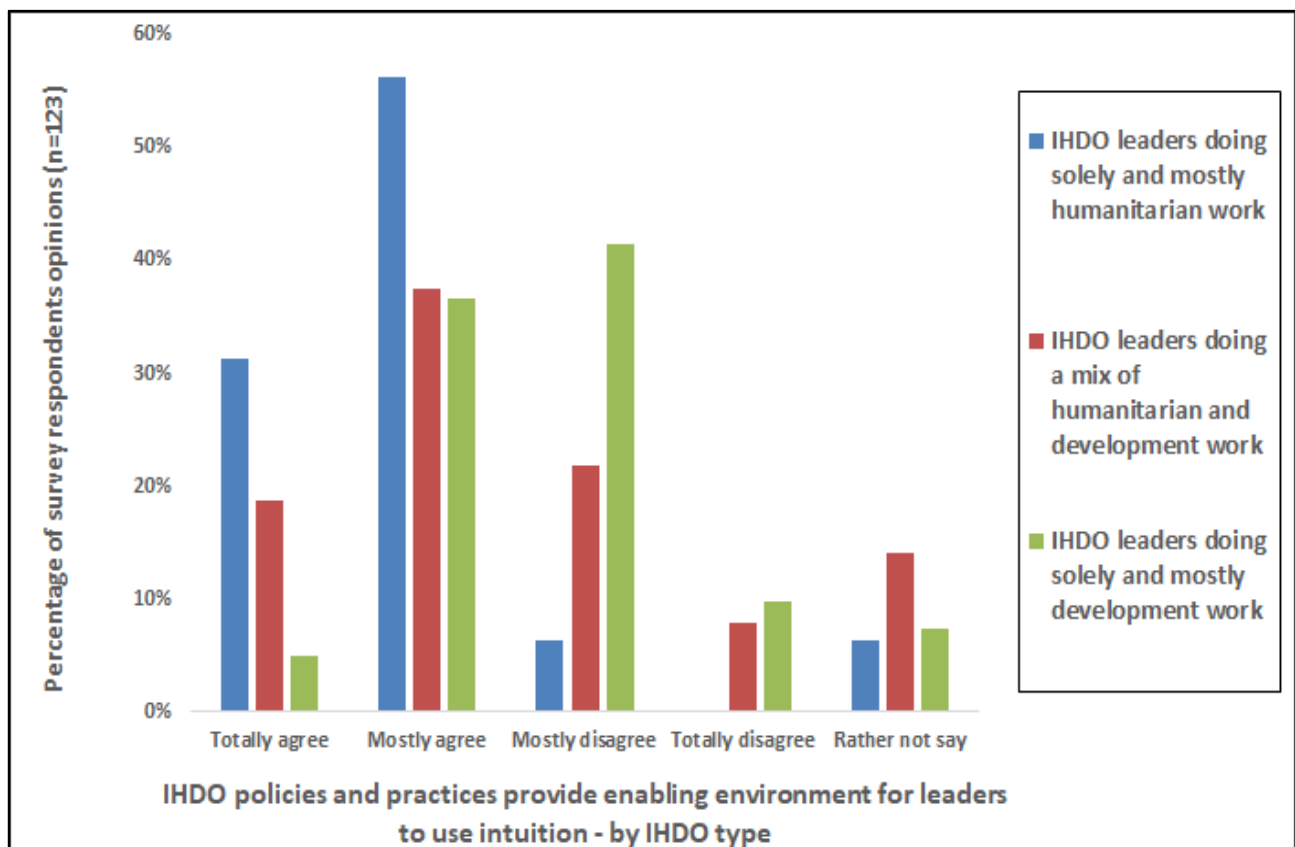


Figure 20: IHDOs' policies and practices provide an enabling environment for IHDOs' leaders to use intuition by IHDO type

IHDOs need to be able to quantify how decisions are taken, especially with increasing emphasis placed on audits (Chapter 7, sections 7.5.1 and 7.6). In Figure 20 above, this issue was presented by IHDOs' leaders working for all three IHDO types.

Humanitarian organisations clearly provided a more enabling environment for their leaders' use of intuition. This suggested that 'type of work' played a role in the way policy and practice was applied. Humanitarian organisations' leaders, needing to make fast and sometimes life-saving decisions, were more empowered to go with their 'gut feeling' (Chapter 7, section 7.5.3). The operational context of different IHDO types was another influential factor in the success of their leaders.

### 6.3.4.3 Use of intuition by IHDOs' leaders: who or what demands this?

The operational context, the leaders own staff, and the IHDOs' main stakeholders, present some of the sources of diversity of the demand for leaders' use of intuition, as shown in Figure 21; it is not intended to make comparison between these three sources of demands. Over double the number of leader-respondents stated they agreed with these demands requiring them to use intuition, as compared to those disagreeing.

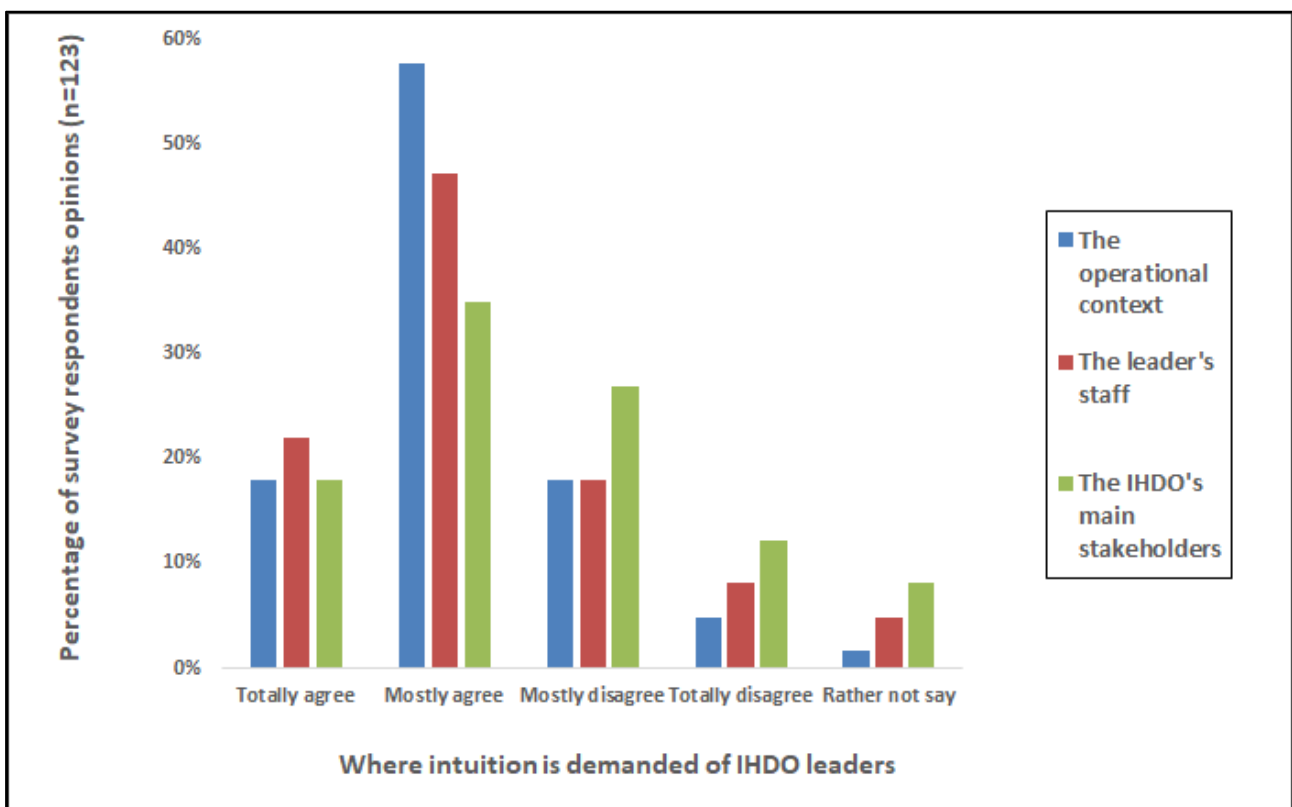


Figure 21: Sources from where intuition is demanded of IHDOs' leaders

Reticence of leader-respondents to present information about their organisations appears again, discussed further in the case studies.

The IHDOs' main stakeholders demand for intuition is presented in Figure 22 by leader-respondents' location. It is unknown why the large number of India-based leaders mostly agreed with their IHDOs' main stakeholders demand for intuition. Whilst country-level leaders' opinions were spread across response categories, HQ-level leaders' opinions were narrowly focused and mostly disagreeing, indicating a more stable context, where processes, structures, and systems existed to the extent that intuition was less required by their stakeholders for the use of intuition for successful leadership.

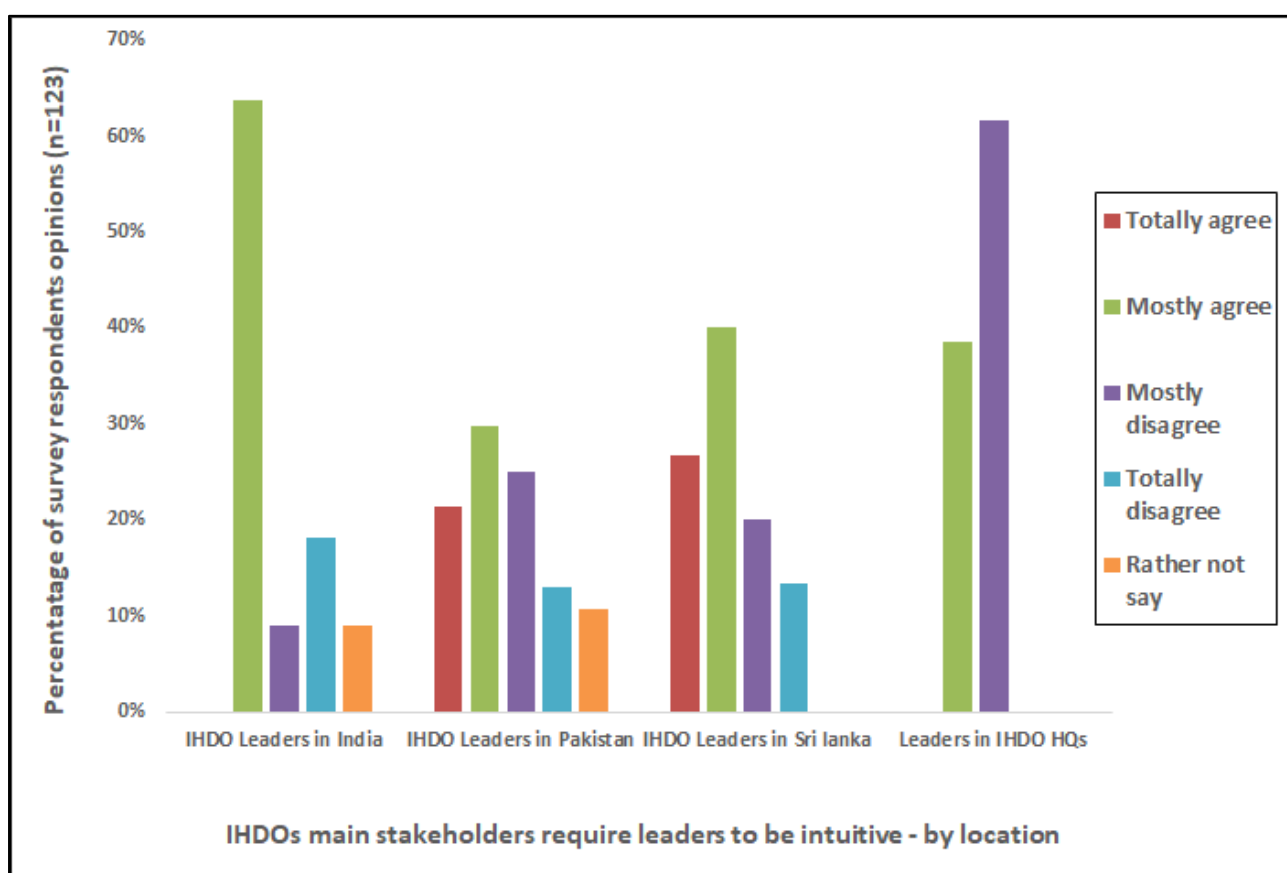


Figure 22: IHDOs' main stakeholders require leaders to be intuitive by respondents' location

Of pertinence are the different perceptions on intuition from an HR perspective. IHDOs' HQs are normally where IHDOs' policy, procedures, regulation and processes are defined. If HQ-level leaders perceive the need for intuition differently from country-level leaders, this may influence the shape of policy and practice on intuition in a way that is not best suited to the operating contexts and needs of IHDOs' leaders in South Asia.

#### **6.3.4.4 Summary of survey findings and analysis for intuition**

88% of leader-respondents stated that intuition is necessary for successful leadership, and 70% of them used this when making critical decisions or judgement calls. Yet only 39% agreed or mostly agreed that intuition was measured in their performance appraisals. The operating contexts for leader-respondents in the South Asian countries, and from all organisational types, was seen as an important influence for the use of intuition.

Some findings are not represented in graphical form, due to limitations with the total length allowed for this thesis, and the consequential application of filters applied. For example, against six of seven statements about the use or importance of intuition, South Asian leaders' responses showed higher levels of agreement than European leaders. Yet a higher percentage of South Asian leaders (15%) as compared to European leaders (6%) declined to respond to three statements concerning their own IHDOs, in relation to the use of intuition. These findings intimate that these leaders own cultures played an influencing role in their perception of intuition, and also on how they perceive their own organisations.

IHDOs HQs leaders' responses, against all statements, showed less agreement with the need for and use of intuition than leaders from the three countries. With structured, less volatile working conditions, HQ-based leaders need intuition less in their work as compared to the countries' leaders. Clearly the context plays an influencing role in the use, acceptance and perception of intuition.

Female and male leaders showed similar overall average levels of agreement against the nine statements on intuition. This is aligned to findings across the whole survey for which gender did not make a significant impact on respondents' perspectives and opinions.

In six of seven statements on intuition, humanitarian organisations' leaders responded with a higher level of agreement regarding the use and importance of intuition, than those from transitional and development organisations. This suggested that perception, acceptance and use of intuition fitted better to humanitarian leaders' types of work and operational contexts.

### 6.3.5 Influences on successful leadership

28 influences on successful leadership, highlighted in the literature and thus presented in the survey, were grouped into six clusters for the analysis, namely: (1) leaders; (2) teams, tasks, and individuals; (3) context; (4) IHDOs; (5) the aid sector, and (6) culture. Findings and analysis are now presented, with the exception of the context, expounded on previously.

#### 6.3.5.1 The leaders: how does what they have and what they need influence their success?

Table 18 covers four key influences within the 'leader cluster'. Respondents' overall ratings were higher for the influence leaders had on their own success as opposed to all influences in the other clusters.

Table 18: Level of influence of leaders on successful IHDO leadership

Self-influence of leaders on successful leadership	Very High	High	Medium	Low	Very High and High
The leader's competences and personal characteristics	59%	38%	2%	1%	97%
The leader's action-logic (their strategic approach to facing challenges)	52%	39%	9%	1%	90%
The leader's development readiness	32%	46%	20%	2%	78%
The leader's professional interests and needs	29%	48%	21%	2%	77%

Table 18 presents two distinct features: (1) the first two highest rated influences demonstrate the importance of what leaders *already have* in terms of personal traits and professional qualities, and, (2) the third and fourth influences indicate what leaders *are open to, or require* to be successful. However, differences in the type of IHDOs' leaders work also affects the influence of their own professional needs and interests on their success (in terms of their development and growth), shown in Figure 23.



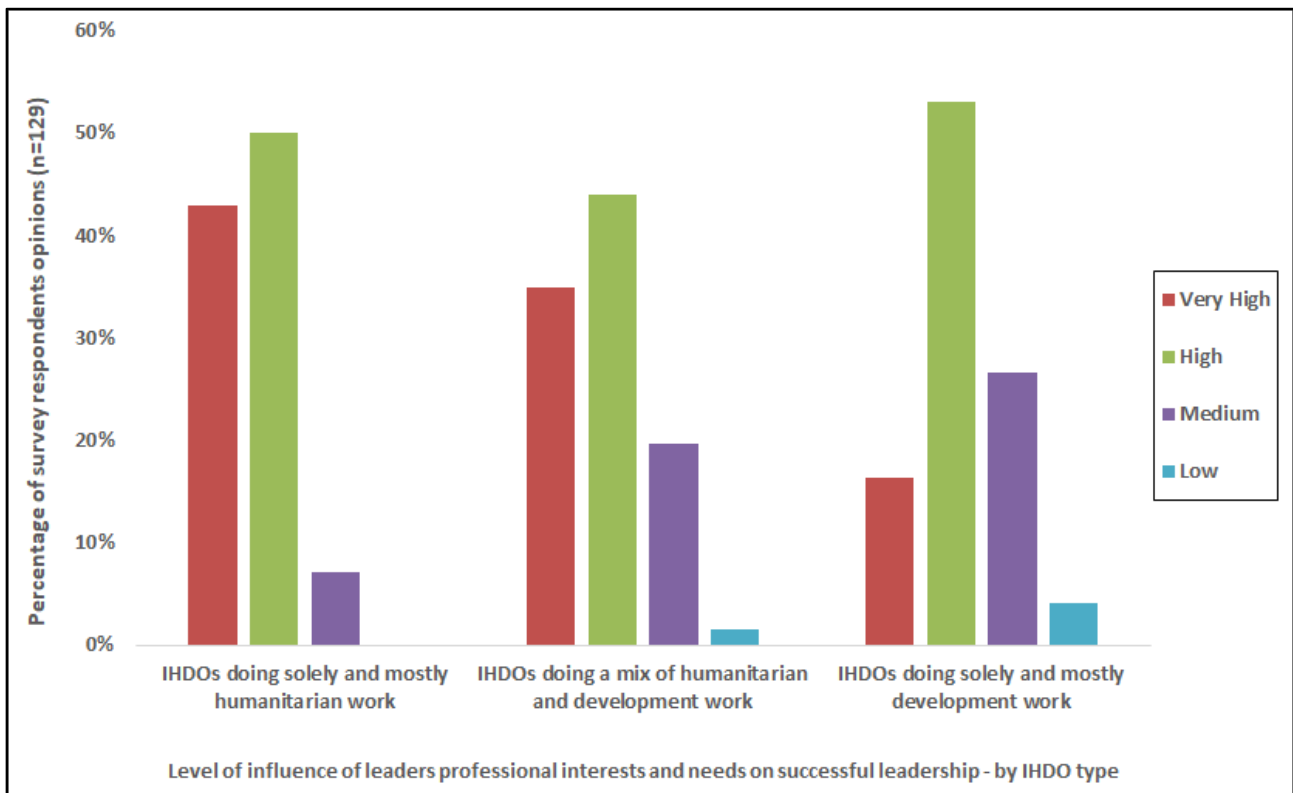


Figure 23: Level of influence of leaders' professional interests and needs on successful leadership by IHDO type

The obvious trend may be explained with several possible reasons. Firstly, a more rapidly-evolving sphere of work for humanitarian organisations required their leaders to be constantly up to speed, as compared to a less-dynamically changing environment for transitional and development organisations' leaders. Secondly, it is possible that transitional and development organisations allocated more funds to address their leaders' needs and professional interests. Thirdly, it could be that humanitarian organisations prioritised their focus and resources more on their activities than on their leaders' development, possibly due to donor requirements or the need for their leaders to be fully-engaged in the tasks at hand. Fourthly, the trend may simply reflect that humanitarian leaders themselves have less time to address their professional needs and interests, giving the above-mentioned aspects' higher priority.

The location is also pertinent as an influence on leaders' professional needs and interests (on their success), as shown in Figure 24. HQ respondents placed less prominence on leaders' needs and interests as an influencing factor. This may reflect the type of needs, the working environment, and even access to professional development opportunities, when compared to leaders in the countries.

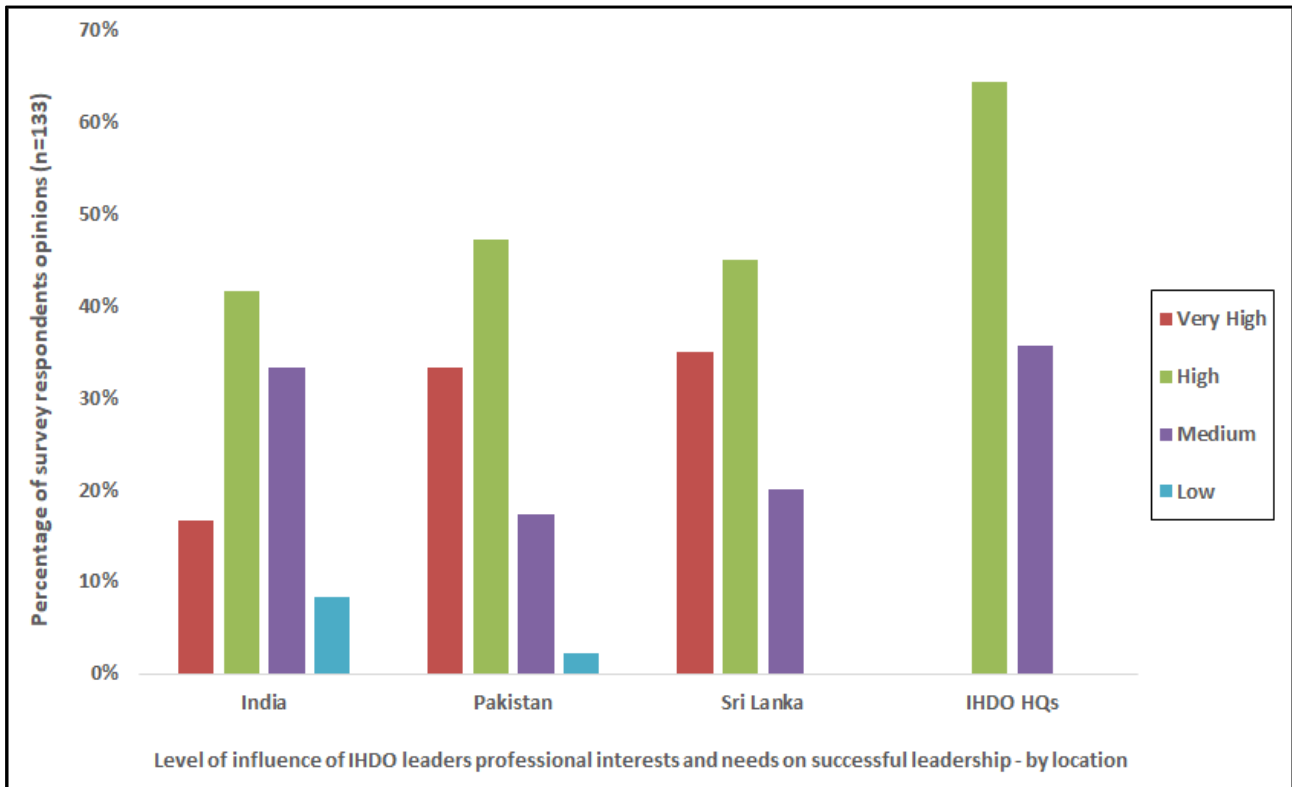


Figure 24: Level of influence of leaders' professional interests and needs on successful leadership by respondents' location

Leaders' development readiness (i.e. their self-awareness, self-confidence and accurate self-image) (Chapter 2, section 2.2.5) is presented in Figure 25, against years of leadership experience *outside* the aid sector. The trend demonstrates that with increasing experience, development readiness is seen as more influential on leadership success. This implies leaders having non-aid sector backgrounds, appropriately and critically assess the need to remain open to learning; of particular relevance in a dynamic and complex field of work. Curiously, this opinion was not shared by respondents with *only* aid sector leadership experience.

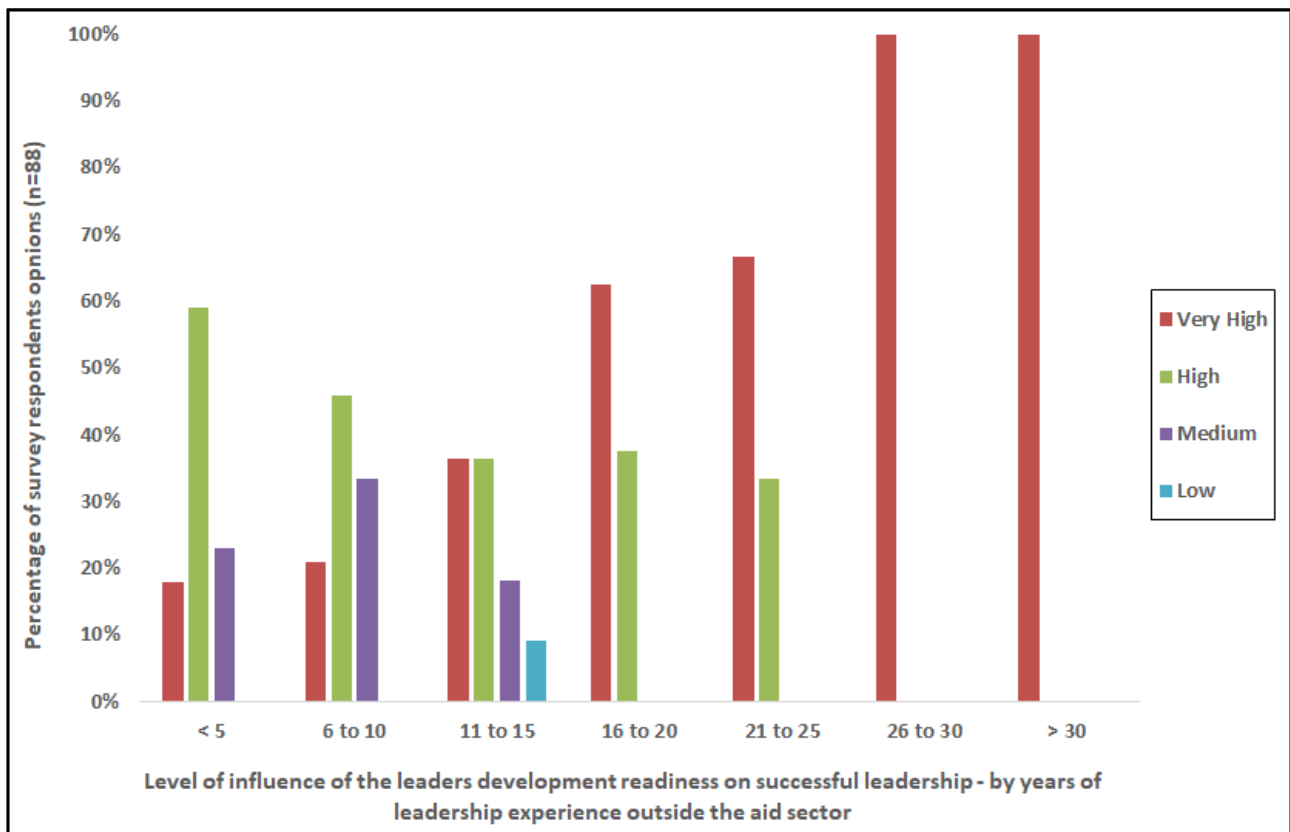


Figure 25: Level of influence of leaders' development readiness on successful leadership by years of leadership experience outside the aid sector

### 6.3.5.2 Teams, tasks, and individuals: the basis of influence of many leadership theories?

Many early leadership theories were established around the needs of the task, group, and individuals therein (Chapter 2, section 2.2.1), yet IHDOs' leaders see these phenomena as less influential than the numerous influences of culture (Section 6.3.5.5, table 21), and the leaders influence on their own success (Section 6.3.5.1, table 18). Using terminology more appropriate to the organisational and HR structures of IHDOs, the word 'team' was used in the survey instead of 'group', and thus features throughout this thesis. Table 19 presents some interesting parallels and comparisons between several qualitative and quantitative elements of the team, task and individuals on leadership success.

Table 19: Influences of the team, task and individuals on successful leadership

Influences of the team, task and individual on successful leadership	Very High	High	Medium	Low	Very High and High
The teams' competence	40%	44%	11%	4%	84%
The task's complexity	32%	45%	18%	5%	77%
The task's scope	25%	46%	26%	3%	71%
The team's diversity	26%	38%	28%	8%	64%
The task's scale	22%	39%	33%	6%	61%
The team's size	16%	40%	33%	11%	56%
The individual's (from within the team) needs	9%	32%	38%	21%	42%

The team's competence and the complexity of its tasks may each be deep or shallow, stable or varying. The task's scope and team's diversity can both be wide or narrow. The task's scale and team's size can be big or small. These results imply that more qualitative personnel and task-related factors have higher influence on leadership success than quantitative ones. Interestingly, the individual (within a team) – prominent in some early leadership theories (Chapter 2, section 2.2.1) – is seen by respondents to have a lower influence on leadership success.

**6.3.5.3 IHDOs: how do different organisational environments affect leadership success?**

Figure 26 illustrates the respondents' perceptions of the level of influence of IHDOs' rules, regulations, processes, procedures and structures, by organisational type.

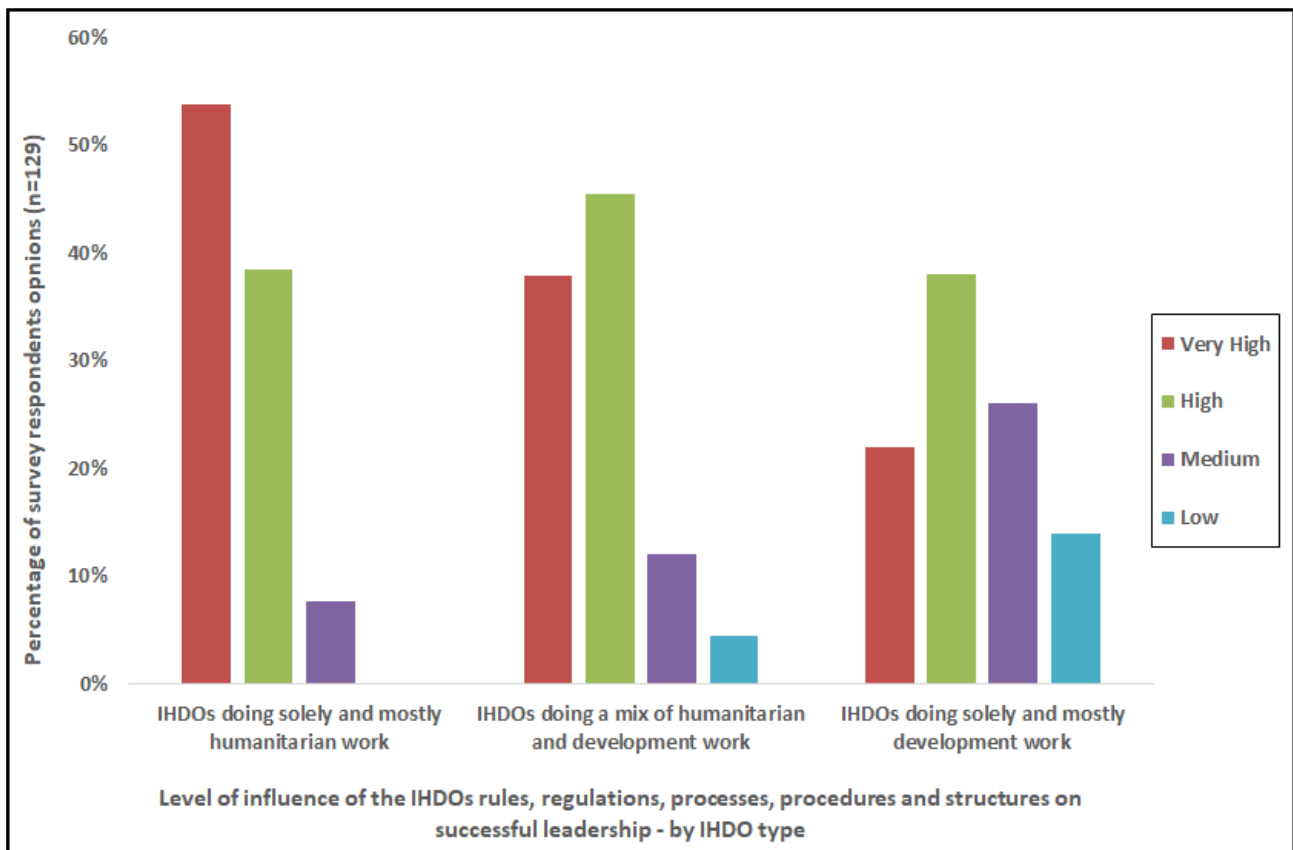


Figure 26: Level of influence of IHDOs' rules, regulations, processes, procedures and structures on successful leadership by IHDO type

A clear trend of the decreasing influence of the organisational environment is apparent along the humanitarian-transitional-development continuum. It can be surmised that if administrative systems and practices were unnecessarily complicated or cumbersome, this affected, to a lesser degree, the successfulness of development organisations' leaders as compared to the other organisational types' leaders. Alternatively, if more straightforward and simple, the organisational environment more positively supported the success of humanitarian organisations' leaders.

According to all respondents, the demands that different organisational types placed on their leaders also influenced their success (Chapter 3, section 3.5.2.2). Figure 27 shows a trend of the decreasing level of influence across the three different organisational types, along the humanitarian-transitional-development continuum.

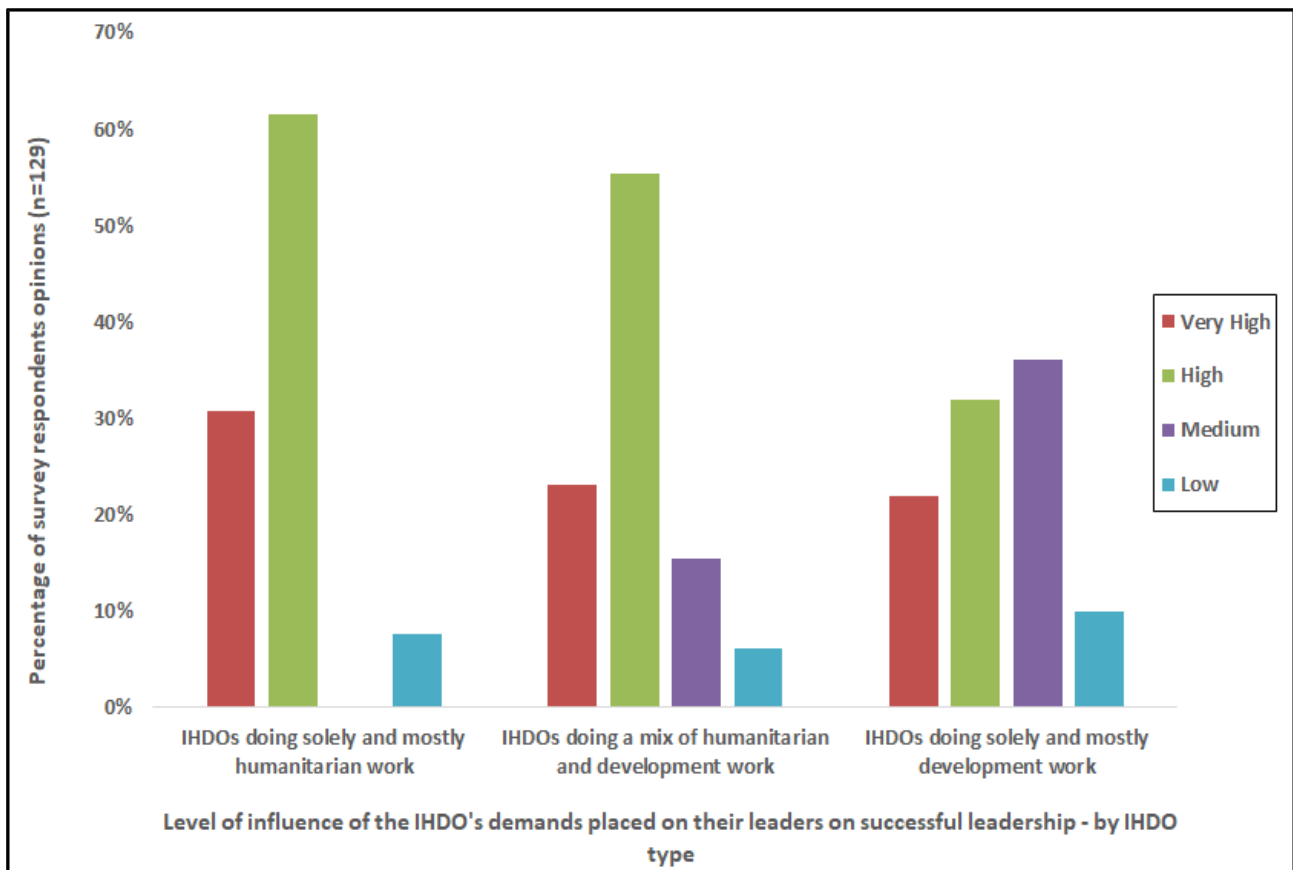


Figure 27: Level of influence of IHDOs' demands placed on their leaders on successful leadership by IHDO type

The type of demands surely vary from organisation to organisation, be they humanitarian, transitional or developmental. Time available may also be a factor; demands on development organisations' leaders may come with more protracted deadlines; high pressure working contexts place higher demands on emergency projects and their leaders in humanitarian organisations.

#### 6.3.5.4 The aid sector: how does this influence the success of IHDO leadership?

Several aid sector-specific factors were presented in the literature as influential on leadership success (Chapter 3, section 3.5.2.1). However, the survey respondents' opinions, presented in Table 20, showed a lower level of influence from the aid sector.

Table 20: Influences from and on the aid sector on successful leadership

Influences from and on the aid sector on successful leadership - by type	Very High	High	Medium	Low	Very High and High
Increasing media attention on the aid sector (e.g. demands for more accountability, more visibility)	25%	40%	25%	10%	65%
The aid sector's donors' proximity to decision-making in operations	25%	37%	27%	11%	62%
The aid sector's development trends (.e.g. shifts in thematic and geographic focus, climate, poverty in middle income countries)	23%	38%	27%	11%	62%
The aid sector's new coordination mechanisms (e.g. sectoral clusters and working groups)	21%	37%	29%	14%	58%
The aid sector's new funding mechanisms (e.g. channels and partnerships, South-South cooperation)	20%	36%	28%	16%	56%
The aid sector's international agendas (e.g. Paris, Accra and Bhusan Declarations; post-2015 SDGs; Agenda 21; WHS and the Grand Bargain)	20%	32%	32%	15%	53%
Influence on the aid sector from the private/corporate sector (e.g. practices and standards)	15%	37%	31%	17%	52%

With a shift towards recent global priorities such as climate change and more recently forced migration and refugees in the west, IHDOs' leaders need to be geared up, experienced and capable to adapt to new challenges. According to the literature (Chapter 3, section 3.3.4-5), poor coordination is a main deficit affecting leadership effectiveness. Yet only 21% of respondents rated new coordination mechanisms as having a very high influence. International agendas which influence and define the targets that IHDOs' leaders work towards (Chapter 3, section 3.3.2), are not seen as very influential. Numerous examples exist in the literature of how the private sector influences the aid sector (Chapter 2, section 2.2.1; Chapter 3, section 3.4.3): defining leadership theory, setting performance indicators, leadership styles and approaches, and the increasing role of for-profit organisations are noteworthy. Yet only 15% of respondents rated the private sector as very highly influential.

The aid sector's new funding mechanisms (Chapter 3, section 3.3.5) are analysed from the perspective of different organisational types in Figure 28. The opinions of humanitarian organisations' respondents expressed new funding mechanisms as being far more influential than did the other organisations' respondents. With continuously increasing naturally-triggered disasters, and conflicts in the South Asian region (Chapter 3, sections 3.2; 3.3.1), regular finance flows are paramount for humanitarian (and emergency-response) organisations to continue to function. Development organisations often have affiliations to donor governments, with more secure longer-term financial resources available.

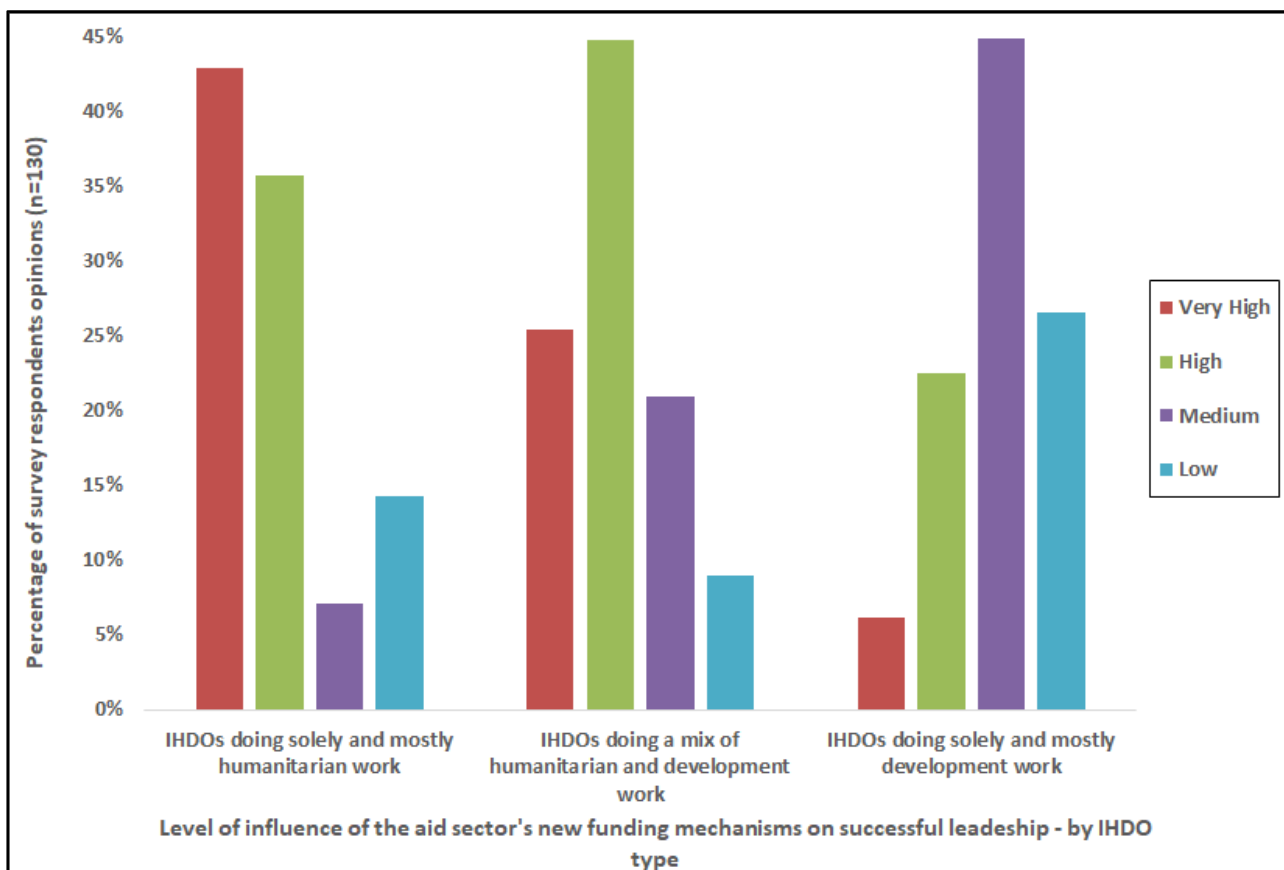


Figure 28: level of influence of the aid sector's new funding mechanisms on successful leadership by IHDO type

The divergent opinions of respondents with regard to aid sector influences, compared to those of the literature (and sampled organisations' participants), are elaborated on in Chapter 7, section 7.6.

### 6.3.5.5 Culture: is its influence on leadership success really recognised and addressed?

In Table 21, the teams and leader's own cultures are seen to be of a very similar overall rating. Interestingly, team culture (their values, norms, systems of interaction) and team competence (skill-sets, experiences, knowledge and abilities) are afforded almost the same high rating (Section 6.3.5.2, table 19): one being tangible, the other less so. While competencies are well-defined, well-acknowledged and utilised in the aid sector, more prominence could be placed on the team cultures' influence on leadership success.

Table 21: Influence of culture on successful leadership

Influences of culture on successful leadership - by source	Very High	High	Medium	Low	Very High and High
Team culture - by nationality and social background	31%	51%	15%	4%	82%
Leader culture - by nationality and social background	47%	35%	15%	4%	81%
IHDO culture - by type and country of origin	31%	45%	19%	5%	76%
Country culture - by locus of operations	34%	41%	19%	5%	75%



In Table 21 it is inferred that peoples' cultures are more influential on leadership success than those of organisations and environments. Yet, both subliminally and directly, leaders and teams' cultures are themselves shaped and influenced by their social environments – in most cases the countries they grew up in, but also perhaps by their own IHDO's cultures (Chapter 3, section 3.5.2.3.). Responses from all survey respondents showed a generally high level of the influence of culture.

#### **6.3.5.6 Summary of survey findings and analysis for influences**

The leaders' own competencies and characteristics, and their action-logic (Chapter 2, section 2.2.5) were rated as the highest influences on leadership success. Individuals' needs (within the team) were rated lowest, contradicting some of the main leadership theories. The combined aid sector cluster of influences were rated next lowest in terms of its influence on leadership success. Culture by source (team, leader, organisation and country) was seen as more influential for leadership success than IHDOs' leaders own inter, intra and cross-cultural competencies.

European leaders rated the culture of IHDOs, and their leaders and teams, as more influential on leadership success than the ratings of South Asian leaders. This indicates the prominence placed on culture from dominantly western-based IHDOs' ideologies, but also infers the need for their (western leaders) own understanding, acceptance and belonging.

Respondents from India rated team diversity of significantly lower influence; curious coming from a highly diverse country (Chapter 3, section 3.2.1). Respondents from Sri Lanka rated media attention much lower than the other countries and the HQs' respondents, which is again strange after incurring so much attention with regard to civil conflict, human rights issues and prevalent naturally-triggered disasters over the past three decades (Chapter 3, section 3.2.3). Respondents from Pakistan rated country culture significantly higher than the other countries, perhaps due to its almost mono-religious context (Chapter 3, section 3.2.2).

Against most of the factors influencing leadership success, followers' ratings were inverse to those of leaders. This depicts their lack of leadership experience, and also perhaps illustrates the need for IHDOs to increase their nurturing of home-grown leaders.

### 6.3.6 The locus of leadership roles, functions and tasks

The ongoing debate about individual vs. collective leadership (Chapter 3, section 3.5.2.1), and its influence on successful leadership is now presented. Where leadership roles, functions and tasks are attributed, contributes to how successful leadership can be. Five response options were presented to all respondents: solely with the leader; mostly with the leader; equally between the leader and a leadership team; mostly with a leadership team, and solely with a leadership team.

#### 6.3.6.1 Leadership facets: where are they best handled for leadership success?

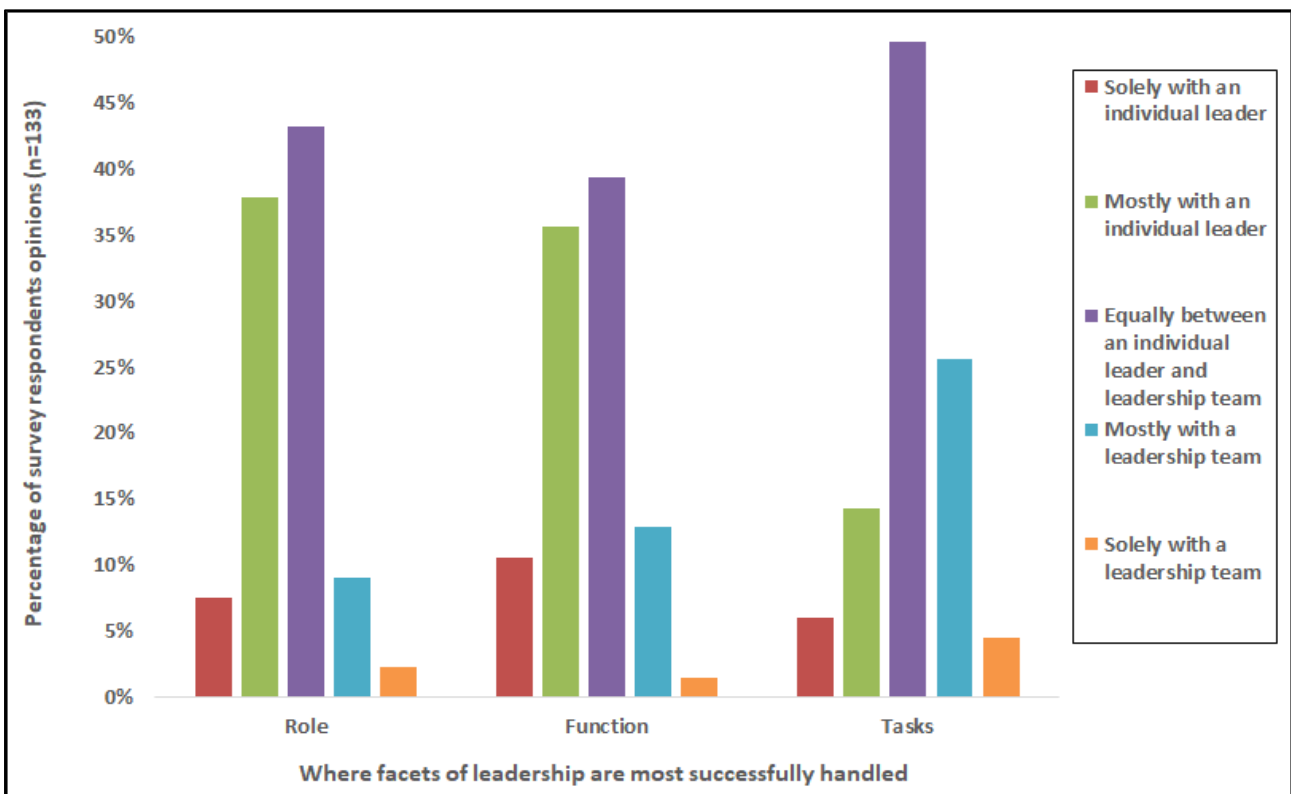


Figure 29: Where facets of leadership (role, functions and tasks) are most successfully handled

Immediately apparent in Figure 29 is the broad range of opinions from all respondents across all facets of leadership. However, predominantly, leadership teams are seen as best suited to performing the role, functions and tasks, though more so for leadership tasks. However, respondents also presented that roles and functions are also successfully handled mostly by the individual leader. Nonetheless, against each leadership facet, respondents stated leadership is best handled and most successful – to varying degrees - by all the leadership constellations available. This illustrates a very divergent understanding of what a leader's role, functions and tasks encompass. It may equally suggest that in different situations, different leadership constellations are best suited to fulfil them.

### 6.3.6.2 Summary of all survey findings and analysis for the locus of leadership

With the filtering necessarily applied to the findings and analysis in this chapter, much data has not been presented. However, this summary captures all the survey’s findings on the locus of leadership.

Respondents demonstrated a slight tendency to place more emphasis on roles being performed with more of the individual leader’s involvement; the functions being handled by a mixed leader and leadership team, and of tasks being better handled with more involvement of the leadership team.

Only 2% of both South Asian and European leaders saw leadership tasks best handled solely by a leadership team. Yet with many tasks assigned to leadership positions, and the plethora of additional tasks that appear, individual leaders need leadership teams to handle them successfully.

Leader and follower respondents differed to some extent in nearly all their opinions against roles, functions and tasks, and by whom they were best performed. Followers showed a preference for the involvement of individual leaders rather than leadership teams, perhaps related to the ease of reporting to individuals rather than collective leadership structures. Additionally, it may be that followers require unidirectional demands and directives, whereas in the literature, ‘confusion’ has been associated with the collective structure of leadership (Chapter 3, section 3.5.2.1).

Given the connotations and definitions of these three leadership facets, findings in the literature, and the personal experiences of this researcher, the breadth of respondents’ opinions was different from that expected. In Figure 30, this researcher’s *envisaged responses to this question* are illustrated, with a strong propensity for the role best performed by an individual leader; the functions best performed by a leader and leadership team together, and leadership tasks being most successfully performed by the leadership team. This is followed up in Chapter 7.

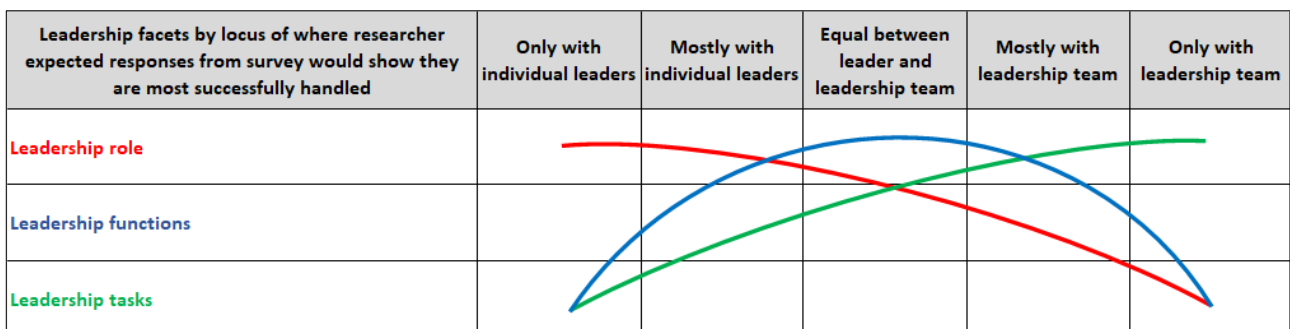


Figure 30: Expected results of where leadership is most successfully handled

### 6.3.7 Continuous professional development (CPD)

Respondents were provided with thirteen multiple-option response categories (taken from the literature) of CPD initiatives used to develop leadership (Chapter 2, section 2.3.1). Training and on-the-job coaching and mentoring, in numerous locations, are clearly the most dominant form of CPD measures, aimed at developing successful IHDO leadership, illustrated in Figure 31.

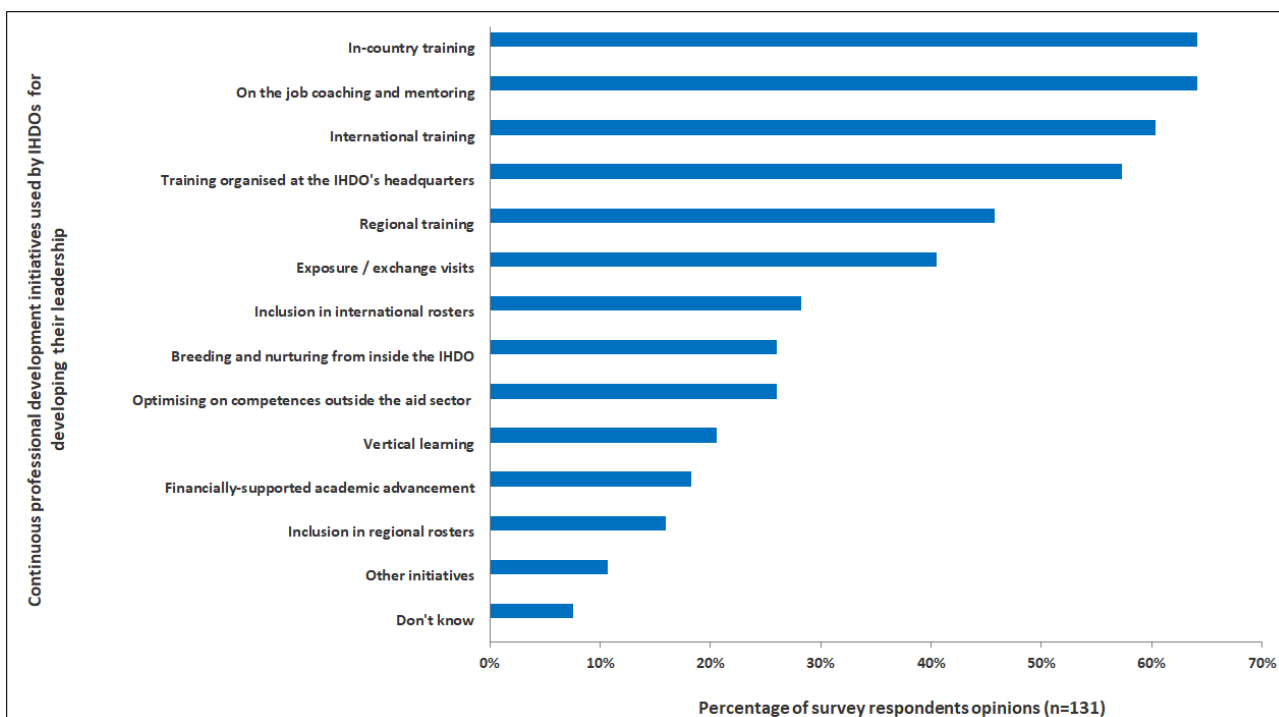


Figure 31: Continuous Professional Development (CPD) initiatives used by IHDOs for developing their leadership

Interestingly, developing leadership from inside IHDOs and bringing in expertise from outside the aid sector were rated identically. This highlights the gradual acceptance of the engagement of actors in the aid sector, sourced from private and other sectors. 'Other initiatives' presented by respondents in the survey included: lectures by board members and external leaders; consultations with academic institutions and universities; tailor-made development programmes; self-help leadership groups, and the delegation of specific assignments.

#### 6.3.7.1 Summary of survey findings and analysis for CPD initiatives used by IHDOs

The diversity and application of CPD initiatives depicted an enabling learning and growth environment for successful leadership. Yet to what extent these practices are optimised is unknown; the deficit in aid sector leadership (Chapter 3, section 3.5.2) suggests that their use and outcomes could be augmented.

European leaders expressed that their organisations provided more costly CPD measures (investment in time and resources, international locations and travel etc.) than South Asian leaders.

The use of nurturing 'home grown' leaders, and being included in international rosters, were CPD measures that were presented more by HQ-level respondents than by country-level respondents. This may be related to the HQ-respondents' proximity to HR policies, and to IHDOs seeking to expose their HQ leadership to external experiences.

Leaders, more than followers, expressed that on-the-job coaching was an initiative used, indicating that respondents based their opinions on experience, not just knowledge of their IHDOs (i.e. leaders are more likely to receive personalised coaching – due to its related high costs – than followers).

### **6.3.8 Stakeholders in IHDOs leaders' performance appraisals**

In Figure 32, respondents indicated the level of involvement of nine types of stakeholders in IHDO leadership performance appraisals. The leader's direct supervisor was the most common person used to evaluate their performance. Yet the implications of leadership, and the consequences of leadership actions, are not only appreciated and felt by the leader's superior. Some IHDOs use the 360-degree appraisal system, providing diverse perspectives on the leader's abilities and achievements; yet the investment in cost and time is certainly higher than using standard bi-lateral performance appraisal methods.

Whilst the leader's superior (supervisor), peers and subordinates cover the immediate perspectives around a leader, significantly less engagement of other stakeholders was apparent. This may be because of their proximity and ability to provide accurate assessment, or the availability of time and financial resources necessary for this type of process. It may equally be due to the level of importance placed on the learning that can come out of the appraisal, both for the IHDOs and the leaders' success.

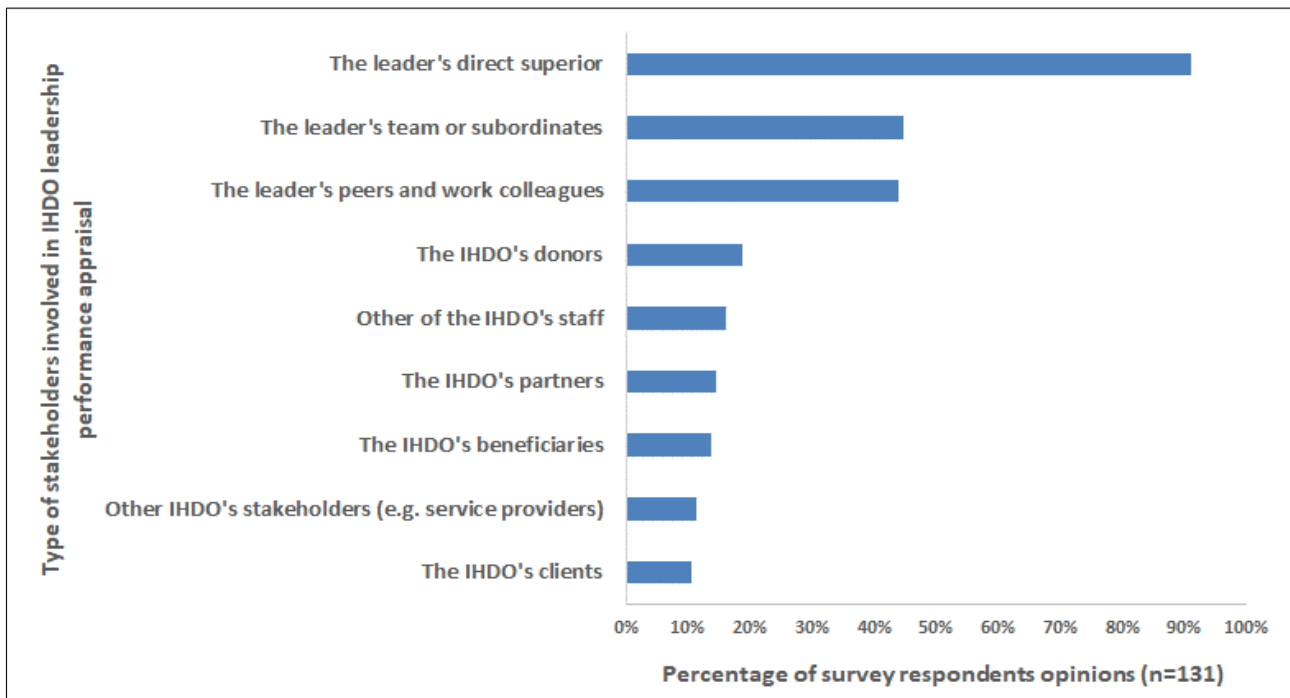


Figure 32: Types of stakeholders involved in IHDO leadership performance appraisal

### 6.3.8.1 Summary of survey findings and analysis of stakeholders in IHDO leaders' performance appraisals

With the filtering necessarily applied to the findings and analysis in this chapter, much data has not been presented. However, this summary captures all the survey's findings on the stakeholders involved in IHDOs leaders' performance appraisals.

Measuring successful leadership must cover numerous aspects, including but not limited to the leader's characteristics, competencies and attributes, and including their cultural abilities. To ably evaluate these, and how they influence leadership success, requires an ability to effectively assess leadership from different perspectives. The satisfaction of numerous stakeholders is one (if not *the*) main criteria, needed to be considered when evaluating leadership performance. European leader-respondents saw a significantly higher involvement of their direct supervisors in performance appraisals than South Asian leaders. South Asian leaders saw more involvement of the less-prominent stakeholder groups than the European leaders. This infers there is a difference in the way IHDOs carry out leadership performance appraisal based on nationality. Performance appraisals from the perspective of IHDOs HQs' respondents indicated a higher involvement of the leader's peers and work colleagues, perhaps due to the structures, proximity of personnel and departments, and reduced costs involved.

### 6.3.9 Professionalism

The discourse around professionalising the aid sector remains prevalent (Chapter 2, section 2.3; Chapter 3, section 3.6). IHDOs' leaders own professionalism and its influence, is a main pillar of this research, articulated in one of the research questions. Respondents were presented with thirteen statements on professionalism covering its three fundamental and original tenets, eight additional elements from recent and past literature (Chapter 2, section 2.3.1), and two additional elements from this researcher's own leadership experiences in South Asia. All statements are presented in the survey (Annex 6).

#### 6.3.9.1 The three central and original tenets of professionalism: are they still valid today?

Being qualified from an accredited academic institution, having a monopoly over and using a specific body of knowledge, and having specialised technical skills, formed the basis of professionalism years ago, and remain central to its characterisation today (Chapter 2, section 2.3.1). These tenets are presented in Figure 33, showing the perception of the respondents that there is a quite significant lack of impact of 'this professionalism' on successful leadership. It can be surmised these doctrines need further scrutiny regarding their suitability for IHDOs' leaders.

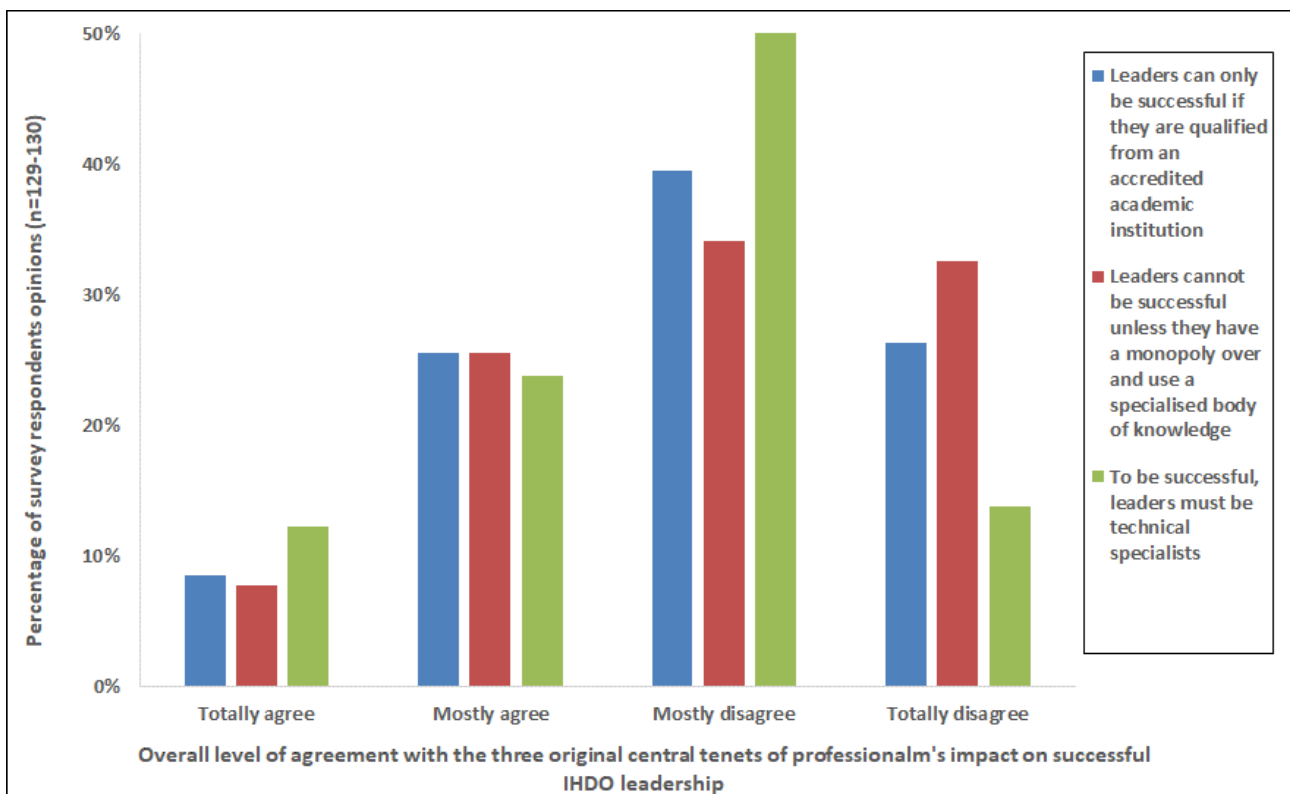


Figure 33: Overall level of agreement with three original central tenets of professionalism's impact on successful IHDO leadership

Whilst respondents denigrated the impact of academic qualifications and technical specialist skills, these remain prominent in most IHDO leadership recruitment processes (Chapter 7, section 7.7).

### 6.3.9.2 Certified entry to the sector: enabling or disabling successful leadership?

A debate over the need for certified entry to the aid sector abounds (Chapter 3, section 3.6.1). In Figure 34, a clear discrepancy exists between opinions of respondents from different organisational types on the validity of certification for leadership success. A clear trend is apparent showing respondents decreasing agreement with the effect of certification on successful leadership along the humanitarian-transitional-development continuum. Responses from humanitarian organisations are surprising, given the altruistic nature and ethic of volunteerism more commonly associated with their work. Yet, it is rather more from humanitarian organisations that the drive for the aid sector’s certification was derived in the literature (Chapter 3, section 3.6.2). This issue was followed up with the sampling organisations’ respondents in Chapter 7, section 7.7.

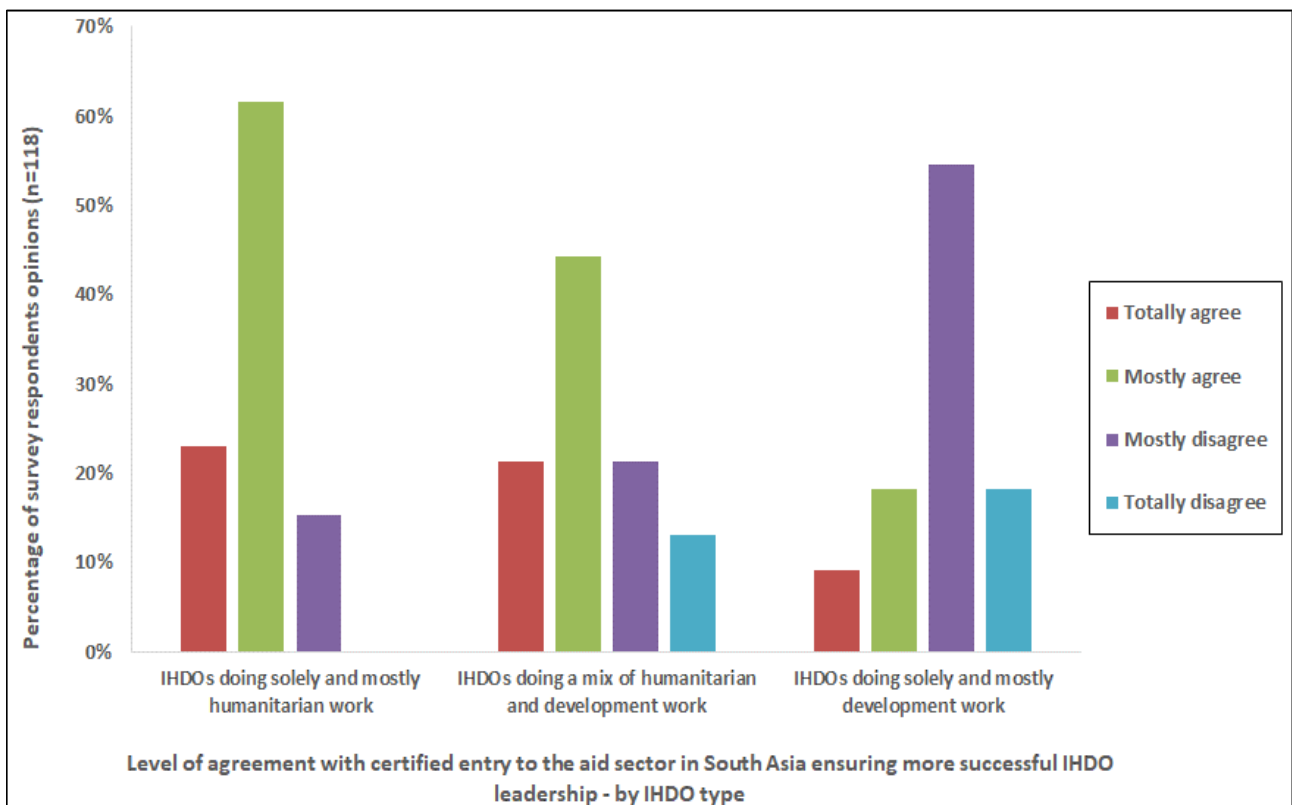


Figure 34: Level of agreement that certified entry to the aid sector ensures more successful IHDO leadership by IHDO type



### 6.3.9.3 Monopoly over knowledge and its use: does this fit with demand for transparency?

A sectoral drive exists for sharing lessons learned from good practice, and in being transparent (Chapter 3, section 3.3.3-4). Yet Figure 35 presents diverse perspectives on the monopoly over and use of a specialised body of knowledge. Whilst responses from development organisations show clear disagreement with this doctrine's influence, respondents from humanitarian and transitional organisations still presented value in monopolising and using specialist knowledge. This may be due to the competitive nature of their work, and the need to be seen as having 'something above the others' in terms of information and approaches. However, this contravenes the impetus for more coordinated and collaborative endeavours. Interestingly, the sampling organisations' participants from humanitarian and development organisations differed in their opinions to those presented in Figure 35, as seen in Chapter 7, section 7.7. This use of a specialised body of knowledge aligns logically to the third central tenet of professionalism; that of having specialist technical skill.

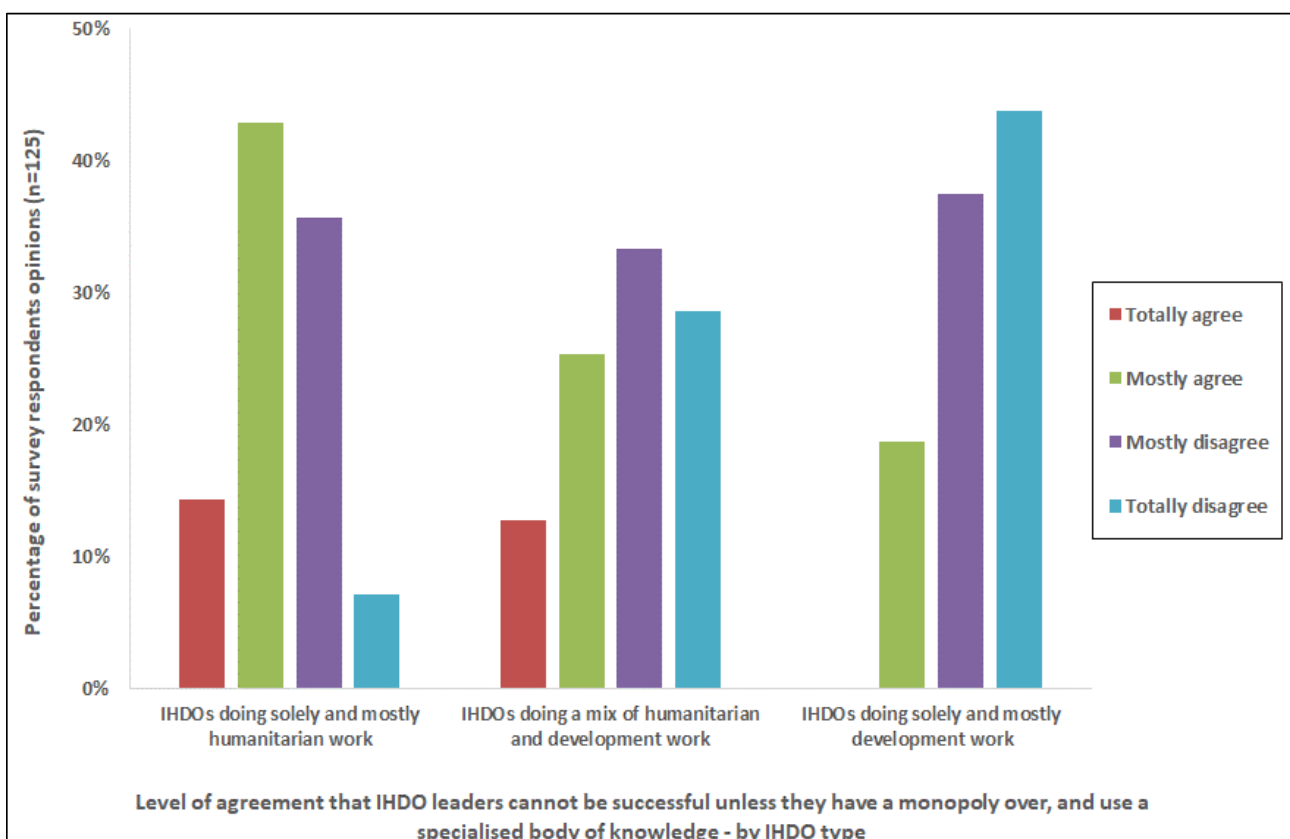


Figure 35: Level of agreement that IHDOs' leaders cannot be successful unless they have a monopoly over and use of a specialised body of knowledge by IHDO type

### 6.3.9.4 Technical specialist skill: relevant in an age of increasing complexity and diversity?

Figure 36 presents the perspective of respondents from the three different organisational types on the need for IHDOs' leaders to have technical specialist skills.

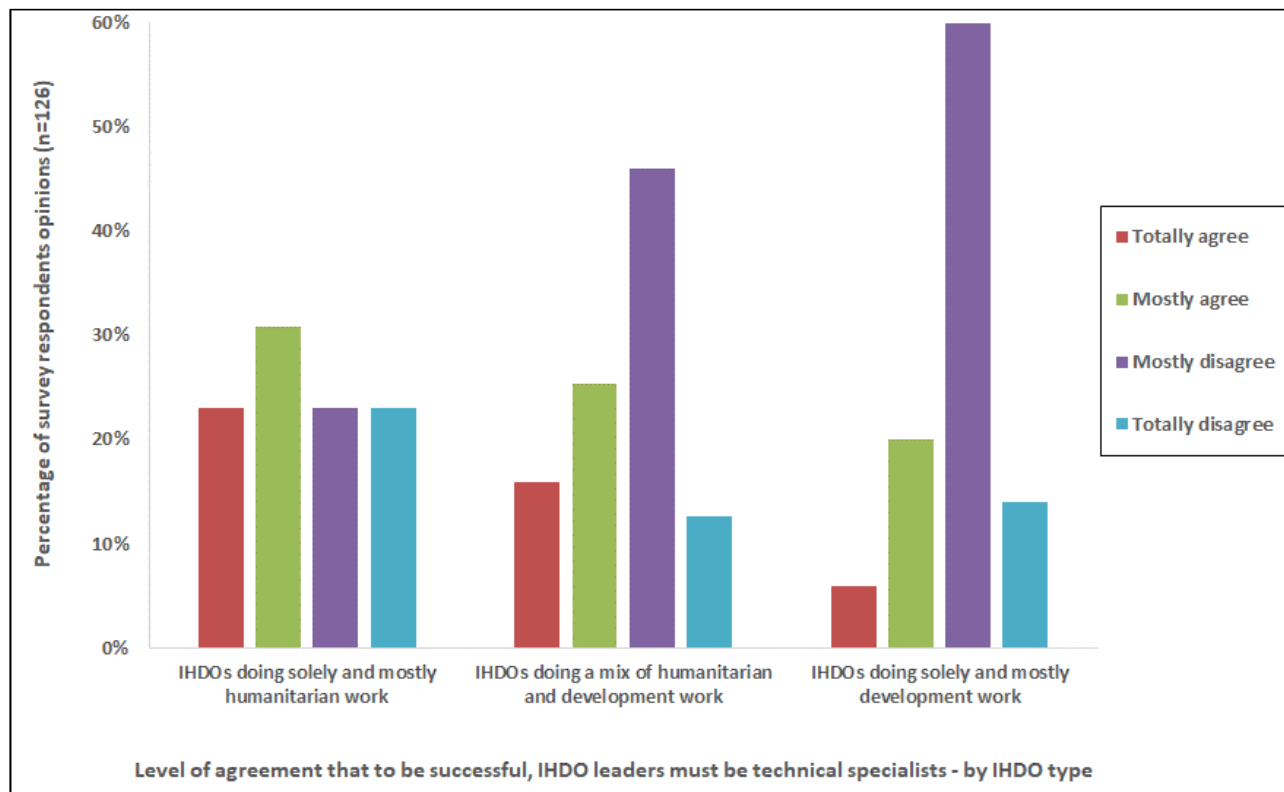


Figure 36: Level of agreement that to be successful, IHDOs' leaders must be technical specialists by IHDO type

Along the humanitarian-transitional-development organisation continuum, there is an apparent decrease in agreement that technical skills support successful leadership. This implies that development organisations' leaders require a more generalist skill-set than those from the other organisations. The almost uniform divergence within the humanitarian respondents' opinions, illustrates the current debate in the sector affiliated to the issue of certification and influence from the private sector, vs. the underlying principles of altruism and volunteerism (Chapter 3, section 3.4.3).

### 6.3.9.5 Professional attitude, behaviour and emotional intelligence: how do these qualities impact on leadership?

Leadership attitude, behaviour and EI are seen by all respondents as having substantially higher impact on leadership success than the core tenets, indicated in Figure 37. Yet these qualities are not given the same high level of prominence as qualifications, technical specialist skills and years of experience in IHDOs' HR policies (and recruitment practice) (Chapter 3, section 3.6.2).

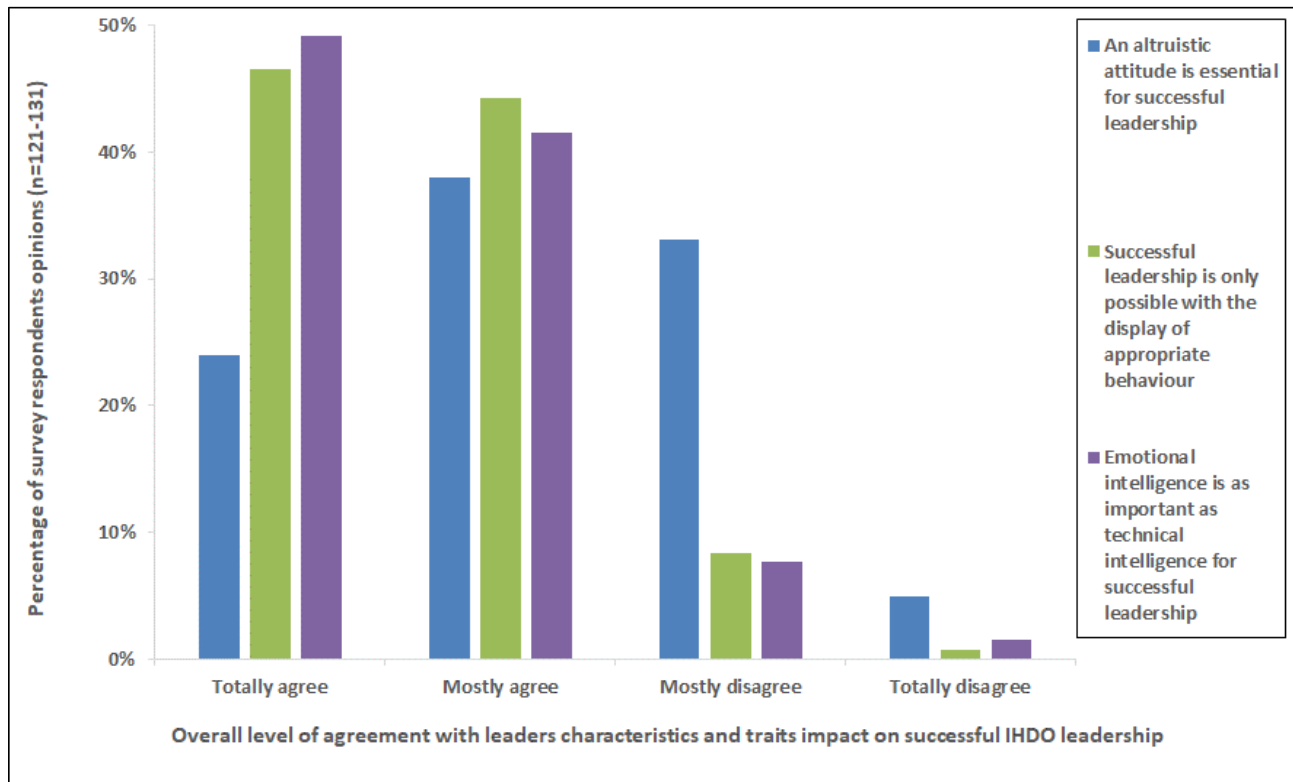


Figure 37: Overall level of agreement with leaders' characteristics and traits impact on successful IHDO leadership

Further, attitudes and behaviour – part of leaders' characteristics – are not developed by IHDOs to the extent of competencies (Chapter 7, section 7.3 and 7.7). In Figure 38, altruistic attitude is further explored from the perspective of region of nationality. South Asian leaders saw the professional characteristic of an altruistic attitude as more essential than European leaders, even with 30% of the South Asian leaders mostly and totally disagreeing that attitude is important for successful leadership. Interestingly, these differences of perspectives – most likely influenced by cultural value systems, diverge from the Western and Eastern perspectives presented in Chapter 2, section 2.2.10, wherein, according to Westwood and Chan (1992), western leaders were moving away from paternalism to participation whilst eastern leadership models showed less concern for individuals.

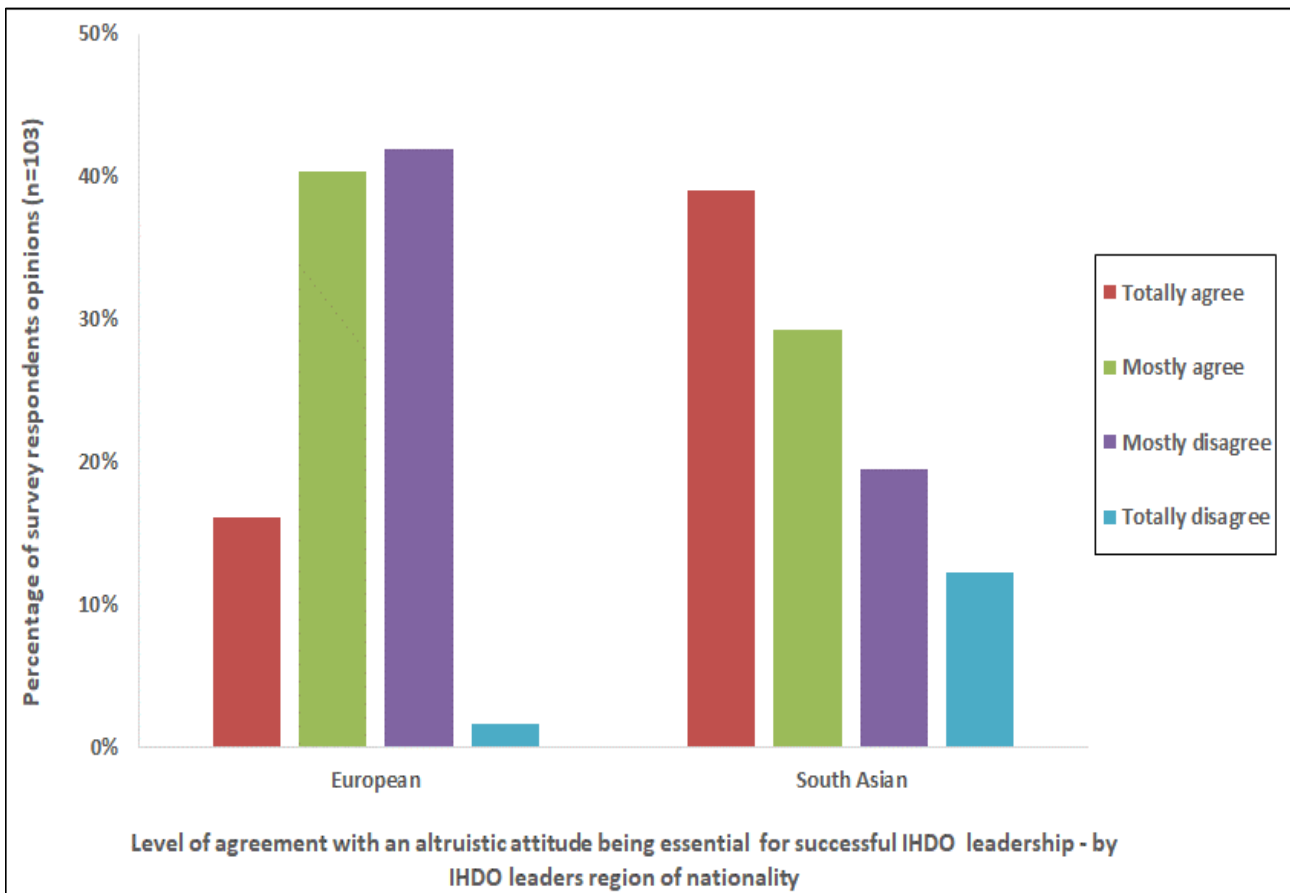


Figure 38: Level of agreement with an altruistic attitude being essential for successful leadership by IHDOs leaders' region of nationality

### 6.3.9.6 Leadership and IHDOs' standards and approaches: foundations for success?

Contrary to the three central tenets of professionalism, client-service orientation, self or peer review, and codes of conduct and ethics (Chapter 2, section 2.3.1) are presented as having an impact on successful leadership in Figure 39. Whilst adhering to ethical codes and focusing on clients' (or relevant stakeholders') needs are established good practice, self- or peer performance assessment – in relation to transparency – is curiously accorded such high impact. More diversely, perhaps external opinions provide for more objective leadership performance evaluation, and contribute to their success.

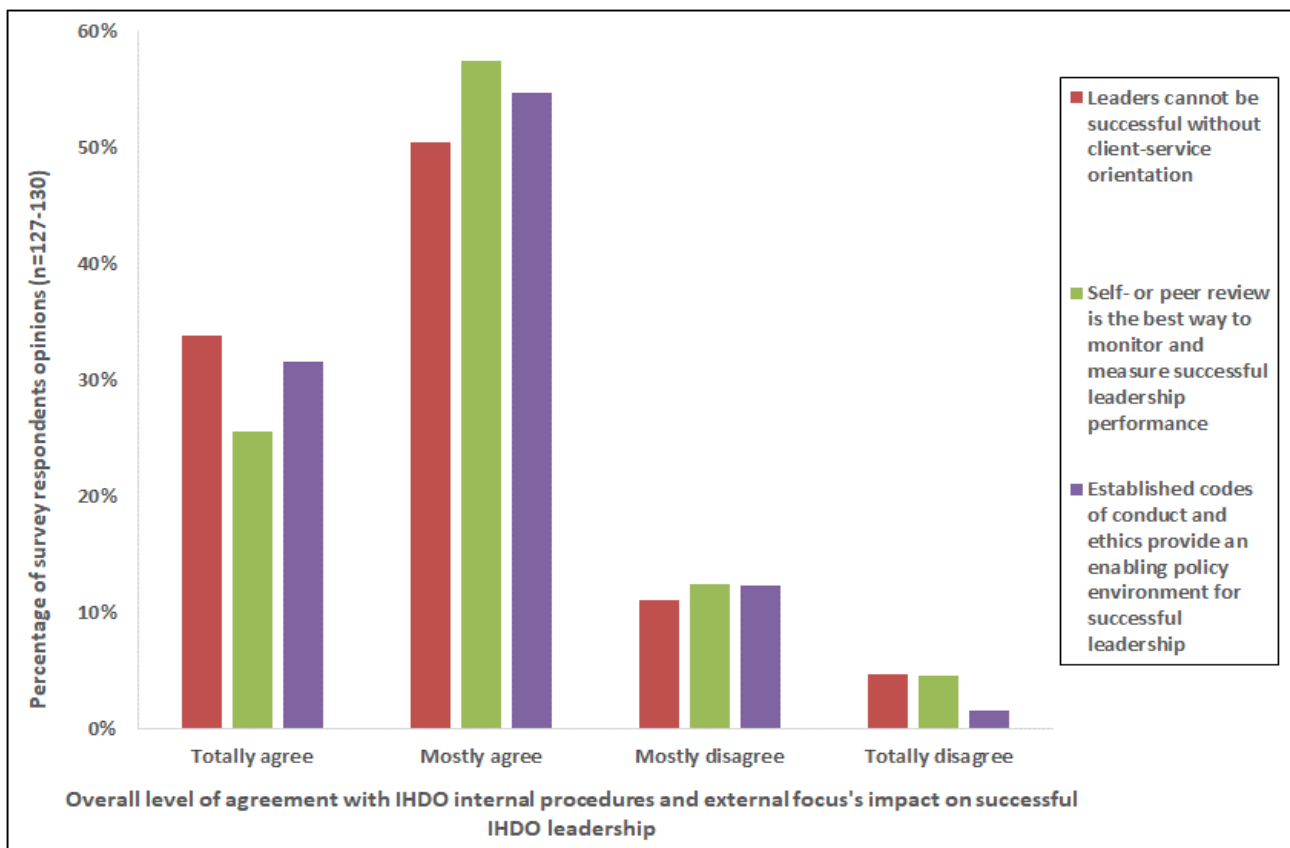


Figure 39: Overall level of agreement with IHDOs' internal procedures and external focus's impact on successful IHDO leadership

### 6.3.9.7 Leaders' time-focus distribution: do leaders and followers' opinions align?

The need for leaders to apportion their time appropriately between looking up and outside their IHDOs and down and inward, is presented in Figure 40. 90% of leaders and followers agreed that this contributes to leaders' success. Boundary scanning and managing external relationships, and ensuring internal efficiency and effectiveness in structures and processes are seen very similarly. Appropriate and proportional time is hence necessarily spent balancing the undertaking of the leadership role, functions and tasks in relation to and between these two domains.

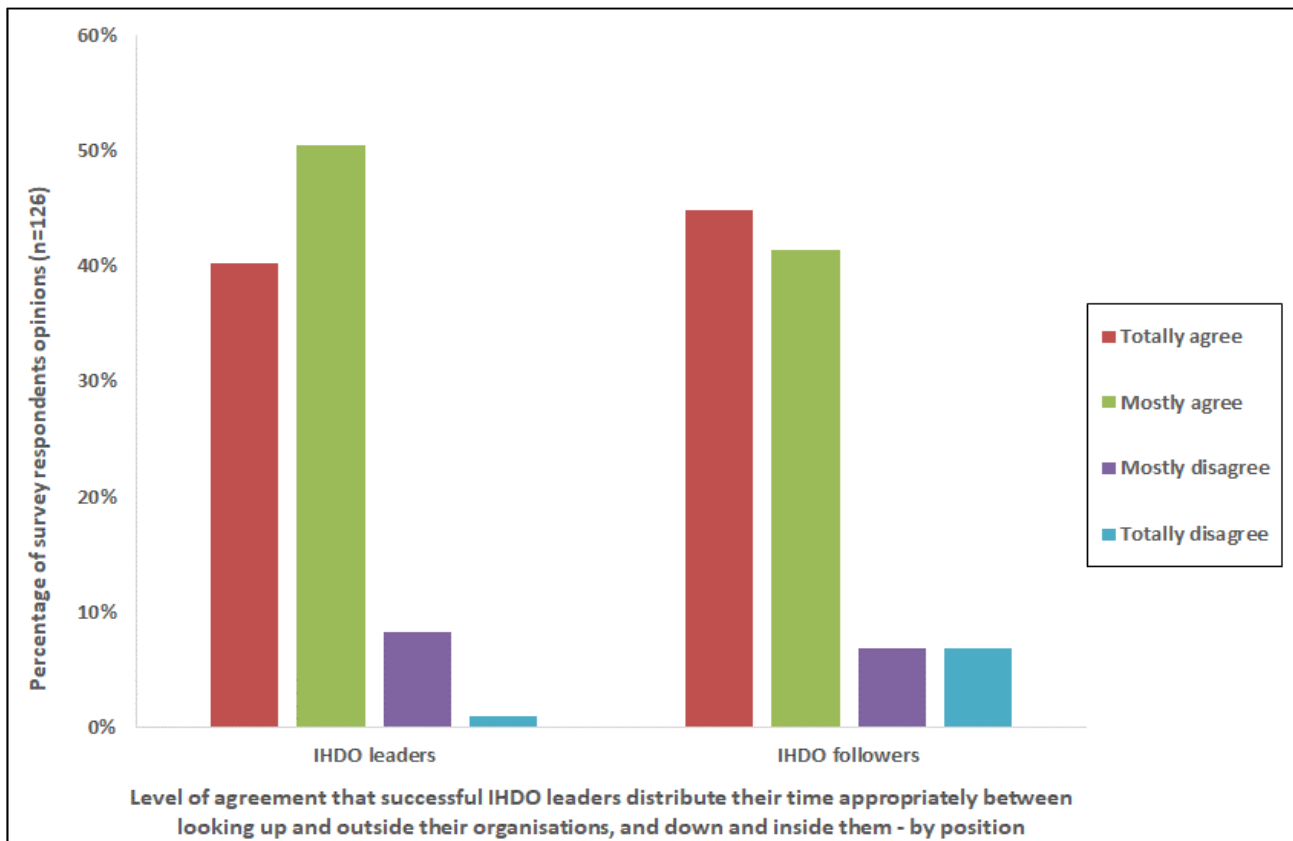


Figure 40: Level of agreement that successful IHDOs' leaders distribute their time appropriately between looking up and outside their organisations, and down and inside them by position

### 6.3.9.8 Professionalism itself: relevant and applicable for the aid sector in South Asia?

Professionalism, in its current form, has been questioned regarding its suitability to meet IHDOs leaders' needs in South Asia (Chapter 3, section 3.6.1-3). The core tenets are questioned and questionable. Professional qualities (attitude and behaviour) compete with technical specialisation. Specialisation itself competes with the need, in rapidly changing and increasingly complex environments, for more generalist mindsets and approaches. Culture is not reflected in this spawn of western origin, yet IHDOs' leaders work constantly in multi-cultural environments. Altruism – viewed with differing opinions across the humanitarian-transitional-development continuum, and certification – a bone of contention in the current debate, require reconsideration. Respondents strongly agreed that redefining professionalism for the aid sector better supports successful IHDO leadership, presented in Figure 41.

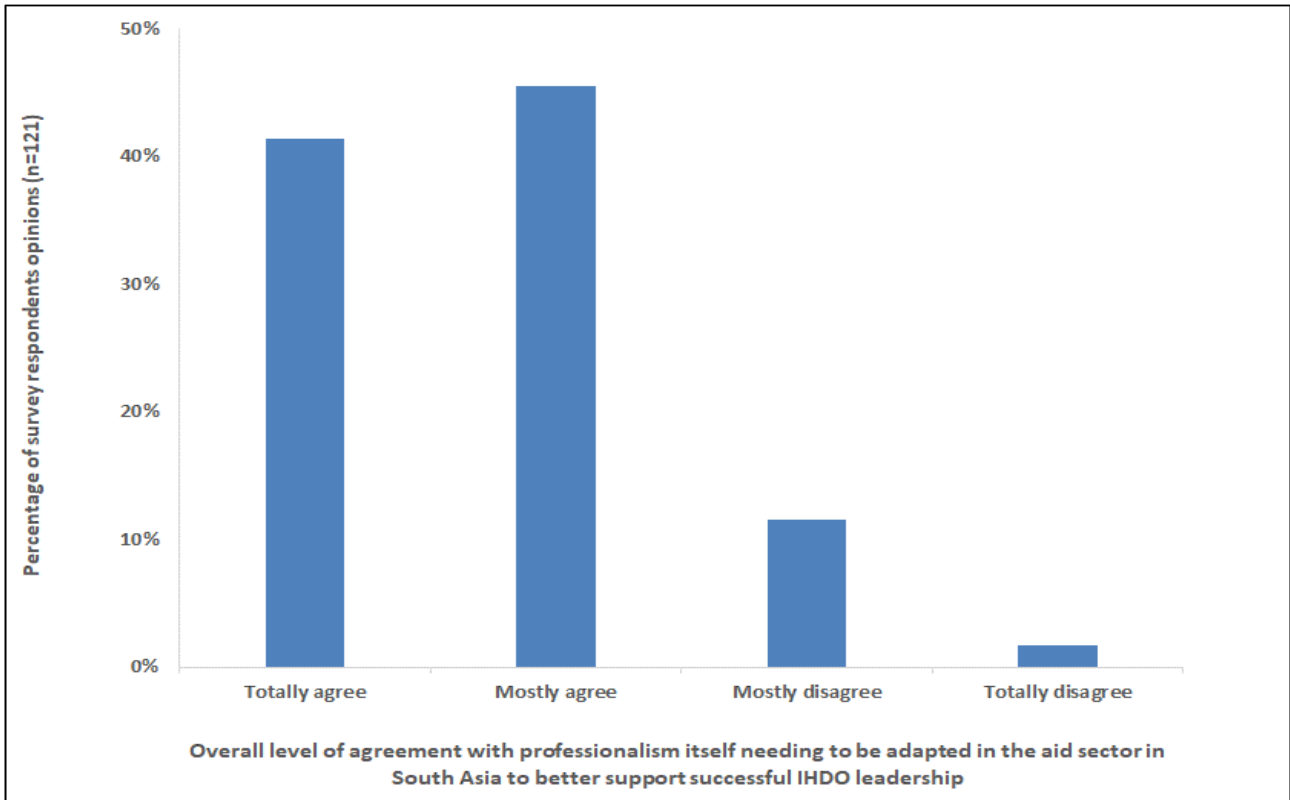


Figure 41: Overall level of agreement with professionalism itself needing to be adapted in the aid sector in South Asia to better support successful IHDO leadership

Yet perspectives from HQs' respondents differ distinctively to those from the countries' respondents, as seen in Figure 42.

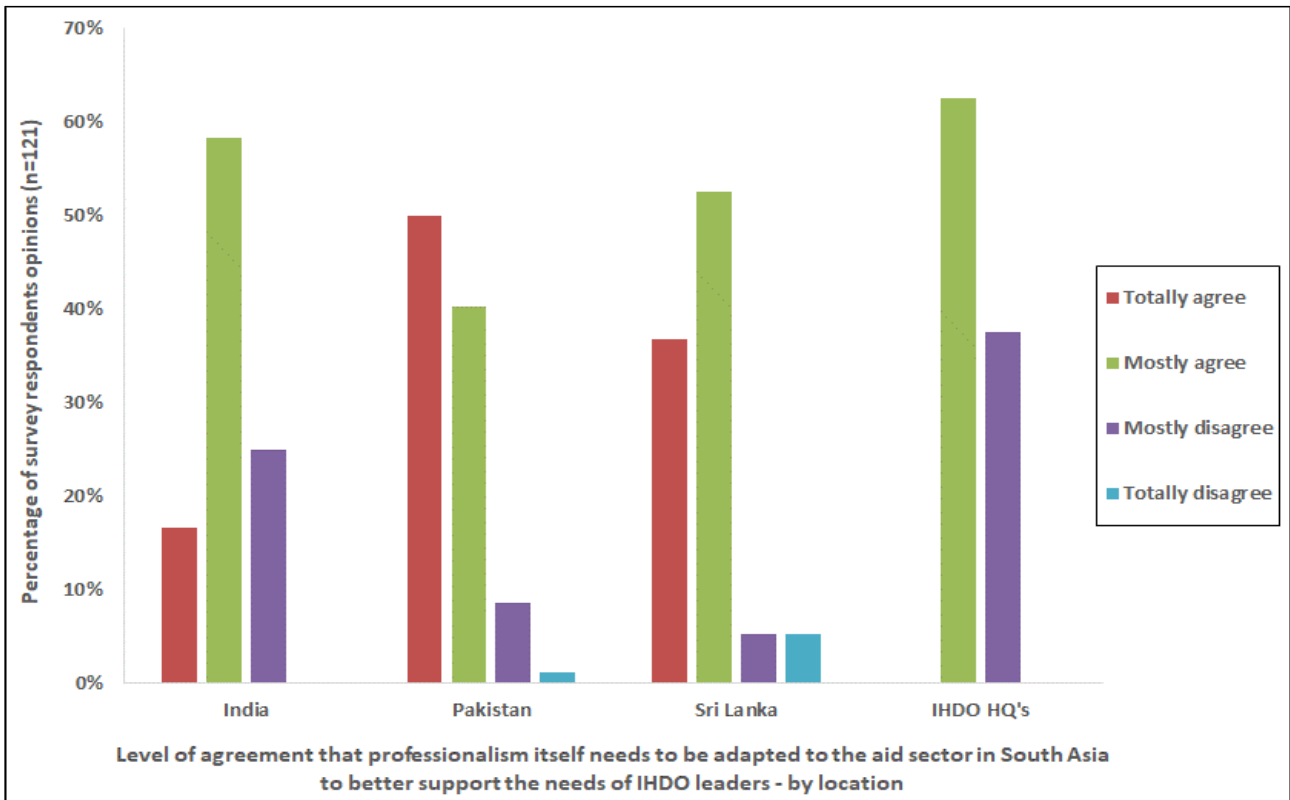


Figure 42: Level of agreement that professionalism itself needs to be adapted to the aid sector in South Asia to better support the needs of IHDOs' leaders by location

Policy around how professionalism is defined and applied within IHDOs, predominantly occurs at IHDOs' HQ-level. Without the need for a review of professionalism being felt by IHDOs' HQs, the elaboration of a new version of professionalism – that supports more successful leadership of IHDOs' operations in South Asia – may be stymied.

### 6.3.9.9 Leaders' self-development: is their own growth relevant for success in their work?

Leaders' self-development is considered extremely influential for IHDO leadership success (Chapter 2, section 2.2.3). Figure 43 presents opinions on this from the three organisational types.

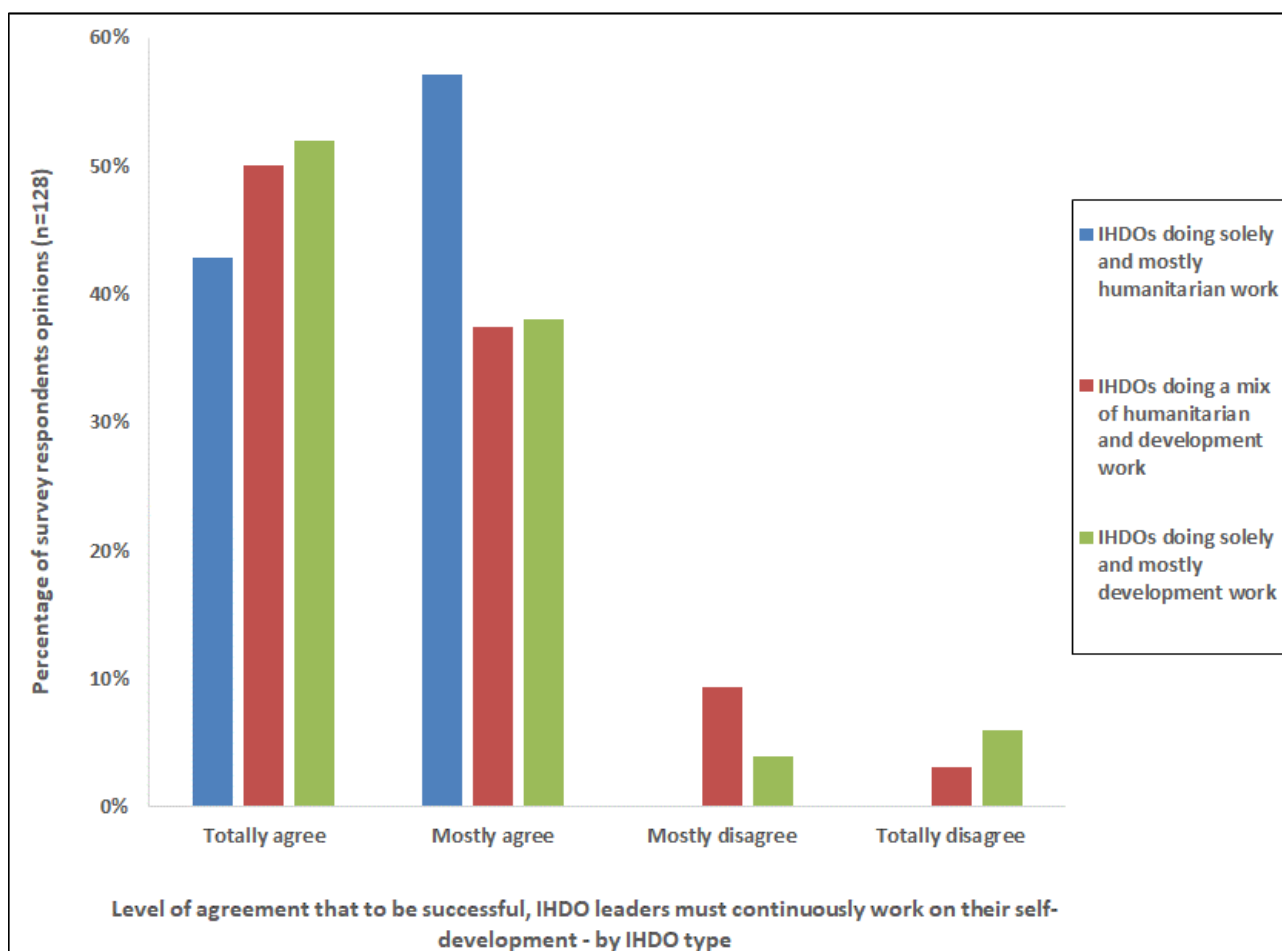


Figure 43: Level of agreement that to be successful, IHDOs' leaders must continuously work on their self-development by IHDO type

Leader's self-development, affiliated to their development readiness (Chapter 2, section 2.2.5), also aligns to the leaders' needs and interests, and demands placed on them by their IHDOs. Capacity development opportunities exist, but leaders' willingness to self-develop is generally not sought in IHDOs' recruitment processes, nor promoted as an important responsibility. Leaders are engaged to achieve results, and expected to come with relevant [dominantly] competencies, and



characteristics for this. Within high pressure complex working environments, time is not readily available for leaders to concentrate additionally on their own growth.

#### **6.3.9.10 Summary of all findings and analysis for professionalism**

Again, with the filtering necessarily applied to the findings and analysis in this chapter, much data has not been presented. However, this summary captures all the survey responses in relation to professionalism.

All respondents saw leader's self-development, emotional intelligence, behaviour, time-focus, and the need for professionalism to be adapted, as the most influential. Monopoly over knowledge, technical specialist skill and academic qualifications were rated the least influential. Certified entry to the sector caused the most diversified responses. Professionalism therefore needs redefining to be fit for purpose in South Asia.

Against all elements of professionalism's influence on successful leadership, European leaders were more sceptical than South Asian leaders. With some variation in the country responses, HQ respondents rated certified entry to the sector and the need to adapt professionalism as significantly less influential on leadership success. Policy on how professionalism can be adapted to better support IHDO leadership will be influenced by the difference of opinion between the IHDOs countries' representatives and those of the IHDO's HQs.

Followers saw a much higher need for certification than leaders. This indicated the continued promotion and prioritisation of hard qualifications over soft-skills for newcomers to the sector.

An altruistic attitude was seen as increasingly less influential with years of leadership experience. The reality of the terrain, the increasingly competitive nature of the aid 'industry', and demands placed on leaders may have influenced this thinking. It was, however, seen as more of an influence on successful leadership by South Asian than European respondents. This indicates the influence of cultural background and value systems, though, interestingly, divergent from the perspectives of Eastern and Western leadership culture, presented in Chapter 2, section 2.2.10

## 6.4 Conclusions of all the survey’s quantitative findings and analysis

Several trends in the perceptions of humanitarian, transitional and developmental organisations’ respondents were noteworthy, as shown in Table 22.

Whilst no completely opposing positions were presented, this further endorses the need for versatility in IHDO leadership generally, and specifically in cases where leaders move between different types of organisations in the aid sector in South Asia.

Table 22: Summary of aggregated organisational-type trends for successful leadership

Summary of aggregated organisational-type trends for successful leadership				
Thematic area	Aspect	Humanitarian	Transitional	Development
<b>Qualities</b>	IHDOs provide an enabling environment for use of intuition	Agree	Mostly agree	Partly agree
	Leaders need for charisma	Agree	Mostly agree	Partly agree
	Leaders need for listening skill	Agree	Mostly agree	Partly agree
	Leaders need for years of experience	Agree	Mostly agree	Partly agree
<b>Influences</b>	IHDO rules, regulations and procedures	Higher	Medium	Lower
	IHDO demands on their leaders	Higher	Medium	Lower
	Aid sector funding	Higher	Medium	Lower
<b>Professionalism</b>	Certified entry to sector	More important	Important	Less important
	Monopoly over and use of knowledge	More important	Important	Less important
	Technical specialist skill	More important	Important	Less important

Integrity, learning from error, trustworthiness, being respectful and honest, were the most importantly-rated characteristics, placed higher than all competencies, across all respondent types, genders, nationalities and locations. Nonetheless, they need more prominence in IHDOs’ HR policy and processes. Increased importance placed on learning from error with years of experience suggested lessons are not being learned and applied enough. However, less emphasis was placed on characteristics overall as compared to competencies. IHDOs have a responsibility to give more prominence to characteristics, in their recruitment, and in nurturing and developing these, both in their leaders and followers. This should be backed up by policy formulation in IHDOs’ HQs, where divergence in perspective from the countries’ respondents existed on the importance of characteristics for successful leadership.

The highest rated competencies for successful leadership were adaptability, ability to deal with conflict, being credible, having the ability to solve problems, and learning from and managing change. In relation to these competencies, it appears success is seen as a shorter-term phenomenon, where complexity, fragility and uncertainty requires more 'fire-fighting' from leaders. The lesser importance placed on providing a vision (ranked as 14<sup>th</sup> of 32) presented by IHDOs' leaders is testament to this. As with characteristics, leaders rated the importance of many competencies higher for leadership success than followers. Yet some of the 'professional competencies' – years of experience, qualifications, technical specialist skills – were rated the least important by all respondents. The low rating of a 'willingness to take risks' (ranked 29<sup>th</sup> of 32), may well be related to the demand for empirically-based decision-making and increasing institutional and organisational pressure to adhere to and apply procedures and standards.

Cultural competencies, seen as more important for leaders' success by European than South Asian leaders, were the exception to their general alignment of perception against all other competencies. Further, with more experience in leadership positions, more prominence was placed on the importance of cultural aspects, but particularly from respondents with leadership experience outside the aid sector. The culture of leaders and teams were rated as more influential than those of their IHDOs and countries of operation; there is space for IHDOs to place more effort in mainstreaming cultural dimensions and capabilities as contributing factors to successful leadership.

Versatility is essential for successful leadership in continuously changing environments, yet organisational space for it is dwindling. The operating context is the strongest driver (amongst many) for leader's versatility, but it does not feature in IHDOs' HR policies and practices. Intuition is essential and used daily in numerous contexts, more by South Asian than European leaders. Yet intuition is not promoted, nurtured, or measured in leader's performance appraisals. IHDOs need to provide more enabling environments for their leader's use of intuition, without fear of retribution, to be successful. IHDOs' HQs, responsible for policy formulation, need to backstop their organisations on this aspect in South Asia.

The operating context was rated the second highest influence after IHDOs' leaders themselves, on leadership success. Leader's action logic, development readiness, and professional interests were

given high ratings, and increasingly so by leaders with more experience. Yet institutional and organisational space for the learning associated with development readiness – an essential prerequisite for self-development – is shrinking (Chapter 7, sections 7.5.2, 7.5.4 and 7.7).

Whilst influences from the aid sector itself were not seen as highly influential, perspective of the sampled participants differed – sometimes strongly – in opinion (Chapter 7, section 7.6). However, respondents from humanitarian organisations gave more prominence to the influence of different funding mechanisms as compared to those from development organisations. The lesser-rated influences such as shifts in aid sector priorities, will have strong implications for IHDOs' leaders working in the South Asia region. Fragility, crises, naturally-triggered disasters, poverty, conflict and forced migration, climate change and the environment, are all prominent features of the shifting operational context in South Asia that will require leaders to attain new skills to remain successful.

Gender perspectives on professionalism were very much aligned, as were those of leaders and followers, with the exception of the locus of and collective leadership. These latter aspects brought out a broad range of divergent responses across all respondent typologies. This indicated either lack of understanding of the significant differences between roles, functions and tasks, or inferred different individual and organisational definitions.

IHDOs have a responsibility to ensure that all influencing factors are addressed in their HR policies and practices, in order that their leaders be successful. This includes enforcing the need for leaders to appropriately allocate their time looking up and outside their IHDOs (e.g. concentrating on boundary scanning, evaluating the context and managing relationships with other stakeholders), as down and inside (e.g. on their internal functions and tasks, providing vision and orientation to their teams, and oversight of the implementation of policy and procedures), endorsed strongly by all respondents.

Professionalism, and the professionalisation of the aid sector, remain disputed. Whilst private sector actors and influences already exist in the aid sector, diverse opinions (across the range of respondent typologies) about their involvement, also remain. Professionalism's three central tenets were not seen as impacting on successful leadership by all respondents. The need for leader's versatility – dominantly driven by their operating contexts and demands – is juxta-positioned with

professionalisms' main elements: technical specialisation and academic qualifications, themselves rated the least important by all respondents. Professionalism's softer tenets (attitude, behaviour, EI), compete with its demands for hard skills, and certification. Professional characteristics feature to a far lesser extent in western-based IHDOs' HR recruitment processes and practice. Yet South Asian respondents (both leaders and followers) placed far more prominence on these qualities than European respondents; this has implications for the successfulness of European and western leaders working in South Asia.

Professionalism remains controversial, yet goes with the increasingly competitive nature of the aid sector, or 'industry'. Yet monopolising knowledge – one central tenet – contravenes the sectoral demand for transparency. Professionalism needs to be adapted to better suit the needs of IHDOs' leaders and the aid sector, yet HQs' leader-respondents were generally not in favour. Several other 'differences of perspective' between HQs and country-level respondents are highlighted in Table 23.

Table 23: Summary of differences between HQs' leaders and South Asian countries leaders' perspectives

<b>Summary of differences between HQ leaders' and country (South Asia region) leaders' perspectives</b>						
<b>Aspect</b>	<b>Importance</b>	<b>High</b>	<b>Mostly-high</b>	<b>Medium</b>	<b>Mostly-low</b>	<b>Low</b>
Approachability for leadership success			HQ	Country		
Charisma for leadership success					Country	HQ
Credibility for leadership success			Country	HQ		
Dependability for leadership success		HQ		Country		
Diplomacy for leadership success				HQ	Country	
Empowerment for leadership success		HQ		Country		
Independence for leadership success					Country	HQ
Inter-cultural relations for leadership success			HQ	Country		
Maturity for leadership success		HQ	Country			
Respect for leadership success		HQ	Country			
Risk-taking for leadership success			HQ		Country	
Strategic thinking for leadership success		HQ	Country			
Supportiveness for leadership success			HQ	Country		
Versatility is measured in leaders' performance appraisals				Country	HQ	
Main stakeholders need leaders to use intuition				Country		HQ
Leaders' professional interests and needs			Country	HQ		
The importance of academic qualifications					Country	HQ
The importance of years of experience					Country	HQ
The promotion of ethical and moral standards		HQ	Country			
Professionalism needs adapting to support leaders' success			Country		HQ	

Certainly the operating contexts differ between IHDOs' HQs and their country structures in the South Asia region. However, the implications of higher-level policy (re)formulation (that must be translated into practical application), should be considered carefully.

Leaders' self-development was the highest rated and most important element for their success within the category of professionalism, and one of the highest overall rated elements in the survey: by all respondents. Yet in Chapter 7, several aspects that hinder this – mostly institutional and organisational – are presented. Again, IHDOs clearly have a responsibility to internalise this issue in the way they handle their HR policies, processes and practices, if their leaders – who represent them in South Asia – are to be successful.

The implications from all these quantitative findings, adhering to the research's methodology and explanatory sequential design, informed and shaped the structure and content of the qualitative sampling organisations' KIIs and FGDs, now presented in Chapter 7.

## 7. Qualitative sampling organisation’s responses: combined findings and analysis

### 7.1 Overview of this chapter

This chapter presents the results of KIIs and FGDs held with sampling organisations’ participants. A number of participants requested anonymity (Chapter 4, section 4.8) which has been respected in presenting their statements. Following the *explanatory sequential design* (Chapter 4, section 4.5), this chapter is based on findings extrapolated from the online survey, addressing thematic elements of the research questions comprising: leadership characteristics; competencies; attributes; influences, and professionalism. Participants’ descriptive opinions and perspectives are analysed, interpreted and conceptualised. Their statements endorse, substantiate, dispute, diverge from or add new dimensions to the survey’s findings. Additionally, participants’ responses are compared to identify further trends, similarities or discrepancies of perspective on the different themes.

### 7.2 Overview of participants, and their selected and presented responses

Five participant types were established (Chapter 5, section 5.2.4). Coding was applied to categorise and structure all participant KII and FGD responses. Prior to examining these qualitative responses, a meta-level overview of the participants and coding categories used is presented in Table 24.

Table 24: A meta-level presentation of the sampling organisations’ participants and coding categories

<b>9 participant nationalities</b>	Indian; Pakistani; Sri Lankan; British; French; German; American; Dutch, and Croatian	
<b>23 participant engagements</b>	16 interviews	7 focus group discussions
<b>52 participants by gender</b>	27 males	25 females
<b>5 participant typologies</b>	Leaders, followers, donor representatives, HR representatives, and host government representatives	
<b>8 Countries of interaction*</b>	India, Pakistan, Sri Lanka, France, Germany, Thailand, US, and the UK	
<b>8 organisations</b>	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), Medicines Sans Frontiers (MSF); Oxford Committee for Famine Relief (OXFAM); German Government's Ministry for Economic Cooperation and Development (BMZ); British Government's Department for International Development (DFID); European Commission's European Civil Protection and Humanitarian Aid Operations (ECHO); Sri Lankan Government's Ministry of Finance - Department of External Resources (MoF), and Pakistani Government's Economic Affairs Division (EAD)	
<b>137 coding categories**</b>	17 main categories	120 sub-categories

\* Countries where sampling organisations’ KIIs and FGDs took place, and from where required approvals were obtained from the three sample organisations: MSF, Oxfam and GIZ

\*\* A full list of all coding categories is presented in Annex 11

From these diverse positions, yet with a common focus on successful IHDO leadership in South Asia, the participants' opinions, observations and perspectives are presented.

### 7.3 Characteristics

*“Leadership is the concentration of all your good characteristics. A leader needs lots of [them] in a very concentrated form and s/he needs to be able to use them ... whenever needed, very quickly”*

Development Councillor BMZ, Pakistan. Personal communication, 01.11.16

Of these ‘good characteristics’, all participants endorsed the survey respondents’ ratings that integrity, trustworthiness and learning from error were the three most important (Chapter 6, section 6.3.1.1). According to one IHDO’s FGD member in India, *“Integrity is something inherent ... but is exhibited in your external interactions”* (Personal Communication, 18.11.16). By showing integrity, leaders lead by example, building trust within those around them. This in turn reduces the fear of making mistakes, enables an environment of learning from them, and further nurtures self-confidence in the followers (FGD members GIZ, Pakistan and Sri Lanka. Personal communications, 15.10.16; 15.11.16). To develop this integrity, according to one Country Director in Pakistan, leaders should display the behaviour they want in others (Personal communication, 15.11.16). This was endorsed by several Country Directors and FGD members, who associated integrity and trustworthiness with leaders needing to be ‘role models’ (Personal communications, 12.10.16; 15.11.16; 12.12.16). The Country Director of Oxfam in India further asserted that, *“Integrity is actually a non-negotiable area [for] a leader of any organisation”* (Personal communication, 03.11.16).

Willingness, curiosity and interest to ‘listen and learn’ were also emphasised as important by several participants. The Senior Regional HR Manager Oxfam, Asia, presented that, for successful leadership, *“Curiosity is absolutely critical, and that links in with listening. Listen to be curious, listen to learn, and listen for sharing”* (Personal communication, 23.10.16). One Country Director in Pakistan placed importance on having, *“This ‘like for learning’ ... as a basic principle of you being in a leadership position [and] to be interested”* (Personal communication, 15.11.16). Another Country Director in Pakistan cautioned that, *“We are sent to another country far away from our own country.*



*I think we do not realize how important it is to listen, observe, and respect the culture we are working in*” (Personal communication, 24.10.16). To ensure this, IHDOs need their leaders to, *“Demonstrate a strong moral compass, clearly demonstrate the values and integrity of their organisations, and to reflect them (values and integrity) as individuals”* (Country Director Oxfam, Sri Lanka. Personal communication, 12.10.16). However, the representative role that IHDOs’ leaders have, according to a Senior Governance Advisor of a major donor in Pakistan, is influenced by their organisations, that *“Need to get bright people who can be culturally melded or moulded, so they can’t be completely out-of-the-box thinkers. But within that, they have to show those characteristics which are expected of great leaders in that institution”* (Personal communication, 29.11.18). It is equally the responsibility of the IHDOs to provide their leaders with legitimacy, to ensure they have credibility in the eyes of those they are leading (Idem).

Two Senior HR Representatives from Oxfam and MSF commented on two other characteristics required; one of leaders being inspiring, and the other, having humility (Personal communications, 23.10.16; 23.11.16). However, *“What we’re now seeing less and less of in our leadership is humility, and I think that’s a very dangerous trend because power is great: being a leader, being head of a large country office, [having a] huge team, lots of money...”* (Country Director Oxfam, Pakistan. Personal communication, 02.11.16). The need for greater humility was mentioned by several participants, with one stating, *“Humility is a massive value, [and] that links back to the ego side of things; ... I’d say strike out egos in the development sector”* (Regional HR Manager Oxfam, Asia. Personal communication, 23.10.16).

On a much larger scale, and far more concerning, was the lack of emphasis placed by IHDOs on the importance generally of leadership characteristics, as opposed to leadership competencies; stressed by Country Directors and HR Representatives from all three sampling IHDOs. This is widespread across the aid sector, in all stages of HR management, from recruitment, through staff development to performance appraisal (Chapter 3, section 3.5.2.2). Whilst all the sample IHDOs ran various leadership training and development programmes, focused on developing competencies (skill and knowledge) rather than characteristics, none were specifically designed for Country Directors (Personal communications, 12.10.16; 14.10.16; 24.10.16; 02.11.16; 29.11.16; 12.12.16). This

emphasis of competencies over characteristics was presented as being prevalent at all levels of IHDOs by one FGD member from Oxfam in Pakistan, who succinctly captured this imbalance by stating, *“If there are areas that I need to work on in my characteristics, then I don't have [any] support. When it comes to capacity building or enhancing your current skills, it always goes back to your competencies, not your characteristics; there are no structured mechanisms through which we can support an individual to inculcate the characteristics that are required”* (Personal communication, 15.11.16).

Yet certain characteristics are essential for IHDOs' leaders in relation to their operational contexts. According to one Country Director in Pakistan, leaders need *“To be able to have the stamina to live with ambiguity”* (Personal communication, 15.11.16). Realistically, the Development Councillor from BMZ, Pakistan highlighted that IHDO leader's need, *“A certain characteristic that allows you to cope well with failure, frustration, very gradual change, or no change”* (Personal communication, 01.11.16). These pragmatic perspectives demand that IHDOs leaders' stamina and coping strategies are accompanied by a strength of resolve to change what is possible and accept what is not. The Country Director of Oxfam in Sri Lanka pertinently stated that, *“We need to have much more courage to be realistic about what we're delivering at the moment and much more courage to be more ambitious”* (Personal communication, 12.10.16). Courage requires a high level of confidence and trust within the leaders' themselves; in their own abilities, convictions, and willingness to follow the paths of their decisions. This is the case even if it means challenging the status quo and opposing forces such as outmoded institutional or contextual norms and expected protocols (Chapter 3, sections 3.5.2.2). These latter parameters influence to what extent leaders' characteristics can be optimised or are restrained. As such, leaders should be able to justify their choices and behaviour. This requires a meaningful self-reflection, self-analysis and self-validation, wherein, and according to an astute recommendation from one Country Director in Pakistan, *“We have always to be able to watch ourselves in the mirror”* (Personal communication, 24.10.16).

### 7.3.1 Summary of characteristics

Whilst specific characteristics are essential for successful leadership, they are given far less prominence by IHDOs than those of competencies. Key amongst these, endorsed by both survey and sampled organisations' participants, are integrity, trust, learning from error, self-confidence, courage, and the will to listen and continuously learn. These characteristics, amongst many others mentioned, are innate and part of leaders' basic human traits. As such they should be sought after, nurtured, and developed by their organisations. Leadership development, coaching and mentoring, and training programmes exist, yet they focus predominantly on improving hard technical or managerial skills and broadening or heightening knowledge areas of competence. The enhancement of necessary characteristics for good leadership is given far less emphasis, including at the level of Country Director.

The realities and complex contexts faced by IHDOs' leaders on a daily basis, require them to draw on and utilise their characteristics to be successful. Yet IHDOs and the aid sector generally appear to side-line characteristics in favour of more tangible, quantifiable qualities for achieving humanitarian, transitional, developmental and organisational goals.

### 7.4 Competencies

*"We're talking about change, bringing a change in people's life, bringing a change in people's lifestyle, bringing a change in people's thinking"*

Country Director Oxfam, Pakistan. Personal communication, 02.11.16

Adapting to, managing, delivering and learning from change requires a set of competencies demanded constantly of IHDOs' leaders (Chapter 3, section 3.5.3; Chapter 6, section 6.3.2). This necessitates versatility but also an understanding of the importance of keeping an eye on the broader landscape as, *"People expect that leaders are able to anticipate situations coming up, anticipate the consequences, and identify measures in order to meet challenges successfully"* (IHDO Country Director, India. Personal communication, 12.12.16). From another perspective, donors also see the need for IHDOs' leaders to, *"See the bigger picture; to get out of their tiny project horizon ... see the bigger political landscape, [and] the sector"* (Development Councillor BMZ, Pakistan. Personal

communication, 01.11.16). The ability to scan horizons and anticipate and respond to the changing situations within which leaders operate, demands that they are also able to translate their interpretation of what they're seeing for their teams and other stakeholders (Senior Regional HR Manager Oxfam, Asia. Personal communication, 23.10.16). This thinking is supported by the Country Director of Oxfam in India, who believes leaders need not just the ability to *implement*, but also *influence* at a national level (Personal communication, 03.11.16). However, this requires a high level and set of capabilities, including but not limited to knowledge of the country and context (interestingly, not rated as very important by the survey's respondents), diplomacy, negotiation and mediation skill, and excellent communication skills. In spite of the above, whilst leaders are expected to bring a set of well-tuned competencies to their organisation in a given country of operation, according to a Senior Representative from the Pakistani Government, "*They should not bring their own agenda to impose on the people of Pakistan or the government. The more they are able to understand the needs and the issues for development assistance, the better they will be able to work*" (Personal communication, 30.01.17). This sentiment was endorsed by a Director of the Department of External Resources of the Ministry of National Policies and Economic Affairs, Sri Lankan Government, with a clear orientation to IHDOs' leaders, that "*They should get local support from the local staff, otherwise they will be totally blind*" (Personal communication, 13.10.16). Understanding of and interaction with the local context therefore reinforces IHDOs leaders' needs for adaptability, as well as cross, inter and intra-cultural competencies (Chapter 2, section 2.2.10).

Endorsing the sentiment of the survey's respondents, various aspects of cultural competence were highlighted by the sampled organisations' participants. These included not only the need for leaders to have developed the ability to appreciate the diversity associated with culture, but to have demonstrated this in their previous leadership roles, '*With evidence and reference*' (Country Director Oxfam, Pakistan. Personal communication, 02.11.16). However, culture itself remains starkly absent from the main leadership theories (Chapter 2, section 2.2.1). Thus, leaders coming new to the aid sector and to IHDOs will, "*Need to strike a really good balance between understanding what the culture and values are, but be aware that some of it will be a challenge*" (Country Director Oxfam, Sri Lanka. Personal communication, 12.10.16). Clearly, there is far more room for improving western

leaders' cultural competencies, as, according to FGD members from sampled organisations in Pakistan and Sri Lanka, *"Based on experience of working with international staff ... [we] have seen lots of cultural disasters when it comes to leaders"; "We have faced that block of not being understood, or they have not been able to communicate in a manner in which we communicate"* (Personal communications, 15.10.16; 18.11.16). Yet the very nature of the work IHDO leader's do, takes them into multicultural, multinational environments, and often in very difficult circumstances (IHDO Country Director, Pakistan. Personal communication, 24.10.16). Thus, cultural awareness in leaders must include knowledge and experience of the advantages and challenges of cultural diversity, and, where relevant, the ability to challenge cultural norms and values. This argument is supported from an alternative perspective by FGD members of Oxfam in Pakistan, stating, *"A good leader is one who actually brings change in the culture, because culture is not stagnant"* (Personal communication, 02.11.16). Further, *"Once leadership start moving into uncomfortable questions on cultural diversity, maybe things will be a little different"* (IHDO FGD member, India. Personal communication, 18.11.16). Consequently, IHDOs leaders' abilities to adapt to, bring and learn from change – be it cultural or otherwise – are essential for success.

Nonetheless, change sometimes comes as a shock for which resilience and the ability to manage uncertainty are also competencies that leaders require (Senior Governance Advisor of a major donor, Pakistan. Personal communication, 29.11.16). However, to capably respond to and manage change, leaders must equally be ready and able to change themselves. *"We are in a fluid environment ... and if we didn't change, and didn't adapt, then we cannot be role models"* (IHDO Country Director, Pakistan. Personal communication, 15.11.16). Leaders must be able to renew and innovate themselves to remain 'fit for purpose', and as role models (Country Director Oxfam, India. Personal communication, 03.11.16). This requires the capability for self-reflection, and for leaders to be able to create the space necessary for learning, innovation and improvement, within themselves and their teams (Various KII and FGD participants. Personal communications, 03.11.16; 15.11.16; 23.11.16; 29.11.16). Indeed, leaders' accumulated knowledge, based on this learning, should underpin, *"The ability to have enough theoretical background that contributes to but does not prevent or limit innovation, [nor] prevent tailor-made solutions, and avoids one-size-fits-all"* (Country Director

Oxfam, Sri Lanka. Personal communication, 12.10.16). Therefore, knowledge gained over years through practical and academic experience should shape the way leaders operate, but not dominate them, as, *“One of our struggles is actually how we get leaders to unlearn what they have learned, to open their minds and be able to be innovative”* (Regional HR Manager Oxfam, Asia. Personal communication, 23.10.16). For leaders to unlearn, relearn, be innovative, work in diverse and complex contexts, and be versatile for all this, necessitates that their IHDOs actively seek and then nurture these capabilities. Yet Country Directors and HR Representatives from all three sampled organisations, whilst promoting their ‘leadership and senior management training’, admitted that they do not offer programmes tailored specifically to the needs of Country Directors (Personal communications, 23.10.16; 24.10.16; 02.11.16; 29.11.16; 12.12.16). More positively, leadership abilities are at least being identified in IHDOs’ recruitment processes, as, according to the HR Manager GIZ HQ, Germany (having also worked in this role in both Pakistan and Sri Lanka), *“We definitely do look more into leadership skills than before. This will be reflected in future, with changes to the old-fashioned vacancy announcements and job descriptions”* (Personal communication, 29.11.16). With this outlook, to be successful, IHDOs’ leaders still need an, *“Ability to lead from the front, the back, the sides, but really to be an inspirational leader, keeping the cause at the front, [asking] ‘Why are we here every day?’”* (Regional HR Manager Oxfam, Asia. Personal communication, 23.10.16).

#### **7.4.1 Summary of competencies**

Leaders need to be ready and capable to learn, unlearn, adapt to and manage change: in themselves, in their teams and stakeholders, and within their environments. To be successful, they must have an ability to look down and inwards, in themselves and their IHDOs, as well as up and outwards at the bigger picture (Chapter 6, section 6.3.9.7). They need to bring, and develop, a set of competencies that inspire, encourage and optimise both cultural diversity and similarity.

With reflection and enhanced understanding of the complexity of their surroundings, they must be able to lead, from numerous positions, with focus and rationale. This requires a solid and broad background of experience and knowledge, and excellent skills including those of communication. On a daily basis, leaders must solve problems, take risks, and make decisions, sometimes in dangerous

and changing environments (Chapter 3, sections 3.3.3; 3.5.2 and 3.5.3). Using these competencies effectively, will not only influence how successful they will be as leaders, but contribute directly to the accomplishment of their IHDOs and the sector's objectives.

## 7.5 Attributes

Blending elements of both characteristics and competencies, the two attributes of versatility and intuition – missing from much of the literature reviewed (Chapter 2, section 2.2.7) – were both seen as essential for successful IHDO leadership by the survey's respondents (Chapter 6, sections 6.3.3 and 6.3.4). They were therefore specifically followed up with the KIIs and FGDs.

### 7.5.1 Versatility

*“One size does not fit all in this society and this culture ... and the whole South Asian culture. Leaders really have to adapt to the local situation and to understand the local dynamics”*

Senior Representative, Government of Pakistan. Personal communication, 30.01.17

Faced with the diversity of South Asia (Chapter 3, section 3.2), and the continuously changing and evolving aid sector within this environment, IHDOs' leaders must be versatile (IHDO FGD member. Personal communication, 18.11.16). But, *“By nature, you don't control the environment. You're there because the environment has a problem, or your context has a problem, and that changes very quickly”* (IHDO Country Director, India. Personal communication, 23.11.16). 'Change' was presented as a main driver for leaders to be versatile, as it was for leadership competencies. According to one IHDO's Country Director in Sri Lanka, *“Our context will change how we have to work ... because as a leader, things change all the time, so you are working in a changing environment. Funding institutions' change, goals change, cooperation mechanisms change, but that's a normal thing”* (Personal communication, 14.10.16). Continuous change requires leaders to have a proactive ability to adapt to different circumstances, to behave appropriately within them, yet also to provide an array of different approaches and solutions to what is faced (Chapter 3, section 3.5.3). This can be within the leader's organisation, the country of operation, or the wider aid sector itself, as, *“We all move all the time, we need to be super flexible, especially in this environment of quickly changing employers,*

*quickly changing countries, and quickly changing everything. The organisation and the donor that you belong to needs to be yours for that moment, knowing that it can change quickly*” (Development Councillor BMZ, Pakistan. Personal communication, 01.11.16). Understanding this, one IHDO’s Country Director in India asserted that the aid sector itself cannot be homogenous, as the needs of the people, organisations and countries that require assistance, are all different (Personal communication, 23.11.16). Presented starkly by another IHDO’s Country Director in India, *“If you don’t have the ability to deal with this great array of very different situations and demands that is put on leaders, then you cannot do the job”* (Personal communication, 12.12.16). This ‘versatility to do the job’ was also reiterated from the followers’ perspective, where, without the capacity to adapt to change, leaders could not effectively lead teams, provide services, or work in different cultures (FGD members GIZ, Pakistan. Personal communication, 15.11.16). The Country Director of Oxfam in Sri Lanka made astute connections between what was seen by all participants as the normalcy of constant change, advance preparation for it by good leaders, and potential outcomes, in saying, *“When change occurs, you need to act. You don’t have lots of time to think about what you’re going to do, and it will never happen the way you imagined it. The more you thought, the more you prepared in advance, the shorter the response time. In turn, the response is more relevant, more efficient ... and it will cost you less”* (Personal communication, 12.10.16).

Several facets of leaders’ versatility were also mentioned by Country Directors from all three sampled IHDOs. These included leader’s willingness to accept new challenges and contexts; their ability to create their own space within these contexts; to look at situations from different perspectives; to take a multi-level approach; to have the capacity to make time for reflection, and the capability to quickly identify and utilise the right instruments appropriately for any given situation (Personal communications, 14.10.16; 03.11.16; 15.11.16; 23.11.16). This diversity of needs is reflected in IHDOs de-facto seeking of versatility (though in actuality only seeking flexibility and adaptability) when recruiting their leaders (Chapter 2, section 2.2.7), while, according to the Head of HR MSF, India, *“We do look for people who ... do not use the same approach in dealing with a problem”* (Personal communication, 03.11.16). Yet highlighted again was the need for more freedom to be versatile, not just the ability of leaders to create it for themselves. One IHDO’s Country Director in



Sri Lanka ruefully stated, *“I’m asked to be versatile, and I have some space, but this space gets smaller and smaller because our rules or systems gets more and more difficult to handle”*. They added, *“When you are professional, you learn that you need those spaces for reflection”* (Personal communication, 14.10.16). This was supported by an IHDO’s Country Director in India, when stating, *“The space is there, but it’s very difficult for leaders to always take that space for reflection because they are just so busy”* (Personal communication, 23.11.16). Thus, leaders and their IHDOs have a responsibility to make the time and space for versatility, so that the leaders themselves can be successful. One IHDO’s Country Director from Pakistan associated this versatility for success not just with leaders’ abilities, but how they were perceived: *“You are not black or white, you are colourful. You portray a big spectrum of adjectives and display them in your daily behaviour”* (Personal communication, 15.11.16). This was aptly captured by the Country Director of Oxfam in Pakistan, with the following analogy: *“You need to be a chameleon to be a leader because you need to be able to adapt to the external and internal environment, sometimes very quickly, in order to be effective and efficient”* (Personal communication, 02.11.16).

### **7.5.2 Summary of versatility**

Constant change in context and numerous demands from a variety of sources require that leaders be versatile in order to be successful. The South Asian region exemplifies this situation (Chapter 3, section 3.2). The perpetual movement of leaders within and between organisations and countries, and across, in and out of the aid sector, equally demands their capability to adapt, with aptitude, to the range of situations and challenges they face. However, space for leaders to use versatile behaviour is dwindling, confined by institutional obligations, systems and regulations. It is up to leaders and their IHDOs to promote, facilitate and nurture leader’s versatility, for them to be able to deliver successfully.

### 7.5.3 Intuition

*“There is no book about how to make change work; therefore, you have to use your intuition”*

Senior Governance Advisor of a main donor, Pakistan. Personal communication, 29.11.16

All participants concurred with each other and with the survey’s respondents: intuition is an essential attribute for IHDOs leaders’ success (Chapter 6, section 6.3.4). According to the Country Director of Oxfam in Sri Lanka who has worked in conflict, post-conflict, transitional and development settings, intuition was very helpful in all these contexts (Personal communication, 12.10.16). This is supported by Programme Representatives from ECHO, India, who stated that, *“Natural disasters and conflicts are critical situations where intuition of the leader is very important”* (Personal communication, 18.11.16). Therefore, intuition facilitates leaders to operate successfully in diverse and changing environments prevalent in the aid sector (Chapter 3, sections 3.3.1; 3.3.3; 3.5.2, and 3.5.3). According to one IHDO’s FGD member in Pakistan, *“The rules are defined, but not permanent. If [they] are not composite enough, that’s when intuition really is working”* (Personal communication, 02.11.16). Furthermore, *“Intuitive thinking is what creates inventions; is what creates change. It’s an attribute of good leadership because without it, leadership will just be [a] steady state”* (Senior Governance Advisor, major donor organisation, Pakistan. Personal communication, 29.11.16). According to an IHDO’s Country Director in India, the aid sector is also very much dependent on innovation, and as such there is quite a need for intuition (Personal communication, 12.12.16). This innovation and ‘creation of change’ is something all IHDOs’ leaders and their organisations are (or should be) aspiring to achieve: be it in improving people’s lives and livelihoods, or in enhancing the socio-economic conditions and political or governance environments around them (Chapter 3, sections 3.5.2.1 and 3.5.3). Part of any change process requires leaders to make decisions, though, *“Sometimes not all the evidence is at one’s fingertips at one go, and therefore intuition to trust one’s own judgement is absolutely key”* (Regional HR Manager Oxfam, Asia. Personal communication, 23.10.16). Further, *“There are a lot of grey areas where your decision-making becomes very difficult. In such a situation... intuition comes in”* (IHDO FGD member, India. Personal communication, 18.11.16). One FGD member from Oxfam in Pakistan took this further, boldly stating that, *“Without*

*using intuition, you stop taking very daring decisions or daring steps in your professional life*” (Personal communication, 02.11.16). Decision-making also relates to another leadership function, where *“When it comes to strategic planning ... you need a certain amount of intuition to know how the game's going”* (Development Councillor BMZ, Pakistan. Personal communication, 01.11.16). For leaders to use intuition in decision-making within high-risk and diverse contexts, and for strategic planning, confidence is required. But according to one Country Director in Sri Lanka, *“You can develop intuition for yourself, but you have to be confident. You don't have to be afraid of something. I think this is a huge problem because people are very often afraid of decision-making”* (Personal communication, 14.10.16). Several participants brought out this aspect of fear related to leader's use of intuition. Aside from personal intrinsic traits, these included several extrinsic reasons, including: fear of repercussions of a decision gone wrong; negative auditor's reports; beneficiary complaints, and institutional environments and conditions requiring compliance based on empirical, scientific and logical rationale being used for transparent and accountable decision-making (Personal communications, 14.10.16; 15.10.16; 24.10.16; 02.11.16; 15.11.16; 12.12.16). As the Senior Governance Advisor from a major donor in Pakistan stated, *“It's the environment around the leader that creates the space or the lack of space for intuitive thinking, (i.e. the rules, the frameworks, the incentives)”* (Personal communication, 29.11.16). This 'lack of institutional space or freedom' was mentioned by many participants as a hindrance to successful leadership, not only in relation to using intuition. *“We are buried with emails, with appointments and so on... [and] this definitely negatively impinges on intuition and creativity”* (IHDO Country Director. Personal communication, 12.12.16). Another IHDO's Country Director in Pakistan added, *“At the end of the day, you don't leave enough space for your intuition. Because you have to follow the policy”* (Personal communication, 24.10.16). So, it takes courage and self-confidence to utilise intuition, as, *“You make decisions based on scientific logic, because the system tells you, ‘This is the way to do it’. But that may be against your gut feeling.”* (IHDO FGD member, Sri Lanka. Personal communication, 15.10.16). This applies not just to carrying out their functions, but also in the way leaders interact with their teams. According to one IHDO's Country Director, *“As a leader, you have to have beliefs; you have to understand your own leadership style; you need to have principles. It's not only intuition, but intuition sometimes*

*makes you go the extra step*” (Personal communication, 15.11.16). This ‘belief in oneself’ is also critical: *“Leadership is often about being able to inspire, being able to coalesce people around directions. If the intuition is that you do something, then you yourself have a belief in that. It makes it easier to lead in that direction”* (Senior Governance Advisor, major donor organisation, Pakistan. Personal communication, 29.11.16). This sentiment was supported by the Country Director of Oxfam in Pakistan, stating, *“Those that have strong confidence would be able to exhilarate their intuition. If you're not confident with yourself, with your ideas or your thoughts, you wouldn't be able to make use of that intuition”* (Personal communication, 02.11.16).

Nonetheless, risks do exist with a leader's use of intuition. Intuition is a natural phenomenon and intrinsic to basic human behaviour (IHDO FGD member, India. Personal communication, 18.11.16). As such, *“Intuition is based on your lifetime of experience ... But if you've had a very negative past, a person's intuition could be right or wrong”* (FGD member Oxfam, Pakistan. Personal communication 02.11.16). Further, and in relation to using intuition under pressure, *“During a crisis period when the situation is quite serious ... emotions will run high. In such a scenario intuition can be very much influenced by your emotion”* (IHDO FGD member, India. Personal Communication, 18.11.16). Another IHDO's Country Director in India also made the implicit connection between intuition and emotion, when stating that, *“Especially in our fast-changing world, intuition is necessary, but you cannot really control it”* (Personal communication, 12.12.16). For leaders to operate successfully in these and other contexts in the aid sector, one IHDO's Country Director from Pakistan stated, *“You need to have a set of tools and instruments as a leader to be able to react in an adequate manner in a certain situation. And you have to be aware of the tools that you have. It cannot all be intuition”* (Personal communication, 15.11.16).

With knowledge of the clear benefits and advantages of leaders using intuition, yet awareness of the associated constraints and risks, IHDOs still have a responsibility to factor intuition into their HR management processes, from recruitment to performance appraisal. This is succinctly captured by the Regional HR Manager from Oxfam, Asia: *“We need to be making sure that we're recruiting people who can think on their feet, who can negotiate, who have confidence in themselves, to keep flexing within their own personalities and within their own professional areas to be able to keep*

*moving forward, and that's where intuition comes in"* (Personal communication, 23.10.16). However, in relation to the survey's responses on IHDOs measuring intuition in their leaders' performance appraisals, the participants generally agreed that this was not happening (Chapter 6, section 6.3.4.1), and suggested a variety of reasons why. These included its intangible nature, the subjectivity of parties involved, and the difficulty in defining both criteria to measure intuition against, as well as indicators to ascertain, with certainty, its individual impact. Nonetheless, whilst, *"Intuition, perhaps, cannot be measured... what can be measured is the ability to look for such kind of behaviour when recruiting somebody. And then ensuring that kind of behaviour is encouraged in the leadership model"* (Country Director Oxfam, Pakistan. Personal communication, 02.11.16).

#### **7.5.4 Summary of intuition**

Intuition, its uses, enablers and influences, hindrances and risks, are presented in the following two Tables 25 and 26. These capture not just the summarised findings from all sampled organisations participants' KIs and FGDs on intuition, but also present findings from the survey responses, and the limited literature on the attribute.

Table 25: IHDOs' leaders and intuition: when intuition is used, its enablers and influences

IHDO leaders and intuition: summary of case study responses (1)			
When intuition is being used by IHDO leaders		Enablers for and influences on leaders intuition	
Individual	When seeking solutions	Individual	Past and present professional and personal experiences
	For brain storming, thinking out of the box; idea generation		Self-awareness; self-confidence; self-trust
	When taking corrective measures		Self-conviction; courage
	For getting out of difficult situations		Basic innate human behaviour
	When making critical judgement calls		'Controlled' emotions
	When making fast decisions		State of mind
	For avoiding problems		Willingness and openness to external influences
	When innovation or entrepreneurship is necessary		Conceptual ability and understanding
Inter-relational	Where there is no source of advice	Inter-relational	Confidence in and from others
	When there are too many sources of advice		Respect of and from others
	In human interaction		Trust in and from others
	For developing others characters and competences	Organisational	Supportive organisational culture
For working with teams	Supportive organisational values		
Organisational	In HR recruitment (specifically interviews and assessments)		Supportive institutional framework
	In planning and strategic planning		Appropriate volume and type of work
	Where there are no rules or guidelines	Type and use of incentives	
	Where there are grey areas in the policy and regulations	Contextual	Previous (positive) impacts from use
	Where there are no books or access to information		Open-minded culture
	Where no hard evidence is available		Contextual
When combined with spreadsheets or other support			
Contextual	In critical situations (natural disasters and conflict)		
	When negotiating with confrontational parties (government and rebels)		
	In specific thematic arenas where things are not black and white (governance)		
	All along the humanitarian - transitional - development continuum		
	Where there are no structural solutions		

Table 26: IHDOs' leaders and intuition: hindrances and risks associated with intuition

IHDO leaders and intuition: summary of case study responses (2)			
Hindrances for the use of leaders intuition		Risks with leaders using intuition	
Individual	Fear of repercussions	Individual	Influence of bias and prejudice
	Type of individual leadership style		Influence of emotion (under stressful conditions)
	Lack of self-confidence, courage or conviction		Cannot predict outcomes of decisions
	Lack of grooming		Cannot be controlled
	Lack of realisation of potential		Too subjective (based on mood and emotion)
	Past negative experiences of use		Just a 'gut feeling' not enough for decision-making
	Introverted, staid personality		Too individualised (different outcomes and consequences)
	Subjective and individual in nature		
Inter-relational	Inability to gain others trust	Organisational	Lacks deep analysis
	Unsupportive hierarchy		Missing triangulation (when used alone)
Organisational	Need for compliance		
	Need for transparency		
	Demand for evidence-based decision-making		
	Restricting policies, procedures, rules, regulations, protocols or systems		
	Demand for clear accountability		
	Pressures of work; lack of 'space' available (or provided); too many emails		
	Decisions on use of funds (tax-payers money) need basing on 'black and white'		
	Difficult (or impossible) to measure individual and unique impact		
	Lacking tangible justification		
	Cannot be quantified or calculated		
	Dangerous to formalise		
	No tools, processes or skills to measure it		
	"If we try to box it, we are going to lose it"		
	Difficult to define use in organisational policy and practice		
Confused with instinct			
Contextual	Aid sector under scrutiny		
	Not specifically and proactively sought after by IHDOs and the aid sector		

Intuition is necessary for successful IHDO leadership, in a diverse range of contexts and situations. It assists in planning and decision-making, and supports aid sector leaders in one of their primary roles: facilitating change. It also assists leaders in providing direction (with conviction) for their teams. Yet institutional environments affect to what extent intuition may be optimised. This includes the emphasis placed on compliance, transparency, accountability and the requirement for well-substantiated decisions on the use of resources. Intuition is recommended to be used in conjunction with logic and empirical evidence wherever possible, and where time permits. However, already limited institutional space hinders leaders from optimising their intuition, and this space is shrinking (Chapter 3, section 3.5.3; Chapter 6, section 6.3.4.2). The level to which intuition is utilised is also affected by the courage, self-confidence and self-belief of leaders themselves. Leaders' backgrounds and types of experience may implicitly influence the outcomes of their use of intuition. IHDOs have a responsibility to actively seek this attribute in their recruitment processes, given the known demands placed on their leaders, and support them in intuitive development. Intuition itself may be problematic to measure, and impacts of its use perhaps difficult to define; risks and constraints may also exist with its use (Table 26). Yet its daily application and necessity for IHDOs' leaders, its added value in numerous and specific situations, and its potential to enhance leadership success, are well acknowledged.

## 7.6 Influencing factors

*“The changes in the external world should, and will, make you sit back and take note.*

*These changes will actually shape you and re-shape you in some ways, unless you have a very strong resistance to change”*

Country Director Oxfam, India. Personal communication, 03.11.16

With preceding themes, findings and analysis of the sampled organisations participants' perspectives principally provided more in-depth explanation, alignment to, and substantiation for the reasons behind the survey's findings. The sampled organisations participants' responses related to the influences of leaders and their teams, the context, organisations and culture, were also of more a supportive and elaborative nature (Chapter 6, section 6.3.5.1-3). However, their perspectives on



influences from the aid sector, often disputed or diverged from – sometimes significantly – those of the survey's respondents (Chapter 6, section 6.3.5.4).

In alignment with the survey's findings, the leader's background, characteristics and competencies were seen as highly influential in their success. Yet, *"The societies where we come from are changing, which means that the leaders ... supplied to the aid industry are becoming increasingly different"* (Development Councillor BMZ, Pakistan. Personal communication, 01.11.16). Further, and from an HR position, the well-being of leaders was highlighted. According to the Regional HR Manager from Oxfam, Asia, *"One of the biggest challenges that we face is how we can have healthy leaders. The world is a really tough place, and we expect more and more leaders to deliver more and more; we expect the 'business as usual'. I think that mental health is absolutely critical to be a leader"* (Personal communication, 23.10.16). From another HR perspective, *"A real hindrance is a family. You have to think of the entire family, and not only of the employee. If you think about fragile contexts, about crisis countries, what do you do as a company to support [leaders] to have a family life as well?"* (Senior HR Manager, GIZ HQ, Germany. Personal communication, 29.11.16).

Clearly, leadership in the aid sector in South Asia requires specific characteristics, competencies and attributes, as, *"We're going to be working more in very difficult places in the future. Meaning that there will be more work in crisis and fragility contexts"* (Development Councillor BMZ, Pakistan. Personal communication, 01.11.16). The direction in which the aid sector is seen to be moving also indicates the demand for new skill sets, and even a new type of leadership (Chapter 3, section 3.5.3). Yet, whilst the survey's respondents presented a lower influence of the aid sector on leaders (Chapter 6, section 6.3.5.4), according to one IHDO's Country Director in India, *"This whole migration business is going to influence us very much. Fragile countries and contexts are going to play a bigger role"* (Personal communication, 12.12.16). Succinctly put, *"It's the geopolitics, simply. Where will we go tomorrow? Where the conflict is"* (IHDO Country Director, Pakistan. Personal communication, 24.10.16).

Amidst these challenges and influences, another overarching sectoral concern exists that IHDOs' leaders (and future leaders) will have to deal with. This was presented by a Director of the Department of External Resources, from the Ministry of National Policies and Economic Affairs, Sri

Lanka: *“The main influence will be the environment, [but] I don’t think that great measures are currently taken into consideration”* (Personal communication, 13.10.16). This broader ecological environment is accompanied by another environmental influencing factor: the organisational one. Herein, several participants endorsed and elaborated on the influence that IHDOs have on their leaders’ success, because, *“Institutions do play a role in how they mould and create leaders”* (Country Director Oxfam, Pakistan. Personal communication, 02.11.16). Related to this and according to one IHDO’s Country Director in Sri Lanka, *“We have too many structures, we have too many people in management and leader positions”* (Personal communication, 14.10.16). IHDOs consequently need to reflect on their leadership structures, but also sectoral demands and internal processes, as, *“In the environment that we’re in now, and the complexity of crises, we’re getting more and more deeply entrenched in this whole compliance business. When asking [Country Directors] one very simple question: do they fear auditors or do they fear complaints from the beneficiaries? 90% of them will probably say they fear a negative audit report”* (Country Director Oxfam, Pakistan. Personal communication, 02.11.16).

Other sectoral aspects rated of less influence on IHDO leadership by the survey’s respondents were the international agendas, funding and coordination mechanisms, and the private sector (Chapter 6, section 6.3.5.4). Yet the main leadership theories, and many management models and practices in existence come from the corporate world (Chapter 2, sections 2.2.1; Chapter 3, section 3.4.3). Further, according to a FGD member from Oxfam in Pakistan, *“We have been benchmarking very good models from the corporate sector: one example is the classical log-frame”* (Personal communication, 02.11.16). This, other models and approaches (e.g. setting of performance targets), and even the sourcing and recruitment processes of personnel, are already part of the way IHDOs operate, in turn, affecting their own leaders (Chapter 2, section 2.3.1; Chapter 3, section 3.4.3). Yet IHDOs appear to be ‘going their own ways’ (Chapter 3, sections 3.3.2 and 3.3.4). Whilst it was mentioned by a main donor representative that there is indeed less priority placed on the ‘Paris principles’ (Personal communication, 29.11.16), according to a Senior Representative of the Government of Pakistan, *“The government is in a position to invite and take along [international] organisations. Then why do such organisations want to be doing things in silos, standalone, as per*

*their own agenda? They are going to fail*" (Personal communication, 30.01.17). This strong message was endorsed by the Programme Representatives from ECHO, India, when referring to IHDOs leaders: *"Everyone wants coordination but no one wants to be coordinated. That's the attitude in South Asia"* (Personal communication, 18.11.16).

This 'South Asian context' presents its own set of influences and challenges (Chapter 3, section 3.2). The sampled organisations' participants substantiated and expanded on the importance of addressing this factor. According to the Head of HR MSF, India, *"It's the geographical spread we have, the multitude of cultures we have, the religious, political, social, culture factors we have. They are much more intertwined in South Asia"* (Personal communication, 03.11.16). The diverse cultural aspects of this region also influence the success of IHDOs' leaders. One IHDO's Country Director from Pakistan stated, *"If you don't take into consideration this cultural aspect, if you don't add the tools, if you don't add the actions, you don't add anything to the context; it never works"* (Personal communication, 24.10.16). However, presenting cultural diversity in a different light, one IHDO's Country Director from Sri Lanka warned, *"This [term] 'cultural diversity' is very dangerous, because we don't work on similarities"* (Personal communication, 14.10.16). Clearly, culture is a multi-dimensional influencing factor that IHDO leaders have to consider and work with, though according to an IHDO's FGD member in India, *"What is important is that communication and intercultural dialogue should happen, however uncomfortable it may be"* (Personal communication, 18.11.16).

Where the survey's respondents showed a tendency toward collective leadership as more influential for leadership success across roles, functions and tasks (Chapter 6, section 6.3.6.1), some of the sampling organisations' participants presented alternative perspectives. The Country Director for Oxfam in Sri Lanka stated, *"Collective leadership often lacks clear accountability and responsibility"* (Personal communication, 12.10.16). This was supported by an IHDO's FGD members in India, who added, *"If a group takes ownership there can be a stalemate. There has to be one leader who is a little more equal than the others"* (Personal communication, 18.11.16). Several participants did, however, endorse collective leadership for its democratic ethic, inter-cultural engagement, transparency, breadth of idea-sharing, and the importance of addressing conflictual issues at the decision-making stage (Personal communications, 01.11.16; 15.11.16; 18.11.16; 12.12.16).

However, the opposing sentiment from many participants, was that individual leadership was necessary for success, as it did not allow leaders to 'hide' behind a group; was not confusing for followers; did not facilitate 'in and out' groups, and enabled faster decision-making (Personal communications, 12.10.16; 02.11.16; 15.11.16; 23.11.16; 29.11.16; 12.12.16). Two statements are pertinent to reinforce these perspectives. Firstly, a Director of the Department of External Resources, from the Ministry of National Policies and Economic Affairs, Sri Lanka stated simply, "*According to my culture, if you have so many leaders, nothing will happen*" (Personal communication, 13.10.16). Secondly, and leaving room for some ambiguity – clearly a cross-cutting aspect of this leadership theme – an IHDO's Country Director from India posited, "*At first sight, individual leadership is easier. You have somebody who takes decisions, you know where to go, you don't really have to lose your time in discussions*" (Personal communication, 12.12.16). These opposing perspectives highlight the highly influential nature of the divergent preferences of leadership structures selected by different IHDOs. The selected leadership structures likely depend on the organisation's size, scope of work, culture, context and demands placed on their leaders (Chapter 3, section 3.5.3).

### **7.6.1 Summary of influencing factors**

Contrary to the aid sector being of lesser influence presented by the survey's respondents, it was presented as highly influential by most sampling organisation's respondents. The increasing shift to working in contexts of fragility and conflict, influence current IHDOs' leaders, who the future leaders should be, and what they need to know and do. Where leaders come from is changing, influencing in its own right a new breed of leaders in the sector. This, combined with their necessary well-being, must be considered by their organisations. The environment remains a much-discussed, but less-supported sectoral concern. Influences from the private sector already infuse into the way IHDOs and their leaders operate. Yet IHDOs appear to follow their own paths, as effective coordination between their leaders and representatives, and with other stakeholders like the governments in their countries of operation, is presented to an extent as being elusive.

The plethora of cultural nuances in the South Asia region must be considered as one of the largest influences on leadership success. Emphasis should be equally placed by IHDO leaders on working with *cultural similarities*, as they should on working with *cultural diversity*.

Where leadership roles, functions and tasks are best handled, remains a debate. Many factors influence to what extent individual or collective leadership is more successful. However, no uncertainty remains regarding the locus of leadership's influence on success generally. Creating the wrong leadership structure for given circumstances could bring confusion, lack of direction, delays in decision-making, and risk IHDOs not meeting their objectives.

Increasingly stringent compliance regulations, in line with new aid sector and organisational funding mechanisms, oblige leaders to focus on 'administrative needs and targets' rather than the 'needs of target groups'. According to the Country Director of Oxfam in Pakistan, *"You are judged by your size. You are always judged by numbers. Nobody has ever asked me, "What has been the impact of your work?"* (Personal communication, 02.11.16).

Overarching all the elements discussed, was the aspect of change: in the contexts in which IHDOs' leaders work; in the direction of the sector and its priorities; in the way different organisations address the constellations of leadership; in the gradual acceptance of working with private sector actors and leadership models, and in how the multitude of cultural dimensions and nuances are addressed.

## 7.7 Professionalism

*"It goes with the territory. You've passed exams on it. You belong to a set of hidden knowledges. You have rituals. You have cultural icons. You have all those things that go to make a professional identity"*

Senior Governance Advisor, major donor in Pakistan. Personal communication, 29.11.16

*"Unless we are actively curious, and actively learning, we will never be as professional as we need to be"*

Regional HR Manager Oxfam, Asia. Personal communication, 23.10.16

Professionalism in this day and age is changing, and needs to for leaders in the aid sector (Chapter 2, section 2.3.1; Chapter 3, sections 3.6.1 and 3.6.3; Chapter 6, section 6.3.9.8). Yet, *"Leadership's always [been] a bit of a question of generations. More experienced leaders are by nature a little bit older and they have grown up or been educated in a time where professionalism was different"*

(Development Councillor BMZ, Pakistan. Personal communication, 01.11.16). Whilst the sampled organisations' participants concurred with the survey's respondents on the need for professionalism to be adapted to better support IHDOs' leaders (Chapter 6, section 6.3.9.8), their perceptions on some elements of professionalism varied. On the value and importance for successful leadership of professionalism's three central tenets (monopoly over and use of a specific body of knowledge; qualification from an accredited academic institution; technical specialist skill), the survey's responses from humanitarian participants were more favourable than those from development organisations (Chapter 6, section 6.3.9.1-4). Yet regarding the monopoly over and use of a specialised body of knowledge, the inverse was felt by some sampled organisations' leaders. According to one development organisation's Country Director in Sri Lanka, *"Monopoly over a body of knowledge? We don't like to talk about that, but it's still important... It can be helpful if you are in a real competition with others"* (Personal communication, 14.10.16). However, from a more-humanitarian organisation's perspective, *"How we understand a professional in modern day parlance is different. That's why monopoly over a body of knowledge is not something I consider [as] being professional"* (Country Director Oxfam, India. Personal communication, 03.11.16). Both statements in fact align: in the aid sector in South Asia today, professionalism 'is' (and needs to be) different for leaders, and competition 'is' a reality faced (and caused) by the diversity of existing and new stakeholders (Chapter 3, section 3.4; Chapter 6, section 6.3.9.8). The Country Director from Oxfam in India added to this debate on professionalism in the aid sector, stating, *"People say that when you use the words 'being professional', you are looking at professionalism through a corporatised lens. I personally see that you have to become a better professional in the context of the times you live in"* (Personal communication, 03.11.16). With *these times* comes modern information communication technology, where according to the Country Director of Oxfam in Sri Lanka, *"The beauty of the 21st century is [that] you don't have monopoly over knowledge"* (Personal communication, 12.10.16).

Where this knowledge comes from and how it is applied by leaders have also changed, and continue to do so. Expanding on the survey's responses about academic qualifications and certification, one IHDO's Country Director in India stated, *"Professionalism doesn't only show in certificates or*

degrees. *But rather, have we been successful under 'reasonable' frame conditions*" (Personal communication, 12.12.16). Another IHDO's Country Director in Pakistan asserted, *"Sometimes we become too obsessed by CVs and academic credentials... You don't go to a university to become a leader"* (Personal communication, 24.10.16). Especially in relation to leaders' responsibilities, the Development Councillor BMZ in Pakistan stated, *"Cross-cutting tasks are getting more and bigger, and the question is, 'How could you certify that?'"* (Personal communication, 01.11.16). Clearly successful leadership was not felt to be well-supported by qualifications and certificates, as *"What makes leaders professional is their performance and the results they have shown in their work"* (FGD member GIZ, Sri Lanka. Personal communication, 15.10.16). Yet, *"Especially in South Asia, it's very much based on formal qualification, whereas we want leaders to be able to have exposure to new ways of learning, thinking and doing"* (Regional HR Manager Oxfam, Asia. Personal communication, 23.10.16). According to the Country Director of Oxfam in Sri Lanka, for this 'performance-orientated' professionalism, *"A leader has to be a professional and has to have not [a] minimum understanding of each aspect of professionalism, but a very high level of understanding and ideally expertise in more than one area"* (Personal communication, 12.10.16). Obviously, and supporting the results from the survey on this subject, leadership expertise must be relevant to the working environment, as, *"For headquarters we need a different set of leadership skills or elements of professionalism"* (Development Councillor BMZ, Pakistan. Personal communication, 01.11.16).

IHDOs' HQs are normally responsible for defining their 'self-regulatory mechanisms and processes', another of the elements of professionalism that affects leadership (Chapter 6, sections 6.3.2.3, and 6.4). Increasingly stringent regulations were presented negatively by several participants, in that, *"If you think that you can improve professionalism by putting handcuffs on the ones implementing, by having more monitoring instruments, and more reports to write, then it's the wrong direction"* (IHDO Country Director, Pakistan. Personal communication, 15.11.16). The Director of the Department of External Resources of the Ministry of National Policies and Economic Affairs, Sri Lanka, suggested that, *"Policy decisions should be made by generalists because professionals can sometimes be considered as extremists"* (Personal communication, 13.10.16), intimating a too-restrictive approach taken to the design of legislation. One IHDO's Country Director in India linked the drive for more

professionalism in the sector to actually hindering effective leadership when stating, *“Professionalisation is a serious problem in the way we’re operating because I think we’re being held back as a sector to be more effective. And no one really dares to say anything about it”* (Personal communication, 23.11.16). This fear (or lack of courage) to speak up – mentioned prevalently – reflects in part the attitudinal and behavioural aspects of professionalism (Chapter 2, section 2.3.1; Chapter 6, section 6.3.9.5), presented as weak or lacking by several participants. One IHDO’s Country Director in India explained that, *“Self-criticism of the sector, which is already a huge problem, will be even less because we can all hide behind systems”* (Personal communication, 23.11.16). Another IHDO’s Country Director from India added, *“There are many ways to be highly professional in the hard sense of the word, and totally unprofessional if it comes to soft factors like social skills, or making compromises”* (Personal communication, 12.12.16). According to one IHDO’s FGD member in India, professionalism itself does not incorporate the characteristics necessary for IHDOs’ leaders (Personal communication, 18.11.16). Thus, leaders must create and take initiatives for improving their own characteristics, and both personal and professional self-development – the most important element of professionalism and highest rated by both survey and sampled organisations’ participants (Chapter 6, section 6.3.9.9). Nonetheless, whilst several participants stated its importance, many expressed concern with the limited availability of time and space available for leaders’ self-development (Personal communications, 14.10.16; 01.11.16; 02.11.16; 15.11.16; 23.11.16). These included the time necessary for both *“Learning new skills, and unlearning some of the world views and ideas that leaders have grown up with”* (Country Director Oxfam in India. Personal communication, 03.11.16). However, according to the Development Councillor BMZ, Pakistan, *“It depends on the leader’s character; whether s/he is open, able and eager to learn and to develop her/himself”* (Personal communication, 01.11.16).

Where all research participants agreed unanimously was in the need for professionalism to be adapted specifically to better support IHDOs’ leaders (Chapter 2, section 2.3.1; Chapter 3, section 3.6.3; Chapter 6, section 6.3.9.8). Interestingly, this was reflected in several participants’ responses in relation to the aid sector’s interaction with the corporate world. One FGD member from Oxfam in Pakistan stated that, *“Both sectors need to learn from each other. The only reality is that now we are*



*[a] business as well, we have to earn resources for ourselves. And that's why we are aspiring to bring in more professionalism"* (Personal communication, 02.11.16). The Country Director of Oxfam in Sri Lanka added to this, stating, *"The fact that we are [a] not-for-profit sector doesn't mean that we can't learn from the profit sector and think in efficiency and effectiveness terms"* (Personal communication, 12.10.16). Yet the 'aid industry' requires its leaders to often operate in situations of flux, uncertainty and change (Chapter 3, section 3.5.3). This environment can hinder leader's effectiveness and efficiency, as, according to the Regional HR Manager Oxfam, Asia, *"We don't build in sufficient enough time for the business as unusual versus the business as usual"* (Personal communication, 23.10.16). Further, according to one IHDO's FGD member in India, *"In the process of globalisation, to attract more talent, there's an attempt to use the language of corporates in the [aid] sector; some of it creates a problem"* (Personal communication, 18.11.16). Thus, whilst the sound of professionalism may be appealing and certain aspects positive, according to several participants this 'alignment of the aid and private sectors' comes with costs and compromises, and new learning for IHDOs' leaders and their organisations (Personal communications, 02.11.16; 15.11.16; 18.11.16).

### **7.7.1 Summary of professionalism**

Professionalism in the aid sector remains controversial. Whilst the three central tenets of professionalism were generally perceived as outdated, having a monopoly over and use of a specific body of knowledge was seen to an extent as offering advantages for leaders in an increasingly competitive aid sector. Qualifications and certification were not felt to be contributory to successful leadership. Yet knowledge, and alternative ways of obtaining it were promoted by participants.

Self-regulation and self-criticism – of IHDOs, leaders, and the aid sector itself – were presented as weak elements of current professionalism. Regulations constrain IHDOs' leaders and yet they fear to speak openly about them. Self-development was seen as essential for leaders to be successful, particularly in the case of characteristics where capacity development measures focus more on enhancing leadership competencies. Yet lack of time and dwindling institutional and organisational space hinder leaders' potential to optimise these qualities to become more effective and efficient.

Inter-relations with the corporate sector were seen to hold both gains and losses. This was presented as one prominent aspect of the clear need for professionalism to be adapted to better support IHDOs leaders' success in the 'aid industry'.

## **7.8 Conclusions of all the sampling organisations' qualitative findings and analysis**

Whilst many of the sampling organisations participants' statements were used in this chapter, others of their statements were of equal interest but had to be sidelined due to the limitation of space, and the consequential filters applied. Hence these conclusions, to an extent, also summarise those non-narratively presented opinions. Three overarching aspects were highlighted within the sampling organisations participants' responses across all thematic areas of the research questions, related to influencing the potential for IHDOs leaders' success:

1. Continuous change in the complex operating contexts in South Asia, and extremely varied working environments and needs, require leaders to constantly re-invent themselves and develop new skills-sets and abilities.
2. Dwindling institutional and organisational space, due to increasingly stringent regulations and requirements for compliance, accountability and transparency, reduces leaders' abilities to exploit their potential and optimise their capabilities.
3. Already limited and constantly shrinking availability of time due to the continuously increasing demands and expectations placed on them, and their subsequently increased workload, hinders leaders from engaging in activities that can increase their successfulness.

These concerns and viewpoints were shared by and between participants from the sampling organisations along the humanitarian-transitional-development continuum; between Country Directors; FGD members; IHDOs' HR representatives; the sampled IHDOs' main donors, and across the responses from the different countries. A summary of the comparison of findings between the three sampling organisations is presented in Table 27.

Table 27: Sampling organisations: summary of comparison of the main findings

Sampling organisations' comparison: summary of main findings				
Thematic areas and sub-categories		MSF	OXFAM	GIZ
<b>Characteristics:</b>				
	For leaders themselves	Common sentiment about the most important leadership characteristics		
	From an IHDO perspective	Common sentiment that leadership characteristics are not promoted, nurtured, or developed enough		
<b>Competences:</b>				
	For leaders themselves	Common sentiment about the most important leadership competences		
	From an IHDO perspective	More specialist requirement	Mixed specialist and generalist requirement	Mixed specialist and generalist requirement
		Common sentiment that focus on leaders' competences overwhelm focus on characteristics, yet there exists no specific Country Director training		
<b>Attributes:</b>				
	Intuition	Common sentiment about the high value, use of, and risks and constraints associated with intuition		
	Versatility	Common sentiment about the high value, use of, and constraints with the application of versatility		
<b>Influences:</b>				
	Leader	Common sentiment about the high level of influence of the leaders' characteristics and competences on IHDO leadership success		
	<b>Culture:</b>			
		Leader	Common sentiment about the high influence and impact of leaders' own culture on their success	
		Organisation	Common sentiment about the high influence and impact of the IHDOs' own culture; manifest in different ways within different IHDO types	
	Leadership locus	Common sentiment about the mixed level of importance of the individual and collaborative locus of leadership on leadership success		
	Context	Common sentiment about the high level of influence and impact on leaders and leadership from the operating context		
	<b>Aid sector:</b>			
		Private sector	Reticence to engage	Willing to engage
		Future focus	Promotes engagement	
			Common sentiment about the future focus of the aid sector (fragility; crises; environment) and significance for IHDOs' leaders and leadership	
<b>Professionalism:</b>				
	Monopoly over and use of a body of knowledge	Presented disadvantages	Presented as not possible or relevant	Presented advantages
	Qualifications from an accredited academic institution	Common sentiment about the low level of importance of qualifications		
	Technical specialist skills	Mixed perspectives about the value of and need for technical specialist skills for leaders and IHDO leadership		
	Certification of entry to the aid sector	Common sentiment about the lesser advantages, risks involved with, and limits presented by certification		
	Appropriate attitude and behaviour	Common sentiment about the high level of importance of attitude and behaviour on leaders and IHDO leadership success		
	Client service orientation	Common sentiment about the high level of importance of client (stakeholder) service orientation on leaders and IHDO leadership success		
	Self and peer regulation	Common sentiment about the high level of impact of IHDOs' (and the aid sector) self-regulatory measures		
	Self-development	Common sentiment about the high level of importance of but restrictions to leader's self-development		
	Adaptation for aid sector leaders and leadership	Common sentiment that the current elements of professionalism need adapting to better support leaders and IHDO leadership		
<b>Overarching factors:</b>				
	<b>Change:</b>			
		Leaders and change	Common sentiment about leaders' responsibilities and need for capability to bring and adapt to continuous change	
		Operational environment	Common sentiment about the direction in which the aid sector will go and what this signifies for leaders and IHDO leadership	
	<b>Time:</b>			
		Availability in daily work	Common sentiment that daily workload hinders leaders from being as successful as they would like and as is demanded	
		Provided by IHDOs	Common sentiment about the continuously diminishing time allowed for leaders to be successful, and to self-develop	
	<b>Space:</b>			
		Provided by IHDOs	Common sentiment about the continuously diminishing space enforced by the need for compliance with IHDOs increasingly strict regulations	
		Within aid sector demands	Common sentiment about the continuously diminishing space due to an increasing requirement for accountability and transparency	

Of significance to this research is that across nearly all thematic areas and sub-categories, even with diverse operational mandates and objectives, the needs of, influences on and perspectives for humanitarian, transitional and development organisations' successful leadership are mostly aligned. This strongly endorses the need for the elaboration of a common philosophical foundation and IHDO leadership theory, in response to thematic elements in the research questions, and with the need (stated in the WHS) for closer collaboration between humanitarian and development organisations. However, three main differences were noted between two of the different typologies of the sampling organisations: those with a shorter-term humanitarian focus and those with a longer-term developmental focus.

1. Humanitarian organisations presented a greater need for specialist skills, whereas development organisations presented a need for more generalist leadership skill-sets.
2. Humanitarian organisations appeared less willing for private sector actors' involvement in the aid sector than development organisations. The interesting phenomenon here is that generally-speaking, the private sector tends to bring with it some of the more specialised skill-sets, aligned to the needs presented by humanitarian organisations' leaders.
3. In relation to the monopoly over and use of a specialised body of knowledge, humanitarian organisations placed higher value on transparency and information-sharing in their engagement, perhaps due to the urgency of their work where the sharing of knowledge may have life-saving consequences. However, the issue of competition in the aid sector was raised by both humanitarian and development organisations, though the latter placed more prominence on the monopoly over the use of knowledge playing an important role.

Table 22 (Chapter 6, section 6.4) elaborates on these and other differences between the three types of organisations. However, in all three sampling organisations, leadership characteristics, essential for success, are not given enough prominence by IHDOs. This commences with recruitment (vacancy announcements and job descriptions), includes leadership capacity development programmes, and continues to performance appraisals. According to the sampling organisations' participants, the most prominent characteristics necessary for successful leadership include

integrity, trust, learning from error, self-confidence, courage, listening and a willing to learn and unlearn.

Leadership competencies dominate the requirements of IHDOs for success. This may be due to the higher drive, pressure and focus on leaders meeting targets and performance indicators (results), rather than on *how* leaders operate and interact with staff and other stakeholders (i.e. the process and approaches of leadership). Nonetheless, even with leadership development programmes existing within the sampled IHDOs, none were specifically tailored to the precise needs of Country Directors. The leading competencies presented by the sampled organisations participants, required for successful leadership were: the ability to manage change, managing diversity and complexity, problem-solving, the ability to take calculated risk, listening skill, and inter and cross-cultural aptitude.

Constant shifts in their operating contexts, increased complexity and responsibility, new directions in the aid sector's focus and IHDOs' objectives, and the movement of leaders into, out of, and within the aid sector and between countries, require their capability to adapt and deliver to ever increasing performance standards and more diversified demands. These continuously changing environments necessitate above all the need for leaders' versatility. This need competes, however, with the increasing specialisation and higher requirement for more technical competencies and specialist skill-sets. The future of the aid sector itself – with a continuous shift to working in more fragile and conflict-prone environments – further reinforces that versatility is an indispensable attribute for successful leadership.

Intuition is utilised daily by IHDOs' leaders, in a variety of circumstances including: recruitment; critical decision-making; complex and high-pressure situations (e.g. engaging with conflicting parties and in response to natural disasters), and where no time or guidelines are available. But institutional and organisational parameters and processes tend to stymie this contributory attribute to successful leadership. Many of the participants highlighted the constraint that intuition is difficult to plan for and measure in its individual contribution to leaders' accomplishments and performance. Nonetheless, used in conjunction with tangible evidence – an increasing obligation in the aid sector's drive for accountability and transparency – intuition has its place. Yet fear of repercussions in the event of negative outcomes of decisions made based on intuition, and risks associated with its use, hinder

leaders from optimising this attribute. Clearer commitment by leaders' IHDOs in supporting and backstopping them in their use of intuition is needed.

Numerous elements within the aid sector influence leaders' success. Responses from the sampling organisations' participants endorsed the significant influence of culture on IHDOs' leaders as presented by the survey's respondents. Yet influence from the private sector, including the use of management tools, performance targeting and measurement, leadership coaching and even recruitment practice, were seen by the sampling organisations' participants as much more significant. However there remains a reticence towards 'for-profit' actors' engagement in the aid sector, more so from the more-humanitarian-orientated sample organisations. Nonetheless, the leadership theories and practices examined, established in and for the (principally western) industrial world, remain the dominant foundations for leadership in the aid sector – itself without a self-defined leadership philosophical and theoretical standpoint. New and emerging financing mechanisms, diverging priorities, new actors and a shift in focus towards environment, working more in crises and fragile contexts, and the backgrounds of where leaders come from, all affect the successfulness of IHDOs' leaders (Chapter 3, section 3.5.2). The locus of leadership – be it individual or collective – also plays an important role in determining IHDO leadership effectiveness and efficiency.

Several tenets of professionalism were viewed as outdated or irrelevant for successful leadership by many of the sampled organisations' participants, endorsing the survey's findings. Behind the sectoral drive for transparency and accountability (Chapter 3, section 3.3.4; 3.5.2.1; 3.5.4; 3.6.1), the increasingly competitive nature of the aid sector (or industry) encourages a lack of coordination and information-sharing, and tendency to monopolise knowledge. Self-development – the most globally relevant aspect of professionalism – was strongly promoted by all research participants. To learn and unlearn (i.e. a change of both organisational and leadership culture, and an acceptance of a change in the ways of doing things), and to continuously reflect on and seek to improve, were stated as the most important professional factors for leaders. But the three overarching elements of constant change, limited institutional and organisational space, and lack of time due to increasing demands and expectations, were all given as reasons why leaders' self-development is not happening enough. However, the sampling organisations' participants fully endorsed the survey

respondents' findings with the requirement for professionalism itself to be re-evaluated and adapted to better suit the reality and needs of IHDOs' leaders. With an aid sector professionalism more 'fit for purpose' for IHDOs' leaders, the potential for their increased success can be realised.

With orientation from the literature reviewed, the research theory and practical methods applied, and analysis and findings from the quantitative and qualitative field research (founded on the research questions), this study's theoretical conclusions are presented in Chapter 8, and practical conclusions and recommendations presented in Chapter 9.

## 8. Conclusions and recommendations for IHDO leadership theory

From both theoretical and practical perspectives, numerous challenges and constraints faced by the leadership of international humanitarian and development organisations in the aid sector in South Asia, hinder them from being successful (Chapter 2 sections 2.2; 2.2.2; Chapter 3, section 3.2; 3.3.3 and 3.5.2; Chapter 6, section 6.3.5 and 6.4; Chapter 7, section 7.4; 7.6, and 7.8). Conclusions of and recommendations on how to address these phenomena are drawn from examination of the literature, analysis of findings from the field research survey and from case studies in the region.

### 8.1 Overview of this chapter

Five sections are presented in this chapter, including this overview. The second section focuses on implications from a theoretical perspective. This is based on the epistemology of pragmatism, and use of a mixed methods approach, wherein this researcher sought not just to test existing theory, but then to build new theory from the research findings (Chapter 4, sections 4.3; 4.4 and 4.6). The third section covers leadership theory specifically for the aid sector. Section 4 introduces the new *Leadership Theory of Versatility*, together with its six underpinning principles, its rationale and foundations, and its relevance for IHDO leadership in the aid sector in South Asia. The theory addresses the numerous influences on IHDOs' leaders (including culture and professionalism) and incorporates the necessary qualities of leadership for working in complex, continuously changing and challenging environments and contexts. Section five connects the theory to practical application, presented in detail in Chapter 9.

### 8.2 Implications for theory

*"I think we have more a problem of knowing what leadership means and what is important for leadership, than that it is specialised for the aid sector"*

An IHDO's Country Director Sri Lanka, personal communication 14.10.16

"Knowing what the important factors are for successful IHDO leadership" is the central theme of this research. Whilst many diverse perspectives on leadership exist, presented in the literature, in the responses to the survey, and from the opinions of the sampling organisations' participants, several



factors that promote the need for aid-sector specific leadership theory, and that can mitigate the critique of IHDO leadership effectiveness, are now presented.

Numerous leadership theories exist, developed dominantly in and for the (principally western) corporate sector (Chapter 2, section 2.2.1). Not one leadership theory has been elaborated specifically for the aid sector, nor that explicitly underpins IHDO leadership, in particular for South Asia. Several characteristics, competencies and attributes, mentioned within the existing theories required for successful leadership, may be similar across all sectors. Yet many aspects that are essential for IHDOs' leaders are missing from nearly all existing leadership theories (Chapter 2, section 2.2.2). These include handling the continuously changing context, and its increasing complexity and fragility in the South Asian region. Within the region, the influence of various cultural dimensions and the importance of cultural competencies (cross, inter, intra, fluency, language) are especially pertinent. The aid sector itself continues to shift in focus and priorities, and also requires IHDOs' leaders to manage the numerous influences and relationships both within and outside the aid sector, particularly from the corporate and academic worlds. Additionally, IHDOs' leaders are required to deal with omnipresent change in the institutional, organisational and operational environments. They have to handle these factors whilst managing dwindling space and time, combined with ever-increasing demands, challenges and pressures from the external environment and their organisational regulations (Chapter 3, section 5.5.2; Chapter 6, section 6.3.5; Chapter 7, section 7.6). None of these issues are covered in the main existing leadership theories that were developed outside the aid sector (Chapter 2, section 2.2.1).

To further complicate matters, the aid sector itself remains without a clear overarching and accepted philosophical grounding or theoretical definition (Chapter 2, section 2.2.2; Chapter 3, section 3.3; Chapter 6, section 6.3.5.4; Chapter 7, section 7.6). With enough experience and knowledge of best practice gained through trial (and error) since World War II (the commencement of the 'aid sector'), an overarching theory and new set of principles – designed specifically for the aid sector – will provide a foundation for, and underpinning of more successful IHDO leadership practice. The plethora of actors involved in the aid sector refer to the sector in a variety of forms, including: the aid sector; the humanitarian sector; the voluntary sector; the NGO sector; the development sector; the

aid industry; the aid business; the aid architecture; the aid system or eco-system. This has led to confusion and defragmentation (Rogerson, A. *et al.*, 2004; Lundsgaarde, E., 2013). However, it is termed, the aid sector continues to expand, and incorporate new stakeholders. Contexts and priorities continue to change. Leadership becomes increasingly more complex and its needs more diversified (Chapter 3, section 3.5.2). Within the sector, discourse continues concerning the theoretical and practical differences, similarities and overlaps between leaders and managers, and leadership and management (Chapter 2, section 2.2.4). With this in mind, 'groups', mentioned in several leadership theories (e.g. Adair, 1973), do not fit with the commonly accepted practice of working with, leading and managing 'teams'. From a cultural perspective, a broad variety of theories, concepts, definitions and dimensions abound, equally different from eastern and western perspectives; there is no singularly-accepted version that aid sector and IHDOs' leaders in South Asia can apply (Kumar, R. *et al.*, 2011; Trompenaars, F. and Hampton-Turner, C., 2012).

Adding to the above-mentioned deficits, discrepancies and dilemmas, a drive for more professionalisation of the sector exists. Yet professionalism itself is questioned in terms of the relevance of its philosophical and theoretical foundations and dimensions; either providing an established and common set of standards and practices that leaders can adhere to, or creating hindrance and restriction to IHDOs and their leaders (Buchanan-Smith, M., 2003; Clarke, P. K. and Ramalingam, B., 2009; Shanks, L., 2014). IHDOs leaders' characteristics, competencies and attributes, founded not just in out-of-aid sector theory, but also diversified and given different levels of importance by the multitude of different actors engaged in the sector, only compound the problem (Chapter 6, section 6.3.1-3). Commonly-applied terminology within different aid sector organisations (e.g. leaders' roles, functions and tasks), are also perceived and interpreted differently by different types of IHDOs, and their leaders and followers, due to different leadership structures and constellations, and perhaps, also, different organisational mandates (Chapter 6, section 6.3.6.1). Key attributes (i.e. versatility and intuition) required and used on a daily basis by IHDOs' leaders in South Asia, which contribute directly to their successfulness, are neglected in most existing leadership theories and IHDO leadership HR frameworks, management and development (Chapter 2, section 2.2.7; Chapter 3, section 3.5.3; Chapter 6, section 6.3.3; Chapter 7, section 7.5). The

estimates of the numbers of IHDOs and their personnel vary enormously (Chapter 3, section 3.4.2; Chapter 5, section 5.2.1); at the same time it is unknown who the IHDOs' leaders are and where they come from (Marcos, F. R., 2010; Taylor, G. *et al.*, 2012). Ideas about what the future requires of IHDOs' leaders is to an extent foreseen, yet *that* context will demand a new breed of leadership, or a re-inventing of the current leaders.

Naturally, and by consequence, these factors have all contributed to an increased critique, not just of the effectiveness of the sector itself, but specifically around the success of international humanitarian and development organisations' leaders and their leadership (Chapter 2, section 2.2; Chapter 3, sections 3.3.3 and 3.5.2). It is therefore proposed that an over-arching leadership theory be developed for IHDOs' leaders operating in South Asia specifically, but with the potential for the theory to be utilised by IHDOs and their leaders more globally.

### **8.3 Leadership theory for the aid sector**

Building leadership theory from scratch, when so much well-established research has already been undertaken by prominent exponents, is unnecessary, inefficient and academically indecorous. Key concepts of some of the main leadership theories elaborated by the main authors of leadership theories must inherently be reflected in the elaboration of a leadership theory for the aid sector. Nonetheless, based on the findings of this research, and the aid sector-specific leadership requirements non-existent in many of them, some of the existing leadership theories need only be taken into consideration to a limited extent. These include (1) those that debate solely whether leaders are born or made (as the literature proposes that both are relevant – in individual cases and contexts); (2) those that focus specifically or solely on the competencies of leaders themselves (missing the plethora of factors and stakeholders that influence their success, including the leaders' own characteristics); (3) those that present one specific philosophical approach and focus as the most effective (i.e. *just* participation, or *just* motivation); (4) those that concentrate on the internal relationship a leader has with his/her group (or team) (neglecting all the externally important relationships and influences), and (5) those that focus explicitly on individuals and groups' roles (given the shift from groups to teams, and the survey findings that individuals hold a far lesser degree of influence on their leaders' success than other factors) (Chapter 6, section 6.3.5.2). Of pertinence,

however, are certain elements of four of the theories presented, that factor in the need for leaders to have the capability to adapt – in behaviour, style and approach – to their surroundings, influences and stakeholders, and that incorporate an understanding of the leaders' needs for versatility and self-growth (Chapter 2, section 2.1.1).

Firstly, 'Contingency theory' (Fiedler, F. E., 1967) held that the operating context influences the most appropriate leadership behaviour and style: this requires that leaders be able to adapt to the changing environments and challenges they face. Secondly, and similarly, 'Situational theory' (Hersey, P. and Blanchard, K. H., 1977) presented leaders as choosing the best course of action, based on their (changing) situations and stakeholders. Again, leaders' capacities to identify and use the most appropriate approaches and qualities in a variety of circumstances was highlighted. Thirdly, the 'Integrated Psychology theory' (Scouller, J., 2011) built on the strengths and acknowledged weakness of other leadership theories, but added in a fundamental aspect aligned directly to the findings of this research and missing from all other theories: the leader's need for their self-growth and development for success (Chapter 6, section 6.3.9.9). Fourthly, the Implicit Leadership theory (Ling, W. and Fang, L., 2003), whilst focussing introspectively on the leader's qualities (personal morality, goal orientation, interpersonal relations and versatility), highlighted the fundamental aspects of how they engaged with those around them, and the context in which they operated.

With these four theories as the underlying foundation, there still remain several unaccounted for elements necessary for the elaboration of a comprehensive leadership theory for the aid sector and IHDOs' leaders in South Asia, including: the influences from the contexts and environments in which IHDOs leaders operate; the demands placed on leaders by their organisations; the requirements of IHDOs' leaders from their (IHDOs) stakeholders, and the diverse range of capabilities that IHDOs' leaders themselves required (summarised in Table 28). However, this table refers more dominantly to the three 'western-based' leadership theories, whereas the Implicit Leadership theory (Ling, W. and Fang, L., 2003) covers (with versatility as one of its central pillars), albeit in-directly, some of these elements.

Table 28: Essential elements that are missing from IHDO leadership from the three most relevant 'western-based' leadership theories

Additional essential elements and influencing factors necessary for IHDO leadership theory	
Influencing factors not covered in the three 'western-based' leadership theories	Necessary leadership capabilities
<b>From the environment:</b>	
Continuously changing operating situations, circumstances and contexts	Capability to analyse and boundary scan swiftly and effectively (look up and outside IHDO as well as looking down and in); ability to adapt to changing directions and directives; capacity to interact effectively and respectfully in numerous cultural contexts and dimensions; capacity to quickly identify, incorporate and share and promote new ideas and best practices within and outside the sector
Continuously changing sectoral and organisational priorities and focus	
Diverse and multi-cultural institutions, organisations, countries, teams and individuals	
Diverse influences from within and outside the aid sector, including private and academic organisations and practices, and professionalism	
<b>From IHDOs:</b>	
Continuously changing influences, demands and needs	Capability to respond to institutional and organisational changes and still perform to satisfaction; ability to maintain and promote space for developing new ideas and approaches under increasingly restrictive organisational regulations and boundaries; ability to utilise intuition appropriately in situations where it is essential, including those requiring out of the box thinking and acting
Continuous demand for innovation and creativity	
Increasing demands for compliance, accountability and transparency	
<b>From stakeholders:</b>	
Demands from teams for different styles and approaches from leadership	Capability to adapt and respond appropriately to new personnel, partners, clients, donors, beneficiaries and other stakeholders' requirements; ability and willingness to collaborate as well as cooperate and coordinate, putting aside different personal, professional and organisational mandates in the interest of meeting common goals
Demands from diverse, existing and increasingly new stakeholders	
<b>For leaders:</b>	
Need to play different roles, and undertake different functions and tasks	Capability to identify and apply different approaches, tools instruments and styles competently, with use of appropriate characteristics; capacity to adapt to new working conditions, organisations and environments, and bring knowledge and skills to new positions that are 'fit for purpose'; ability to work in different leadership and team constellations effectively and efficiently
Demands for different blends of characteristics, competences and attributes	
Requirement for both generalist and specialist skill-sets and knowledge	
Continuous movement between IHDOs, and in and out of the aid sector	

With the diverse demands, changes and influencing factors mentioned in Table 28, the dominant western-based leadership theories – established in and for contexts of stability – do not hold sway. Thus, for leaders in South Asia to be successful, versatility is one central attribute that is essential in order to deal with: constant change and increasing diversity; increasing demands, challenges and complexity; numerous cultural dimensions; increasing sectoral and organisational restrictions and decreasing institutional and organisational space and time; shifting focus and priorities, and new and changing stakeholders. There is, therefore, an indication that further consideration of 'Asian-based leadership theory', for the way IHDOs' leaders operate in South Asia, holds value. Nonetheless, the Implicit Leadership theory still lacks: coverage of many characteristics, competencies and attributes (other than 'morality'); the influence of the complex contexts in which IHDOs' leaders operate; the influences of leaders' organisations, and the numerous influences from the aid sector. Hence, for IHDOs' leaders working in South Asia, the new Leadership Theory of Versatility is now proposed.

## 8.4 IHDO leadership theory of versatility

### 8.4.1 Leadership theory of versatility: its rationale

Adaptability and flexibility, two commonly-presented qualities required of leaders, tend to infer negative connotations, being more reactive as opposed to proactively engaging in the contexts and situations, and acting upon the challenges that leaders face. According to the Cambridge Dictionary, the English Oxford Dictionary and Dictionary.com (2017) (Chapter 2, section 2.2.7), definitions of both adaptability and flexibility include, *'To be changed'*, *'To be easily modified'*, and, *'To be willing or disposed to yield'*, presenting the context or conditions as the subject, and the leader rather as the object. Indeed, many of the highest rated competencies (both from the quantitative and qualitative findings) – problem-solving, dealing with conflict, learning from error, and taking risks – infer that current leadership practice in the aid sector is both volatile and reactive, and more one of 'fire-fighting'. This is likely due to the continuous shift in context, more uncertainty and fragility, and the need for shorter-term thinking. However, according to the Oxford English Dictionary and American Dictionary (2018) (Chapter 2, section 2.2.7), versatility is defined as, *'The capability (comprising ability, fitness and quality) to adapt to many different functions or activities; to be able to do many things, competently'*. This presents the leader as the subject, proactively capable of facing numerous different and changing demands, functions or activities, from different positions and perspectives, competently. Herein the situations and challenges become the object, upon which the leader (subject) acts. Existing leadership theories and models highlighted such competencies as 'creating a vision' and 'strategic planning', both signifying longer-term perspectives (Chapter 2, section 2.2.3). However, given the above-mentioned continuous change and volatility of IHDOs leaders' circumstances today, taking a more proactive stance and applying versatility, *'Leaders [should be able to] anticipate situations coming up, anticipate the consequences, and identify measures in order to meet challenges successfully'* (IHDO Country Director, India, personal communication 12.12.16 in Chapter 7, section 7.4). For successful leadership to be possible, an underlying philosophical foundation and set of principles are proposed as necessary for the herewith introduced 'Leadership Theory of Versatility', described in the following two sections.

### 8.4.2 Leadership theory of versatility: elaborated based on research and practice

As explained in Chapter 4, section 4.4, no hypothesis was established for this research due to its complex, predominantly subjective, interpretive nature. The proposed leadership theory of versatility is based on the epistemology of pragmatism, geared towards identifying real-world solutions for the improvement of IHDO leadership in South Asia. This theory's ontology combines the perspectives of both objectivism and subjectivism (that reality both exists and is equally created), and is aligned to the diverse cultural dimensions, influences and perspectives intrinsic to South Asia (Chapter 3, section 3.2). This theory's axiology (i.e. the role of values in the research that influenced its elaboration - both biased and unbiased), has been established on multiple perspectives. Aside from this researcher's own perspectives and experiences, these include: 209 survey respondents (two pilot versions and the final version), 52 sampling organisations' participants, and 6 thesis reviewers, representing 24 nationalities and at least 116 different organisations<sup>6</sup>, presented in the interactional constellation in Figure 44.

Figure 44: The multiple perspectives of actors on IHDO leadership in South Asia



<sup>6</sup> These include the 'at least 109 IHDOs' from the final survey, and the two pilot surveys, as well as sampling organisations' participants and thesis reviewers

The theory also builds on aspects of the well-known and accepted 'western-based' Contingency, Situational, and Integrated Psychology Leadership theories, as well as the 'Asian-based' Implicit Leadership theory (Chapter 2, section 2.2.1). The Leadership Theory of Versatility is also founded on analysis of a broad range of literature on leadership, specifically in and on the aid sector and South Asia. It is consolidated by field research findings through a survey and case studies, undertaken with relevant experts working as IHDOs' leaders in South Asia, and from key stakeholders providing pertinent knowledge and experience from within and affiliated to the aid sector. Additionally, this theory has also been informed by over fifteen years of observations and analysis, and this researcher's experience working as an IHDO leader within different organisations, teams and countries, specifically in the three South Asian research countries.

To develop a new theory specifically for IHDOs' leaders and leadership, existing theories of leadership were tested using deductive research based on the research questions and findings from the literature, which formed the basis of the investigative instrument, the quantitative survey. Deductive reasoning assisted in taking the general theories, honing down (from the findings from the survey) and extracting key elements as the basis for further exploration. Subsequently, an inductive approach was taken to identify and elaborate concepts and theory from the qualitative case studies (Chapter 4, section 4.5-6). Inductive reasoning then took these specific aspects and built them into new concepts that form the basis of the proposed leadership theory of versatility. Six principles – elaborated below and founded on the primary and secondary research undertaken – are recommended to underpin this theory, focused on key themes within the research questions.

#### **8.4.3 Leadership theory of versatility: its six underlying principles**

Six principles, which are aligned to the thematic elements within the research questions (Chapter 4, section 4.1), and compiled from analysis undertaken within this research, form the basis of the proposed IHDO leadership theory of versatility as a foundation for more successful IHDO leadership. They are founded on the key research findings – both quantitative and qualitative – and directly relate to six influencing factors for successful leadership, namely (1) leaders own intrinsic (personal and professional) qualities; (2) how leaders need to interact with others; (3)



the focus of leaders' roles, functions and tasks;(4) integration of the external influences that must be accounted for in carrying out these roles, functions and tasks; (5) incorporation of the circumstances in which leaders operate, and (6) how leaders should address and work with the framework of professionalism.

**1. The principle of intrinsic leadership quality:** successful leaders utilise an appropriate blend of their own characteristics, competencies, attributes, styles and approaches. They are versatile, and appropriately utilise intuition, where relevant, and as far as possible in combination with more empirically-based fact. They are ready, willing and able equally to unlearn as to learn. Their own psychology, values, action logic, and development readiness are reflected in the undertaking of their roles, functions and tasks in humanitarian, transitional and development work. They appropriately apply and wisely utilising their positions of power to achieve goals and objectives. They continuously strive to create the space and time to grow as leaders through self-reflection and self-development (Chapter 2, section 2.2.3; 2.5-7; Chapter 3, section 3.5.3; Chapter 6, section 6.3.1-4; 6.3.9.9; 6.4; Chapter 7, sections 7.3-7.5).

**2. The principle of leadership interaction:** successful leaders capably and with authenticity, adapt their interactions to best suit the needs of their teams, individuals, peers, clients, partners, beneficiaries, donors, and other stakeholders with whom they engage. This approach defines and shapes their interaction and positioning of their relationships (e.g. leading from the front, the back, the side), and the style of that interaction. They apply excellent communication skills (listening, speaking and writing), factoring in abilities of others that are – as the leaders' themselves – often required to communicate in a language other than their native one (particularly the case for leaders working in multi-lingual situations). Leaders understand the political, social and cultural interests and powers of stakeholders, and utilise the skills of diplomacy, negotiation, manoeuvring ability and conviction to ensure the outcomes of their interactions meet the expectations – as far as possible – of all stakeholders concerned. They can, with proficiency, create and assimilate conceptual ideas and translate them into practical, easily understood messages. They lead and interact by example and act as a moral compass, equally encouraging and developing these qualities in others with whom they interact. (Chapter 3, section 3.5.3; Chapter 6, section 6.3.2; Chapter 7, section 7.3-4).

**3. The principle of leadership focus:** successful leaders can ably concentrate on the parallel accomplishment of multiple personal, professional and organisational goals and objectives. They gear their thoughts and actions towards high performance, whilst factoring in and addressing thematic and aid sector challenges, changing priorities and directions, and the abilities of those they lead. In the aid sector that shifts in direction and locus, and in a region of the world rife with diversity, successful leaders are able to re-invent themselves and enhance their skills to remain focused on existing, moving or new targets and objectives (Chapter 2, section 2.2.3; Chapter 3, section 3.5.3; Chapter 6, section 6.4; Chapter 7, section 7.8).

**4. The principle of influence:** successful leaders anticipate, understand and respond proactively, effectively and efficiently to existing and new influences from their IHDOs and from the aid sector. To add value to their work, they incorporate concepts and practices, leadership tools and instruments from the private sector. They apply theory, concepts and principles developed in the academic world, and equally contribute to the development of relevant curriculums through the sharing of experience. The plethora of cultural perspectives and dimensions of their countries of operation, their organisations, their countries' and diverse donors' expectations, their teams and stakeholders, are respected, adapted to, but equally challenged where pertinent; cultural similarity is given equal prominence to cultural diversity, and both are optimised in leaders engagements and undertakings (Chapter 3, sections 3.3.3 and 3.5.1-3; Chapter 6, section 6.3.5; Chapter 7, section 7.6).

**5. The principle of circumstance:** successful leaders adapt capably and swiftly to their operating contexts and working conditions. They manage complexity, instability, fragility and change, in new environments, new countries, new organisations, new positions, and in facing new requirements and demands placed on them. They create the space and time necessary to proficiently address these challenges, and promote these practices within their organisations and teams. Even under increasingly restrictive regulations and procedures, they maintain high productivity and performance. Successful leaders are willing and self-confident in their ability and conviction to challenge and change their institutional and organisational circumstances to enable themselves, their organisations and teams, and in relevant cases their partners, to work more effectively and efficiently (Chapter 2,

section 2.2.3-8; Chapter 3, section 3.3.3; 3.5.2.2 and 3.5.3; Chapter 6, section 6.3.2; 6.3.3.1; 6.3.5.3-4; 5; Chapter 7, section 7.6).

**6. The principle of professionalism:** successful leaders act as professionals, leading by example.

They filter, apply and adopt relevant and appropriate components of professionalism, and incorporate new professional concepts and practices in their work. They competently blend the need for specialist and generalist skill-sets, and incorporate the proposed adapted and new tenets of professionalism (Table 30 and Table 31) within their leadership approaches. They maintain a high level of quality in their work, apply and share knowledge when and where meaningful, based on sector-specific requirements and their IHDOs' codes of conduct and ethics. Successful leaders and their organisations apply appropriate performance appraisal systems, and develop the skills necessary for their application within specific contexts and cultures, not just for leaders but for all their IHDOs' staff. They set and maintain high standards, and promote these by example within their teams and organisations. They strive to pursue the overarching objective of being a professional; they must satisfy their clients, be they partners, beneficiaries, donors, organisations or other stakeholders for whom they provide services (Chapter 2, section 2.3.1; Chapter 3, section 3.6.2-3; Chapter 6, sections 6.3.9.10; Chapter 7, section 7.7).

#### **8.4.4 Leadership theory of versatility: for IHDO leadership in South Asia**

Whilst the leadership theory of theory is elaborated based on the need for improvement in current leadership practice in the aid sector, it provides a foundation for current and future IHDO leadership in South Asia. Encompassing four of the world's largest religions (Islam, Hinduism, Buddhism and Christianity), and being one of the world's most culturally diverse regions (Chapter 3, section 3.2, map 1), even if were it stable, South Asia still presents an operating context of complexity that requires IHDOs' leaders to continuously adopt and adapt relevant and fit-for-purpose approaches. South Asia remains one of the regions containing most of the world's poorest people, as well as having numerous longer-term governance issues and challenges to face (Chapter 3, section 3.2). Thus, having a common theoretical background for IHDO leadership, together with a common set of underpinning principles, can assist IHDOs in providing versatile and more successful leaders, tailored to the specific, continuously changing, diverse and complex needs and challenges of the

operating contexts in this region. Clearly, leadership models (currently dominantly developed in the west) need to be more tailored to local contexts (Chapter 2, sections 2.2.1-2, and 2.4.1; Chapter 3, sections 3.4.3 and 3.5.3). This requires IHDOs and their leaders to re-invent themselves to be more successful in South Asia in its current, new and challenging environments. More 'aid sector-specific professionalism' in IHDO leadership models (Tables 30 and 31), can better assist IHDOs' leaders in addressing large scale naturally-triggered disasters and conflict, and longer-term governance and developmental issues, as are prevalent in South Asian countries (Chapter 3, section 3.2). This includes promoting and nurturing more South Asians in and into leadership roles, something that also remains in deficit (Chapter 3, sections 3.5.2.2 and 3.6.1). Engaging more IHDOs' national leaders under the same theoretical framework and principles can support and contribute to ensuring that IHDO leadership remains constantly relevant and applicable for the contexts in which they operate, and the range of roles, functions and tasks demanded of them.

As all three sampling frame countries – India, Pakistan and Sri Lanka – are labelled as 'lower-middle income countries', professional activity has apparently boomed over the past 10 years (Chapter 3, section 3.2). The end to the conflict in Sri Lanka in 2009, the post-disaster recovery from the flooding in Pakistan in 2010, and the growth of India as a key regional economic force, signifies the need for IHDOs' leaders to inculcate and employ pertinent aspects of professionalism when dealing with national stakeholders (Chapter 7, sections 7.4; 7.6 and 7.7). Thus, versatility theory and its underlying principles of attribution, interaction, focus, influence, circumstance and professionalism will be both significant and highly relevant if considered and applied by IHDOs' leaders in South Asia.

## **8.5 Connecting the leadership theory of versatility to practice**

The leadership theory of versatility has been elaborated as a normative model for IHDOs' leaders and leadership in South Asia. It is fundamentally based on this research, including relevant existing leadership theory, findings and analysis of primary and secondary data, and as a response to the main research questions. The leadership theory of versatility can be applied to and support leaders and leadership of IHDOs in the aid sector, so as to facilitate their greater success. In support of this theory, in practical terms, and followed by a set of practicable recommendations, responses to the overall and three sub-research questions are now presented in Chapter 9.

## **Chapter 9: Conclusions and recommendations for successful IHDO leadership practice**

### **9.1 Overview of this chapter**

Chapter nine presents practical leadership solutions and recommendations based on the literature reviewed, the findings and analysis of the quantitative and qualitative elements of the research, and elaborates on how to implement the newly-elaborated theory of versatility.

In sections two to four, theoretical perspectives are translated into practical solutions that offer 'real world' success factors for IHDOs' leaders in South Asia. These proposed solutions address key themes within the research sub-questions:

- 1. Which characteristics, competencies and attributes are essential for IHDOs' leaders?*
- 2. What factors influence the success of IHDOs' leaders and leadership?*
- 3. How can professionalism contribute to better leadership in IHDOs?*

The proposed solutions focus on: necessary IHDOs leaders' characteristics, competencies, and attributes; dealing with the main influences on IHDOs' leaders and leadership (with an emphasis on the aid and private sectors, from IHDOs, from the operational context, from the numerous dimensions of culture, and from themselves and their teams); addressing professionalism (including a proposed set of adapted and new professional tenets for IHDO leadership), and ultimately providing a set of recommendations for successful leadership in IHDOs in South Asia.

The fifth section summarises practical conclusions for the overarching research question:

***How can leaders and leadership be more successful in international humanitarian and development organisations in South Asia?***

The sixth section presents three sets of recommendations. Firstly, proposals for follow up research based on the findings, analysis and conclusions of this study are presented. Secondly, ideas are put forward for approaches by which the theory of versatility may be tested. Thirdly and finally, recommendations are made for new research that would add value and further significance to these

findings in light of their South Asian perspective. The aim of this latter section is to draw out potential implications of these findings for IHDOs' leaders on a more global scale.

## **9.2 Characteristics, competencies and attributes essential for IHDOs' leaders**

Leaders own characteristics, competencies, attributes, needs and interests were seen as the biggest influences on their success (Chapter 6, section 6.3.5.1, table 18). These include innate, learned and developed qualities and capabilities, in turn affected by leaders' environments, comprising their upbringing, backgrounds and experiences. Where these leaders come from, and how those environments are also changing, need further to be incorporated into IHDOs' leaders HR planning, development, performance appraisal and retention. Further, IHDOs have a responsibility to consider more carefully the well-being of their leaders, including how to deal with the leaders' families, given the increasingly complex and unstable operating contexts within which they are placed (Chapter 7, section 7.6).

The main leadership characteristics, taken from the literature, ranked in the survey, and discussed in the case studies, are presented in Annex 2. These include the characteristics of humility, self-reflection and self-conviction – brought up in IHDOs' leaders KIIIs and followers FGDs (Chapter 7, section 7.3). The most prominent amongst all characteristics – integrity, trust, and learning from error – were rated as such by all respondent types, across gender, nationality and location (Chapter 6, section 6.3.1.1). The importance placed on learning from error increased with years of IHDO leadership experience suggesting that there remains room for improvement in leadership lessons being learned and applied.

HQ respondents, and formulators of IHDOs' policy related to HR practices, management, development and retention, differed in their opinions on some of these characteristics (Chapter 6, sections 6.3.1.2; 6.3.2.3; 6.3.4.3; and 6.4, table 23). This is manifest currently with no specific training programmes being geared towards the development of IHDOs leader's characteristics (Chapter 3, section 3.6.1; Chapter 7, section 7.4). Further, the difference of opinion between HQ and field-level leadership on several aspects has implications for the future prominence placed on policies related to the sourcing and use of characteristics for leadership success (Chapter 6, sections 6.3.1.2, and 6.4).

Followers equally differed in their opinions of the importance of leadership characteristics, rating many of them to be of less importance than the leaders themselves (Chapter 6, section 6.3.1.3). To be successful (i.e. to fulfil the satisfaction of their staff - amongst other stakeholders), more prominence should be placed on leaders developing appropriate characteristics. Nonetheless, in the literature and in the current practice, competencies were and are generally rated of overall more importance than characteristics for leadership success (Chapter 2, section 2.2.1; Chapter 3, section 3.5.2.2; Chapter 6, section 6.3.2.6; Chapter 7, section 7.3-4). Therefore, IHDOs need to place more emphasis on the characteristics of their leaders in recruitment processes; promoting, developing and nurturing them; measuring characteristics in their performance appraisals, and ensuring that their leaders are retained.

The main competencies, taken from references in the literature, ranked in the survey, and discussed in the case studies, are presented in Annex 3. The most prominent amongst these were categorised under the abilities of adaptability, problem-solving, dealing with conflict, learning from and managing change, managing diversity and complexity, listening and critical judgement (Chapter 6, sections 6.3.2.6 and 6.3.4.4). These abilities infer that longer-term planning and visioning – presented in the literature as key leadership abilities – are now paralleled by a requirement for adaptation and ‘fire-fighting’.

HQ respondents placed more prominence on taking risks and inter-cultural competencies for their leaders, both demanding versatility (Chapter 6, section 6.3.2.6). Yet, in parallel, they apply more stringent regulations, compliance mechanisms, and, in-line with sectoral demands, more requirement for transparency and accountability (Chapter 3, section 3.5.2.2; Chapter 7, section 7.6.1). According to some of the findings, stronger drive from IHDOs to measure their leaders against performance (i.e. achievements, positive impacts on people’s lives, stakeholder satisfaction) and not just numbers (i.e. size of team, size of budget, scale and scope of work), is essential (Chapter 7, sections 7.6.1 and 7.7). From an additional IHDOs’ HR policy and practice perspective, the need for leaders to have cultural competence far outranked the three main competencies currently demanded in recruitment processes: technical skills, academic qualifications and years of experience (Chapter 6, sections 6.3.2 and 6.3.5.5). Leadership success in the South Asian context could therefore be

thwarted, and continue to be, unless these issues are addressed by IHDOs, gearing their leaders towards better performance, and factoring in to a higher degree the importance of cultural competence in recruitment. Interestingly, the need for cultural competencies was seen as more important by European IHDOs' leaders working in South Asia, than by their fellow South Asian leaders of IHDOs (Chapter 6, section 6.3.5.6) and by IHDOs HQs. This infers that western-based IHDOs do not emphasise the need for cultural competence enough in their policies related to recruitment practice, whilst their international leaders abroad promote the importance of culture over and above the national (leaders and followers) within whose contexts they operate. Clearly the aspect of culture remains highly complex but important. In terms of working in the South Asian context, it is proposed that IHDOs and their leaders need to consider aligning more closely to the host government's humanitarian and development priorities and needs (Chapter 7, section 7.4).

IHDOs' leaders generally rated the importance of both characteristics and competencies as more important than followers (Chapter 6, section 6.2.3.6 and 6.3.2.6). This was perhaps driven by the leaders more acute understanding and experience of the aid sectors' and organisational demands, and as a result less focus being placed by followers on 'what' leaders do and 'how'. However, leaders, to be successful, need equally to unlearn as to learn, and as a prerequisite need to put their egos aside (Chapter 7, section 7.3). This requires willingness, self-awareness, and humility: three of the key characteristics highlighted by both survey respondents and sampling organisations' participants.

Versatility is considered as a highly significant attribute for successful leadership in the context of South Asia. It is equally essential for those leaders moving in and out of the sector, and between different IHDOs and contexts. Leader's willingness, agility with their perspectives, and capacity and capability to identify which tools and instruments to use, and to provide a variety of solutions for situations faced, are prerequisites. Yet versatility is blocked by increasingly restrictive institutional, organisational and programmatic space, with ever increasing demands for compliance with regulations and rules, pre-defined approaches and tightly-bound objectives (Chapter 3, section 3.5.2; Chapter 6, section 6.3.5.3; Chapter 7, section 7.6). Given the current openness towards, demand for and use of the terms flexibility and adaptability, albeit with the previously-mentioned



negative connotations, it is proposed that the theory of versatility, with its practice and underpinning principles, will provide the solution to this impasse.

Intuition is needed and used by leaders in South Asia on a daily basis across the humanitarian-transitional-development continuum (Chapter 3, section 3.5.3; Chapter 6, section 6.3.4; Chapter 7, section 7.5.3). This includes the use of intuition for critical decision-making in complex conditions which are prevalent in the region. It contributes to the response to demands for creativity and innovation, but requires leader's self-awareness, self-confidence and self-conviction to be optimised. Yet lack of courage, and fear of retribution when using intuition in decision-making, within compliance-bound institutional and organisational contexts, reduces its potential (Chapter 7, section 7.5.3); it is essential in nature, but not nurtured by IHDOs. The demand for evidence-based decision-making and fear of audit reports, and the requirement for transparency and accountability negate IHDOs from promoting intuition's applicability and encouraging its use (Chapter 7, section 7.5.4). Despite the importance of intuition, problems are faced in its measurement. IHDOs lack the resources, methods, tools and skills (and perhaps willingness) to aptly attribute success to the influence of a leader's intuition (Chapter 6, section 6.3.4.1). Further, leaders' backgrounds form a part of their intuition; this is not without risks from negative experience. Yet risks can be mitigated by leaders when combining the use of 'gut-feelings' with empirical information, and the application of concrete tools and processes when undertaking their roles, functions and tasks (Chapter 7, section 7.5.3). Leaders backgrounds, characteristics, competencies and attributes, and their IHDOs, are all affected in some shape or form by the aspect of culture, and their organisations and the aid sector, discussed next.

### **9.3 The main influencing factors on the success of IHDOs' leaders and leadership**

IHDOs' own cultures, working environments, and HR processes, as well as the demands they place on their leaders, need re-thinking. Given the challenges and constraints IHDOs' leaders face, and the deficits of their effectiveness mentioned in the literature (Christiansen, K. and Rogerson, A., 2005; Harvey, P. *et al.*, 2010; Buchanan-Smith, M. and Scriven, K., 2011; Darcy, J. and Clarke, P. K., 2013), leaders need nurturing, motivating, encouraging and to be cared for, just as is demanded of them by their own teams. IHDOs must find the balance between allowing the space and time for

their leaders to use their abilities, including intuition and versatility. They must provide them the institutional and organisational space and time for their own growth alongside the increasing pressures and demands placed on them, if their leaders are to be successful (Chapter 3, section 3.5.3; Chapter 7, sections 7.5 and 7.6). The focus on quantity and results must be appropriately balanced with those of quality and processes in the way leaders work. Overall performance of leaders, when measured, should factor in the above-mentioned aspects, demanding that IHDOs require changes in their learning cultures (i.e. unlearning old ways of measuring performance), developing new performance measurement systems, and upgrading their skills accordingly for more appropriate appraisal processes (Chapter 3, sections 3.5.2.2 and 3.6.2-3; Chapter 6, sections 6.3.7.1 and 6.3.8.1; Chapter 7, sections 7.3-4).

IHDOs HQs' leadership and IHDOs' field (South Asian countries) leadership differ in perspectives, values and the importance placed on several leadership aspects (Chapter 6, section 6.4, table 23). These positions must be better aligned and harmonised if policy formulation is to be relevant and practicable in IHDOs' endeavours in the South Asia region. The consequential responsibilities (role, functions and tasks) allocated to leaders – aligned to IHDO leadership strategies and structures – must be fit for purpose. This includes appropriate distribution and equilibrium between power and authority (and remuneration – a subject only briefly touched upon in this research), and between individual leaders and collective leadership teams. Different situations, team sizes, programmatic content and objectives, should directly influence IHDOs most suitable leadership constellations (Chapter 3, section 3.5.2.1; Chapter 6, section 6.3.6.1; Chapter 7, section 7.6).

IHDOs must reflect on and balance the sector's (and their own) demands for compliance, transparency and accountability, with the requirement for their leaders to optimise their own and their team's performance. Other aid sector influences – shifts in funding mechanisms, new thematic directions (e.g. more focus on fragility, environment, forced migration), and their locus – require IHDOs to develop new skills in their existing leaders, or bring in new leaders to remain successful (Chapter 3, section 3.5.2.1 and 3.5.3; Chapter 7, section 7.3-4). Influences from the private sector (not just theory but also practice) are already incorporated in many IHDOs' approaches to leadership (Dickmann, M. *et al.*, 2010; Cooper, G., 2012; Bromley, P. and Meyer, J. W., 2015). HR practices

adopted from the private sector, including performance management, management for results, capacity development initiatives (training programmes, vertical learning, coaching, counselling etc.), performance appraisal systems, and strategies for retention, can add value to the way IHDOs' leaders operate. Continued Professional Development should feature as an integral part of the way IHDOs support their leadership (Chapter 2, section 2.3.1; Chapter 3, section 3.6.1; Chapter 6, section 6.3.7). There is potential for more collaboration with and integration of private sector actors and their practices into the aid sector. More IHDOs need to be open and willing to optimise these, as they are seen to add value by some organisations (Jayawickrama, S., 2011; Knox Clarke, P. and Obrecht, A., 2015). The importance placed on qualifications by IHDOs' South Asian staff, provides an opportune and enabling basis (Chapter 7, section 7.7). In turn, more sharing of best practices and lessons learned from field experiences with academic institutions, can facilitate the development and enhancement of curriculums tailored towards the aid sector and its leaders' needs (Clarke, P. K. and Ramalingam, B., 2009; Taylor, G. *et al.*, 2012; ELRHA, 2013; ALNAP, 2014).

An understanding and experience of cultural dimensions, and having cross, inter and intra-cultural competence is of paramount importance for successful IHDO leadership, specifically in South Asia. Influences that must be considered include: the South Asian region with its cultural diversity; the aid sector with its values and norms; IHDOs and their own cultural backgrounds and environments; leaders themselves from different cultural backgrounds, and their local teams and stakeholders (Buchanan-Smith, M. and Scriven, K., 2011; Bonner, L. and Obergas, J., 2008; Dickmann, M. *et al.*, 2010) (see also Chapter 6, section 6.3.5.5). The aspect of culture is of significantly higher influence than the influence of the team, task and individual, yet missing from the works of still prominent leadership theorists (i.e. Likert (1961); McGrath (1962); Herzberg (1964); Vroom (1964); Adair (1973); Hersey and Blanchard (1977); Hackman and Walton (1986); Vroom and Jago (1988)) (Chapter 2, section 2.1.1). According to the survey respondents (Chapter 6, section 6.3.5.5, table 21), the culture of the leaders and their teams are seen as more influential than those of their IHDOs and South Asian countries; these phenomena should be addressed by IHDOs in preparing their leaders to take up and capably handle their responsibilities.

South Asia as a region contains all the humanitarian challenges and longer-term development needs that the aid sector currently targets, and that its leaders need to be prepared for in the future (Chapter 3, section 3.2). These include challenges such as fragility, protracted crises, poverty, forced migration, environmental concerns, south-south partnerships, cooperation and funding mechanisms, an evolving corporate sector, and a constantly changing and dynamic economy and society (Chapter 3, sections 3.2-3). For leaders to be successful in this context, their own cultural dimensions and competencies must be aptly applied, so as to accept and adapt to, but equally and astutely challenge the cultural status quo with sensitivity if and where required (Chapter 7, sections 7.4-5).

#### **9.4 Professionalism's contribution to better leadership in IHDOs**

The value of professionalism, in its current form, is debated within the aid sector (Marcos, F. R., 2010; Walker, P. and Russ, C., 2010; Camburn, J., 2011; Aidsource, 2012; ELRHA, 2012b; Darcy, J. and Clarke, P. K., 2013; Derderian, K., 2013). Its three central tenets – a monopoly over and use of a specialised body of knowledge, technical specialist skills, and qualification from an accredited academic institution – remain flawed in terms of their supporting modern successful leadership in IHDOs (Chapter 2, section 2.3.1; Chapter 3, section 3.6.1; Chapter 6, sections 6.3.9.1 and 6.3.9.8). The current bi-polar dispute around professionalising the sector itself in South Asia, with such a plethora of actors, remains a dilemma. Certified entry to the aid sector excludes – particularly at the humanitarian end of the spectrum of activities – altruism and volunteerism, upon which humanitarian principles themselves are founded (Chapter 6, section 6.3.9.2). Self-regulation (and self-criticism), in an environment of pressure to demonstrate transparency and sharing of knowledge and best practices, is at best controversial (Chapter 7, section 7.7). The softer aspects of professionalism – professional attitude and behaviour, alongside EI – do not receive enough prominence, even though these were rated as more important than the harder technical aspects by nearly all research participants (Chapter 6, section 6.3.9.5; Chapter 7, section 7.7). Yet they are equally lacking as essential elements for leaders in many IHDOs' HR policies and practices.

Two dominant and still pertinent elements of professionalism related to IHDO leadership – client-service orientation and self-development – still hold sway (Chapter 2, section 2.3.1; Chapter 6, sections 6.3.9.6 and 6.3.9.9). However, with the former, the 'client' has several connotations given

the range of actors engaged in the sector, from donor, through government to beneficiary. With the latter, self-development requires time and space to be provided by both IHDOs and their leaders. Yet increasing demands, increasing complexity, and continuous change, afford little of either time or space for leaders to up-skill or re-invent themselves to be more successful and fit for purpose in the current and future aid sector in South Asia. To develop IHDO leaders as professionals takes more time than to just educate or teach them about leadership, and to do their jobs (Kellerman, B., 2018). Professional leadership programmes, their content and focus, need rethinking, with the inclusion of followers, placing leadership within the context that leaders operate, and equally learning from both good and bad leadership techniques (Idem).

The increasingly competitive nature of the aid sector or 'aid industry' (PRS, 2013), and the current and increasing involvement of private sector actors and methodologies, presents a challenge to IHDOs' leaders, particularly regarding the ownership and use of knowledge (Gorton, M., 2008; Evetts, J., 2010; Muzio, D. and Hodgson, D., 2013; Rutledge, A., 2013). Yet opposing perspectives persist about the private sector's role and values in the aid sector, and the ethics of 'for-profit' engagement, though more from humanitarian than development-orientated organisations (Chapter 3, section 3.4.3; Chapter 6, section 6.3.5.4). Professionalism itself therefore remains controversial, but it goes with the territory; the 'aid business' is changing, and the drive for meeting performance standards and targets requires new ways of thinking and doing, that can be learned and adapted from the corporate world (Chapter 7, section 7.6).

The original tenets of professionalism are presented in a gender neutral manner (Chapter 2, section 2.3.1). However, the elements of culture and context, along with many other cross-cutting responsibilities and influences (that IHDOs' leaders have to deal with effectively on a daily basis in South Asia), must feature in a professionalism better suited to the aid sector's needs. Indeed, where versatility is what is required, much of professionalism's philosophy, ideals and principles oppose this with more restrictive IHDO leadership regulations, hindering leaders from optimising their potential and successfulness (Buchanan-Smith. M., 2003; Van Wassenhove, L. N., 2006; Scott, A. *et al.*, 2008; Clarke, P. K. and Ramalingam, B., 2009; Walker, P. and Russ, C., 2010; ELRHA, 2012b; Cooper, R., 2013).

IHDOs' leaders in South Asia need support from their organisations, to look up and outside their organisations, as well and down and inside (Chapter 6, section 6.3.9.7). Different IHDOs, their mandates and operating conditions, require this to varying degrees. IHDOs leaders' focus should be on performance and results, as well as the process, but their level of professionalism should not be measured or judged by their organisations or donors, solely in terms of numbers. IHDOs' leaders require the courage, as professionals (leading by example), to speak up, to not have fear of reprisal, and to have self-conviction (Chapter 2, section 2.2.5 and 2.3.1; Chapter 6, sections 6.3.4.1 and 6.4; Chapter 7, sections 7.3 and 7.5.3). This may require them to challenge the norms, procedures, and status quo in their organisations (Chapter 7, section 7.4). Thus, professionalism itself needs to be adapted to better suit the aid sector, with a relevant and meaningful set of tenets that support IHDOs, their leaders and their aid sector, to become more successful. In Table 29, the existing tenets of professionalism are elaborated along with their advantages and disadvantages.

Table 29: Existing tenets of professionalism: advantages and disadvantages for IHDO leadership

Existing tenets of professionalism		
Existing tenets	Uses / advantages	Challenges / disadvantages
Monopoly over and use of a specialised body of knowledge	Offers leadership competitive advantages, particularly for funding purposes	Leaders and IHDO lessons and best practices are 'lost' not 'learned' outside their organisations; harmonisation and potential collaboration is restricted
Technical specialist skills	Ensures targeted leadership expertise, particularly for short-term, specific and narrow scope assignments	Risks the leaders lack capability to adapt as required to continuous change, and to operate in uncertainty; inappropriate for larger-scale endeavours and longer-term engagements
Qualifications from an accredited academic institution	Allows IHDOs to quickly ascertain level of knowledge of leaders; ensures leaders have a relevant 'theoretical' knowledge of subject area	Risks disqualifying leaders with high EQ and those with less ability to access or fund such qualifications; places emphasis on 'what you know' rather than 'what you know how to do'
Certified entry to the sector or profession	Ensures selected standards are known and provides basis for added value in leadership recruitment processes	Risks disqualifying personnel (volunteers especially) and potential leaders from entering the sector; if not undertaken, risks creating tension with those who are already certified in what they do
Self- or peer review to monitor and measure performance	Encourages leader and IHDO reflection; adheres to 'individual IHDO performance measurement' processes and standards	Creates parallel standards, within the sector, between IHDOs and between leaders; risks bias in leaders performance measurement
Established codes of conduct and ethics	Provides a framework and guiding principles for all personnel including leaders (who must then be role models)	Has become geared towards compliance, and can be felt to be too restrictive for effective leadership
An altruistic attitude	Geared towards leaders leading on (and by example in) service-orientation and working harmoniously with others	Is outdated based on professionalisms' roots, where today's sometimes hard-line conditionality and tough decision-making are part and parcel of leader's roles; contradicts the more 'remuneration-based' and 'for-profit' interests of some aid sector personnel and their organisations
The display of appropriate behaviour	Ensures that leaders necessary interaction with a wide range of stakeholders can take place effectively	'Appropriate behaviour' in some cases may be influenced or hindered by lack of leader's courage or conviction, or fear of reprisal; tough decision-making behaviour - to ensure the right outcome - may 'appear' inappropriate
Emotional intelligence	Ensures that benefits from characteristics, traits and non-formal education are given space in the work and interaction of leaders with others	Certain leadership situations require 'distance from emotion' to ensure the right decision is taken and path is followed: 'emotions' should not get in the way'
Client-service orientation	Maintains focus and provides overarching rationale for leadership decisions	Leaders 'clients' and their needs and interests often change; clients are, in their own right, a broad range of stakeholders making appropriate service-orientation difficult
Continuous self-development	Facilitates that leaders adapt and develop new skill-sets for continuously changing and new contexts, and sector and organisational priorities	Leader's personal/professional and organisational space and time restrict this; time may be seen by the leader's IHDO as taken away from 'getting on with the job in hand'

By comparison, in Table 30, this researcher proposes an 'aid sector-specific' framework of professionalism and its tenets (based on the original tenets), grounded on the findings from this research, and in response to the research's sub-question on the potential effect of professionalism on better leadership.

Table 30: Proposed adapted tenets of professionalism: advantages and necessary organisational support for IHDO leaders

Proposed new adapted tenets of aid sector professionalism		
Proposed equivalent tenets	Uses / advantages	Necessary organisational support
Knowledge is applied appropriately	Leadership knowledge where required remains internal: this is specifically the case for sensitive personnel matters, or internal organisational development. Lessons learned and best practices are promoted and applied, and shared both inside and outside the IHDO	IHDO policy and practices on knowledge management (both internal and sectorally) need re-thinking; IHDOs must recognise the difference between personal knowledge and assignment knowledge, and implement policies accordingly (i.e. personal knowledge is treated with sensitivity and assignment knowledge is shared)
Appropriate blends of specialist and generalist competences	Whether short or long term; narrow or broad focus; large or small teams; projects or programmes, leaders can apply skill-sets suited to the demands placed on them, and fitting their organisational requirements	IHDO HR management and development policy and practice (from recruitment planning to leadership assignment) needs to be fit for purpose (principle of form follows function). IHDOs need to specify the need for and develop relevant generalist or specialist competences in their leaders, dependent on the assignment
Relevant academic qualifications suited to the position	Whether leadership gains value from a deep theoretical and academic background, or needs more of an 'experience-based' approach, IHDOs should optimise and seek leaders with the right kind of background. This ensures appropriate knowledge is available and applied for given situations	IHDOs need to: screen the leadership positions they advertise; identify and present the immediate and longer-term academic, certification, and experiences necessary for their leaders; enable their leaders to commence, develop, and remain suited to the positions allocated to them
Additional certification	Certification is applied where relevant, and only where existing professional qualifications are not deemed sufficient for the leader to capably fulfil his/her role, functions and tasks	
Monitoring and measuring performance	Leaders performance and progress evaluation can be undertaken by their own IHDOs, based on intimate knowledge and understanding of the role required of them. In some cases, added value is obtained from the perspectives of key stakeholders with whom the leaders interact to undertake their responsibilities	IHDO HR policy for performance appraisal of their leaders needs adapting: new policies, tools and instruments for measuring performance need to be developed and applied, and IHDO staff carrying out performance appraisals require new skill-sets. Key stakeholders should be informed and involved where required
Adapted code of conduct and ethics - for leaders, staff, and IHDOs	Codes of conduct and ethics should be tailored to contain specific requirements for IHDOs, leaders, and other personnel. In this way, clarity is provided for all parties concerned. Each hierarchical level is responsible for the regular monitoring and enforcement of codes for the level below them	IHDOs need to upgrade their organisations codes of conduct and ethics accordingly. They should ensure that their leaders are responsible for adhering to an additional set of ethical codes to uphold the principles of being moral compasses
The use and display of appropriate attitudes and behaviour	Attitude and behaviour are sought, nurtured and measured by IHDOs that reflect the organisational interests and the leaders role (as representative), and their functions and tasks in their relations and interactions with all stakeholders	IHDO HR policies and practice from HR planning, and especially during recruitment, should focus on ensuring that leaders characteristics, attitudes and behaviour (and not just competences) are aligned to the responsibilities and tasks they will undertake. This ensures that they will be appropriate for the range of stakeholders with whom their leaders interact
Appropriate blends of specific and generalist characteristics	Whether short or long term; with narrow or broad focus; large or small teams; projects or programmes, leaders can apply characteristics best suited to the situations in which they work, and the way in which they prepare for and engage in them	
Orientation to the client's (or relevantly-named stakeholders') services and satisfaction	Clients (or relevantly-named stakeholders') interests, needs and priorities are paramount: surpassing their satisfaction is the mark of successful leadership, reflecting the individual leader and their organisation	Clients (or relevantly-named stakeholders) should be consulted regularly on their satisfaction as part of IHDO leaders' performance reviews. IHDOs should adopt strategies to include these stakeholders, unless irrelevant, in their leaders' performance appraisals
Continuous self-development, in-line with IHDO, personal / professional career, and aid sector needs	To ably adapt to continuous change, new demands and shifts, and to remain of value to their own organisations, as well as be capable of taking on new challenges with competence, leaders must spend some of their time in activities that assist in and enable their professional growth	IHDOs should create the institutional and organisational space and time necessary for their leaders to self-develop. This can be encouraged and promoted institutionally with incentives, e.g. extra time off for study and related travel



Finally, several additional tenets are also proposed in Table 31 for an aid sector-specific version of professionalism. These are taken from the analysis of this research's findings that showed the weakness of many existing tenets of professionalism. They are also based on the need for professionalism to be better structured to support IHDOs' leaders and the aid sector (Chapter 6, section 6.3.9.8). Whilst it may be seen that adding more dimensions adds further restriction, rather, these additions bring to the fore currently neglected yet essential professional aspects that support successful leadership.

Table 31: Proposed additional tenets of professionalism for the aid sector and IHDOs' leaders in South Asia

<b>Proposed additional tenets of professionalism for the aid sector and IHDOs' leaders in South Asia</b>		
<b>Additional tenets</b>	<b>Uses / advantages</b>	<b>Necessary organisational support</b>
Managing external influences	Distractions and influences are a part of daily life for IHDO leaders. Planning for, pre-empting, and managing these intrusions, as well as astutely taking on board new influences that assist them in being more effective can add value to their leadership	IHDOs can encourage, allow and support their leaders' dealings with external influences. This can be manifest in: flexibility in meeting targets; developing and implementing processes to facilitate evaluating new initiatives that can add value to their work (or their organisation); assisting them in enhancing their performance
Adapting to continuously changing environments and conditions	Leaders need to be versatile. They need to be capable of moving to new countries, organisations and positions, and swiftly assume and fulfil responsibilities, role, functions and tasks. They need to be able to think both inside and outside the box, be innovative and creative where demanded, and where possible, effectively and efficiently deal with complexity, fragility, volatility, new cultures, climates and conditions, and continuous change	IHDOs should support their leaders by providing a non-restrictive institutional and organisational environment that enables them to face diverse challenges. Role, functions and tasks should be designed and assigned within an environment that enables them to be versatile. Compliance regulations should be carefully controlled and be relevant and meaningful, not hindering
Addressing and optimising cultural similarity and diversity	The culture of leaders, their cultural backgrounds, those of their IHDO, the country in which they work, and their teams and stakeholders, all have implications that can, if optimised, contribute to their success. Cross, inter and intra cultural competence, and well-attuned knowledge of cultural similarities and diversity, assist leaders in being effective in their work. Being willing to challenge cultural norms and values, in a sensitive and appropriate manner, gains respect and adds credibility, and further enhances chances of success, both for the leader and the IHDO	IHDOs can better prepare their leaders for working in multi-cultural contexts. This can include sensitisation/orientation programmes to what they will face, as well as establishing their own culture in a way that is acceptant of, and open to new ways of thinking and doing things. Leaders can be supported when confronted with cultural differences that appear to restrain progress. They need encouragement to seek out similarity as well as diversity, to maximise on the best of both in the pursuit of overall objectives that add value to the organisation, the country, the programme and the personnel
Maintaining focus	Leaders equitably spend their time and focus looking up and outside their organisations as down and inside them. They maintain and promote a vision and manage for intended results, whilst ensuring that any changes in conditions are factored in, and strategies adapted to ensure achievement of objectives	IHDOs can establish both processes and platforms to listen more to their leaders, and to learn from them what is going on in their organisations. IHDOs' leaders can equally learn from boundary scanning, and identifying best practices and lessons learned from other sources and sectors. They can establish and maintain systems that 1) enhance their leaders' knowledge of and roles in the visibility of organisational objectives, and 2) keep their leaders updated on the factors that will assist them in achieving these objectives

## 9.5 Conclusions for practice: response to the overarching research question

*"Leaders have to constantly renew themselves - innovate themselves to be fit for purpose. They also have to look outwards - the world out there is changing"*

Head of HR MSF, South Asia. Personal communication, 30.09.16

So, how can leaders and leadership be more successful in international humanitarian and development organisations in South Asia?

In an environment of constant change, high pressure, diverse demands, shifting thematic focus as well as continuously shifting leaders (in and out of and amongst organisations in the aid sector), and with decreasing time and space, IHDOs' leaders working in South Asia need to be versatile. This essential attribute is predominantly sidelined in existing literature in terms of its importance and influence on successful IHDO leadership (Darcy, J. and Clarke, P. K., 2013; Russ, C. and Smith, D., 2013) (see Chapter 2, section 2.2.7 and Chapter 7, section 7.5.1). Competencies continue to take priority: in recruitment, in nurturing and in development, and against which leaders are measured. Yet both characteristics as well as competencies must be sought after by IHDOs, and be broad-ranging and nurtured, if their leaders are to be successful. Nonetheless, IHDOs alone are not responsible for their leaders' growth; leaders themselves must make space and time, and strive for self-improvement and self-development, based on continuous cycles of self-reflection and a need to remain fit for purpose in the continuously changing environments in South Asia (Chapter 2, sections 2.2.5-6; Chapter 3, section 3.2).

Leaders should ensure that they develop both specialist and generalist abilities that allow them to adapt easily to new situations. Included within these characteristics and competencies are attributes that enable them to operate appropriately and productively within diverse and different multi-cultural contexts; of paramount importance in South Asia. Leaders and their IHDOs should not shy away from the use of intuition: an attribute used daily in decision-making, in recruitment, in emergency relief situations, as a basis of risk-taking, or in longer-term development settings (Chapter 3, section 3.5.3; Chapter 6, section 6.3.4; Chapter 7, section 7.5.3).

Leaders require multiple (inter, intra and cross) cultural competencies to ably undertake their roles, functions and tasks in the South Asian region. They must appropriately balance their approach towards, and optimisation of cultural diversity, along with that of cultural similarity, hybridity or fluidity.

IHDOs equally have a role to play in ensuring that their leaders are successful. Their institutional and organisational frameworks, and compliance regulations and requirements, must leave space for leaders to grow, to develop, to use intuition in their work and to become versatile (Chapter 7, section 7.5.1 and 7.5.3). IHDOs should promote, nurture, and find ways to measure these attributes. With the dynamic changes in the aid sector and fluctuation of IHDOs' leaders, it is paramount that findings are not just documented but also feed in to the policies that ensure organisational learning. IHDOs also need to ensure that their organisational cultures enable leaders to optimise their full potential by focusing equally on the advantages of cultural similarities and diversity –the latter of which in itself can be divisive – and not hinder them in their roles, functions and tasks. IHDOs need to develop and implement targeted and time-relevant teaching, training and development programmes that are 'fit for purpose' for leaders (Kellerman, 2018), especially those right at the top of their interventions in South Asia (i.e. Country Directors) (Bonner, L. and Obergas, J., 2008; Silverthorne, S., 2008; Alnoor, E. and Rangan, V. K., 2010) (see also Chapter 7, section 7.3). Capacity development programmes should be established and undertaken that focus specifically on developing knowledge and capability (incorporating necessary development of characteristics along-side competencies). IHDOs need to provide and support their leaders with tools and instruments (e.g. off and on the job experience, vertical learning opportunities, peer-review processes, and encouraging self-reflection and self-development), that assist leaders in more successfully undertaking their roles, functions and tasks.

The continuously changing and shifting operational context must be factored in to what is feasible to achieve; leaders must be more courageous to challenge the status quo, and show more courage and self-conviction (and by consequence less fear) in taking necessary (if not more risk-prone) decisions (Chapter 3, section 3.5.3; Chapter 7, section 7.3). The context and external influences must also be factored in to the way IHDOs and leaders deal with HR policy, management, development, performance appraisal and retention, accepting that whilst standards are an intended orientation, deviation must remain a possibility. Goals and targets of IHDOs' strategies, approaches,

programmes and projects need to ensure that leaders can deliver in contexts that change, that are volatile, that are increasingly more fragile, and when they may have additional demands placed upon them (Hailey, J., 2006; Clarke P. K. and Ramalingam, B., 2009; Dickmann, M. *et al.*, 2010) (see also chapter 6, section 6.3.5.3).

More attention must be paid by IHDOs of the need to plan for and incorporate the influences of the aid sector and the private sector on their leaders. Professionalism and many of its outdated tenets need to be updated and remodelled for the aid sector and IHDOs' leaders specifically. Continued and increased collaboration with the private sector especially, sharing learning, approaches and knowledge for developing leaders and leadership, and sharing practices and tools that leaders can use, should be encouraged (Kent, R. C., 1996; Ramalingam, B. *et al.*, 2009; Dickmann, M. *et al.*, 2010; Cooper, G., 2012) (see also Chapter 3, section 3.4.3; Chapter 6, section 6.3.7). Just as importantly, more engagement with the academic world should be encouraged and optimised (Van Wassenhove, L. N., 2006; ELRHA, 2013; GIZ, 2013).

Adopting the newly-proposed leadership theory of versatility, translating this into IHDOs' policies and leadership practices, and continuously striving to improve and share experiences learned from these, can contribute substantially to more successful IHDO leadership in the aid sector in South Asia.

## **9.6 Recommendations for further research**

This section presents three sets of recommendations for further research. These include: (1) proposals for follow up research based on findings, analysis and conclusions of this study; (2) ideas for approaches by which the new theory of versatility may be tested; (3) further research that would add value and significance to these findings – in light of their South Asian perspective - for IHDO leadership on a more global scale.

### **9.6.1 Proposed follow up research based on findings, analysis and conclusions**

Several recommendations for follow up research, founded on this study's findings, analysis and conclusions, are now presented:

1. Based on existing IHDOs' HR frameworks in South Asia and in their HQs, and the findings from this research, the elaboration of a matrix of essential characteristics, competencies and

attributes that are missing from current leadership theory, as presented in Section 8.2.1, should be undertaken and field tested.

2. Based on existing IHDOs' experiences in South Asia and in their HQs, new vacancy announcements, job descriptions and recruitment processes for IHDO leadership positions should be designed and trialled in collaboration with selected IHDOs HR departments. The outcomes in terms of the types of leaders recruited, the processes used, and the impact of these on the work of these leaders, should then be evaluated. These research processes should incorporate the findings from this study, placing equal emphasis on essential characteristics and attributes as on competencies, particularly during the recruitment phase.
3. Action research strategies for new IHDOs' HR policy, management and development, with a focus on training and capacity development programmes, and retention, specifically for senior IHDO leadership (i.e. Country Directors), should be developed. This 'HR Framework' should include the objective of developing the necessary characteristics and attributes for successful leadership, and not just focusing on competencies. Analyses and design should go beyond the training to developing systems for nurturing and measuring more intangible attributes that leaders are using, and that can contribute to their being more successful. Performance appraisal processes, and enhancing and developing new skills of evaluators, are further areas that should be researched and developed.
4. A space-time-cost-performance benefit analysis should be undertaken, to explore the advantages and disadvantages and tangible outcomes for leaders that are provided the space and time to undertake self-development initiatives.
5. An analysis of the benefits of the funding institutions' compliance mechanisms, regulations and procedures is required, so as to determine whether, how, and in which way these can be adapted, and if possible simplified, to better support successful leadership.
6. Based on the findings from this research, a set of meaningful practical leadership tools, instruments and a 'work-bench' needs exploration and further development – including best practices, approaches and simulations for use – for successful leaders and leadership.
7. A study is required to ascertain how best to factor in the influences of the volatile operational contexts of IHDOs' leaders. This should concentrate on the constant shifts and focus of the

aid sector; the dimensions of culture; the aid sector's demands, and influences from other sectors. The study needs to concentrate on IHDOs' strategies, and programme and project designs, in terms of how leaders and leadership are developed to work effectively and efficiently in complex circumstances of continuous change. A strategic mapping of the main influencing factors could be elaborated as a model to be incorporated into the HR framework recommended in point 3.

8. Further examination and testing of the proposed aid sector-specific professionalism framework needs undertaking, with emphasis placed on the adapted and new elements presented in Section 8.3.2.
9. Further action-research is required, on how this study's findings can be incorporated into the curriculums of academic institutions, aid-sector capacity development programmes, and private sector leadership training centres and organisations.
10. Ultimately, research and design of how to roll out any successfully achieved and empirically-proven results from all the above initiatives should be carried out; initially across the aid sector in South Asia, and then globally.

### **9.6.2 Proposed testing of the leadership theory of versatility**

For the leadership theory of versatility to be validated, acknowledged, accepted and applied, it must first be translated into meaningful and feasible applicable practice. Four main strategies and methods for this are proposed as ways forward.

Firstly, and most logically, a selection of the three sampled IHDOs in South Asia should pilot the theory, associated principles and practice. Most familiar with the research themselves, these IHDOs are in an advanced position in terms of their understanding of the research, and rationale behind both theory and practice. All these IHDOs (and their related stakeholders) already acknowledged the need for improved aid sector leadership, and the demand for their necessarily increased versatility. This pilot study should focus on a closed and well-controlled environment for trial and testing, with close interaction, monitoring and adaptation.

Secondly, all the sampled IHDOs should be targeted for testing the new theory of versatility. This will bring out the nuances within the same organisations, but incorporate the differences in individual leadership within these same organisations, and between the different South Asian countries.

Thirdly, a broader range of IHDOs (still remaining within the South Asia region) who are aware of the research (those that participated in the survey, those that were invited but did not participate, and others) should be approached to test the leadership theory of versatility. This will be more challenging from several perspectives, including trialling the theory and practice with IHDOs having a broader range of mandates, focus and objectives. Further, IHDOs operational in the other five countries of the region could also be approached. The findings will then be empirically representative of the region, and have broader implications. Nonetheless, this will require the involvement of a larger-resourced research institution to capably handle the scale of the study.

Fourthly, following a far broader approach, all IHDOs that were involved with this research (or that were communicated with – whether or not they ultimately participated), but that operate in other regions of the world, should be approached to test the theory of versatility. This research will also require the involvement of a larger-resourced research institution (potentially in collaboration with aid sector-specific platforms or forums) capable of handling such a large-scale research endeavour.

### **9.6.3 Suggestions for further research**

#### **9.6.3.1 South Asian literature on the main research themes**

Even with the extensive literature review undertaken, only limited material was acquired from South Asian authors, and more specifically, from the three research locus countries of India, Pakistan and Sri Lanka. This lack of local perspectives on the main research themes could have implications for IHDOs and their leaders operating in the region, providing alternative cultural and contextual perspectives (from the western-based literature) that influence the way IHDOs think – both strategically and operationally – and support them in better understanding, connecting with local ‘realities’, and in their engagement in the region. Further, with these local insights, leadership success – given the imperative need for working with local actors – may be enhanced. Further research into and analysis of South Asian literary perspectives is thus recommended.



### **9.6.3.2 Leader's performance and stakeholder or 'client' satisfaction**

This research covered numerous success factors for IHDOs' leaders in the aid sector in South Asia, yet did not directly address the aspects of performance or stakeholder satisfaction. Given this research's focus, and the cross-sectional rather than longitudinal methodology applied, further analysis (observation and measurement of IHDOs leaders' performance over time) is necessary. This research, whilst not currently possible for this researcher to undertake given his full time employment within the aid sector, will lead to obtaining a more thorough understanding of *how* the success factors identified and analysed impact on IHDOs leaders' subsequent performance. Conjointly, and to align to the overarching objective of professionalism – that of 'clients' (or relevantly-named stakeholders') satisfaction – a deeper understanding of the components and criteria for client satisfaction itself (again in the aid sector context), must be obtained through further study.

### **9.6.3.3 Providing global value from the South Asian perspective**

Through a rigorous and methodological approach, adapting where and as necessary, this research led to the elaboration of the new Leadership Theory of Versatility, its principles and proposed practice. Whilst the nuances of South Asia influenced these aspects, it is recommended that this theory and associated practice are examined and tested by all IHDOs and their leaders in other regions and countries of the world.

Cultures, contexts, and many influences are unquestionably varied within different regions of the world. But continuous change and complex operating contexts – especially within the aid sector and IHDOs – remain constant influencing factors. Additionally, many of the IHDOs working in South Asian countries also work in numerous others, facilitating the research process. IHDOs' leaders, wherever they are, with the right set and use of their characteristics, competencies and attributes, and appropriate support from their organisations, should be capable of adapting to these changes in circumstance, stakeholders and other existing and new influencing factors. For this, IHDOs' leaders and leadership, and the aid sector – both in South Asia and globally – can benefit from having a common philosophical, theoretical, and practical leadership foundation: that of versatility.



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# 11. Annexes

## Annex 1: CBHA framework

### Core Humanitarian Competencies Framework Keeping disaster and conflict affected people at the centre of what we do



Competencies	<u>Understanding of humanitarian contexts and application of humanitarian principles</u> <i>Key issues and practices impacting current and future humanitarian interventions</i>	<u>Achieving results effectively</u> <i>Behaviours to use resources efficiently and effectively to achieve results, considering the need for speed, scale and quality</i>	<u>Developing and maintaining collaborative relationships</u> <i>Behaviours to develop and maintain collaborative, coordinated relationships at times of heightened complexity and risk</i>	<u>Operating safely and securely in a humanitarian response</u> <i>Behaviours required to take responsibility to operate safely in a pressured environment</i>	<u>Managing yourself in a pressured and changing environment</u> <i>Essential personal behaviours required to operate effectively within a humanitarian context</i>	<u>Leadership in humanitarian response</u> <i>Seeing the overall goal within the changing context and taking responsibility to motivate others to work towards it, independent of one's role, function or seniority.</i>
<b>Core Behaviours for all staff in humanitarian response, informed by skills and knowledge</b>	<p><b>The humanitarian context</b> Demonstrate understanding of phases of humanitarian response including preparedness and contingency, DRR, response and recovery</p> <p>Apply understanding of the political and cultural context and underlying causes of the humanitarian crisis</p> <p>Demonstrate understanding of the gender and diversity dimensions of humanitarian situations</p> <p>Keep vulnerable people at the centre of the humanitarian response</p> <p><b>Applying humanitarian standards / principles</b> Ensure that programme goals and activities uphold the principles of the key national and international humanitarian frameworks, codes and commitments under which humanitarian organisations operate</p> <p>Demonstrate understanding of your role and that of your organisation and others within the humanitarian system</p>	<p><b>Programme quality</b> Demonstrate understanding of agency project cycle management</p> <p>Participate in the design and implementation of effective projects and programmes</p> <p><b>Accountability</b> Collect, analyse and disseminate information to and from communities and other stakeholders</p> <p>Demonstrate accountability to partners and disaster and conflict affected people and communities</p> <p><b>Decision making</b> Demonstrate flexibility to adapt plans and make decisions in rapidly changing environments</p> <p>Demonstrate understanding of when a decision can be taken and when to involve others</p> <p>Consider the wider impact of the decisions you make in your work to achieve positive results</p> <p><b>Impact</b> Maintain focus on delivery of timely and appropriate results using available resources</p>	<p><b>Listening &amp; dialogue</b> Actively listen to different perspectives and experiences of stakeholders</p> <p>Establish and maintain clear communication and dialogue with disaster and conflict affected people and other stakeholders</p> <p><b>Working with others</b> Contribute positively in the team to achieve programme objectives</p> <p>Share appropriate information and knowledge with colleagues and partners as and when appropriate</p> <p>Actively participate in networks to access and contribute to good practice</p> <p>Challenge decisions and behaviour which breach the ICRC/NGO and individual agency Codes of Conduct</p>	<p><b>Security context and analysis</b> Identify and communicate risk and threats and minimize these for you and your agency</p> <p><b>Personal safety &amp; security</b> Build and maintain a reputation in line with humanitarian standards and acceptance for your work</p> <p>Take appropriate, coordinated and consistent action to handle situations of personal risk and situations of risk for others</p> <p>Reduce vulnerability by complying with safety and security protocols set by your organisation and contextualise appropriately to local scenarios</p> <p>Champion the importance of safety and keep the safety of colleagues and team members in mind at all times</p> <p><b>Minimising risk to communities and partners</b> Take measures to do no harm and to minimise risks for your partners and the communities you work with</p>	<p><b>Resilience</b> Recognise stress and take steps to reduce it</p> <p>Remain constructive and positive under stress to be able to tolerate difficult and sometimes threatening environments</p> <p>Remain focused on your objectives and goal in a rapidly changing environment</p> <p>Able to adapt to changing situations</p> <p>Keep yourself emotionally stable when helping others</p> <p><b>Maintaining professionalism</b> Take responsibility for your own work and for the impact of your actions</p> <p>Plan, prioritise and perform tasks well under pressure</p> <p>Maintain ethical and professional behaviour in accordance with relevant codes of conduct</p> <p>Demonstrate personal integrity by using one's position responsibly and fairly</p>	<p><b>Self-awareness</b> Show awareness of your own strengths and limitations and their impact on others</p> <p>Demonstrate understanding of your skills and how they complement those of others to support team effectiveness</p> <p>Seek and reflect on feedback to improve your performance</p> <p><b>Motivating and influencing others</b> Communicate humanitarian values and motivate others towards them</p> <p>Inspire confidence in others</p> <p>Speak out clearly for organisational beliefs and values</p> <p>Demonstrate active listening to encourage team collaboration</p> <p>Influence others positively to achieve programme goals</p> <p><b>Critical judgement</b> Analyse and exercise judgment in new situations in the absence of specific guidance.</p> <p>Demonstrate initiative and ingenuity</p>





## Core Humanitarian Competencies Framework

Keeping disaster and conflict affected people at the centre of what we do

	<p>Integrate beneficiary accountability principles into your approach</p> <p>Demonstrate an understanding of coordination mechanisms</p>				<p>Be aware of internal and external pressures and how they might impact your effectiveness</p>	<p>Demonstrate tenacity to achieve solutions</p> <p>Address difficult situations and make tough decisions confidently and calmly</p> <p>Suggest creative improvements and different ways of working</p>
Competencies	<u>Understanding of humanitarian contexts and application of humanitarian principles</u>	<u>Achieving results effectively</u>	<u>Developing and maintaining collaborative relationships</u>	<u>Operating safely and securely in a humanitarian response</u>	<u>Managing yourself in a pressured and changing environment</u>	<u>Leadership in humanitarian response</u>
<p><b>Additional Behaviours for 1<sup>st</sup> level line managers* in humanitarian response, informed by skills and knowledge</b></p> <p>*as defined in report</p>	<p><b>The humanitarian context</b> Able to assess and analyse key issues in the humanitarian situation and formulate actions around them</p> <p><b>Applying humanitarian standards / principles</b> Participate in the development of an organisational response based on an understanding of the contexts</p> <p>Actively engage in disaster coordination mechanisms and interagency cooperation from an understanding of your agency's perspective and approach.</p>	<p><b>Programme Quality</b> Set standards in your work and follow agreed procedures of work</p> <p>Document lessons learned and apply them to future projects</p> <p><b>Accountability</b> Ensure efficient and transparent use of resources in accordance with internal controls</p> <p>Establish community engagement mechanisms</p> <p><b>Impact</b> Clarify roles and responsibilities within your team to maximise impact</p> <p>Continuously provide feedback and updates to achieve improved results</p> <p>Coordinate with stakeholders to avoid duplication and maximise resources</p>	<p><b>Listening &amp; dialogue</b> Ensure beneficiary and partner feedback is incorporated into programme design, planning and learning</p> <p><b>Working with others</b> Establish clear objectives with teams and individuals and monitor progress and performance</p> <p>Establish agreed ways of working at a distance with partners and staff</p> <p>Work with your team to build trust with partners, communities and stakeholders</p> <p>Foster collaborative, transparent and accountable relationships through partners to formalise and operationalise partnering agreements</p> <p>Use negotiation and conflict resolution skills to support positive outcomes</p>	<p><b>Security context and analysis</b> Demonstrate an understanding of wider UN/NGO security co-ordination and how your organisation can benefit from, and contribute to, those mechanisms</p> <p>Undertake effective risk assessments and develop contingency plans</p> <p><b>Personal safety &amp; security</b> Monitor security risks and ensure organisational protocols are consistently followed by staff</p> <p>Take appropriate action and provide appropriate direction and support to team members in the event of a critical incident</p> <p><b>Minimising risk to communities and partners</b> Undertake effective risk assessments with communities and partners</p>	<p><b>Resilience</b> Help team members to practise stress management through prioritisation of workloads and modelling of appropriate self care</p> <p><b>Maintaining professionalism</b> Set realistic deadlines and goals</p> <p>Facilitate others to carry out their roles and responsibilities</p> <p>Make time to learn from experience and feedback, and apply the lessons to a new situation</p>	<p><b>Motivating and influencing others</b> Inspire others by clearly articulating and demonstrating the values, core purpose and principles that underpin humanitarian work</p> <p>Provide regular and ongoing informal and formal feedback to recognise the contribution of others</p> <p>Adapt leadership approach to the situation</p> <p><b>Critical judgment</b> Maintain simultaneously a broad strategic perspective and awareness of the detail of a situation</p> <p>Adapt plans quickly in response to emerging situations and changing environments</p> <p>Take calculated risks to improve performance</p> <p>Able to act decisively and quickly</p>

## Annex 2: Characteristics from the literature, survey, and sampling organisations

Leadership characteristics from the literature (listed in alphabetical order)	Empirical findings from survey respondents on leadership characteristics (ranked from most to least important)	Opinions from sampling IHDOs' participants on leadership characteristics (listed in alphabetical order)
Acceptant of learning from error	1. Has integrity	Controls self-emotions
Altruistic	2. Acceptant of learning from error	Embraces change
Ambitious	3. Trustworthy	Has integrity
Approachable	4. Respectful	Has self-conviction
Broad minded	5. Honest	Has self-criticism
Caring	6. Motivational	Has self-understanding
Charismatic	7. Provides guidance and direction	Has stamina to live with ambiguity
Cooperative	8. Culturally sensitive	Has understanding
Courageous	9. Empowering	Has values
Dependable	10. Transparent	Is a role model
Determined	11. Broad minded	Is autonomous
Encouraging	12. Mature	Is collaborative
Ethical	13. Approachable	Is committed
Fair minded	14. Fair minded	Is concerned
Flexible	15. Loyal	Is confident
Forward looking	16. Supportive	Is courageous
Friendly	17. Cooperative	Is curious
Gives praise	18. Determined	Is decisive
Guides	19. Self-controlled	Is empathetic
Has humility	20. Tolerant	Is encouraging
Has integrity	21. Caring	Is generous
Honest	22. Courageous	Is inspirational
Imaginative	23. Imaginative	Is patient
Independent	24. Persuasive	Is principled
Inspirational	25. Dependable	Is reflective
Loyal	26. Independent	Is reliable
Mature	27. Inspiring	Is respectful
Respectful	28. Ambitious	Is tolerant
Self-aware	29. Friendly	Is trustworthy
Self-confident	30. Straightforward	Is willing
Self-controlled	31. Charismatic	Shows self-analyses
Self-motivated		Shows appropriate behaviour
Self-regulated		Shows belief
Sincere		Shows compassion
Straight forward		Shows humility
Supportive		Shows self-reflection
Tolerant		Shows self-validation
Transparent		Strives for self-development

### Annex 3: Competencies from the literature, survey, and sampling organisations

Leadership competences from the literature (listed in alphabetical order)	Empirical findings from survey respondents on leadership competences (ranked from most to least important)	Opinions from sampling IHDOs' participants on leadership competences (listed in alphabetical order)
Academically qualified	1. Adaptable	Challenges the status quo
Ability to build alliances	2. Ability to deal with conflict	Creates space
Ability to build relationships	3. Credible	Deals with continuous change and reduced time and space
Ability to evolve psychologically	4. Ability to solve problems	Deals with pressure
Ability to make decisions	5. Ability to embrace, learn from, and manage change	Explores new ways of thinking, learning and doing things
Ability to manage change	6. Applies and promotes ethical and moral standards	Facilitates and brings change
Ability to manage expectations	7. Listening skill	Has ability to cope with failure, frustration, and change
Ability to organise	8. Communication skill (verbal)	Has ability to lead from all sides (multi-layer approach)
Ability to self-develop	9. Ability for strategic thinking	Has ability to renew themselves
Ability to solve problems	10. Negotiation skill	Has ability to unlearn and learn
Ability to steer	11. Ability of critical judgement	Has ability to work in fragile, complex, uncertain contexts
Ability to supervise	12. Ability to manage diversity and complexity	Has and uses tools and instruments
Ability to take risks	13. Representational skill	Has anticipation
Accountable	14. Ability to create and promote a vision	Has cognitive skills
Adaptable	15. Strong values and ethics	Has conceptual understanding
Chameleon	16. Coordination skill	Has expertise
Creates trust	17. Organisational skill	Has focus
Credible	18. Inter-cultural relations	Has generalist ability
Culturally competent	19. Knowledge of the country of operations	Has mediation skill
Deals with conflicts	20. Ability to network	Has political awareness
Diplomatic	21. Intelligent	Has social awareness
Disciplinary	22. Knowledge of the organisation	Has sound mental health
Shows entrepreneurship	23. Cross-cultural relations	Has technical skills
Expert	24. Uses delegation	Holds different perspectives
Good at communicating	25. Communication skill (written)	Is a good judge
Good at listening	26. Intra-cultural relations	Is a good negotiator
Has years of experience	27. Knowledge of the aid sector	Is a moral compass
Intelligent	28. Diplomatic	Is catalytic
Knowledgeable	29. Willing to take risks	Is influential
Maintains cohesion and morale	30. Years of professional experience	Is innovative
Motivational	31. Level of academic qualifications	Is legitimate
Promotes high moral standards	32. Technical (specialist) skill	Is performance and result orientated
Provides orientation		Is physically fit
Representational		Is powerful
Responds to surroundings		Is proactive
Responsible		Is professional
Sets goals		Is service orientated
Strategic		Learns from change
Transformational		Seek improvement
Uses action-logic		Sees the bigger picture
Uses delegation		Takes initiatives
		Thinks on feet
		Translates interpretations for others

## Annex 4: Participant information sheet



### PhD Research Participant Information Sheet:

#### Leaders of International Humanitarian and Development Organisations

Dear Participant,

You are being invited to take part in a PhD research study. Before you decide whether or not to take part, it is important for you to understand why the research is being done and what it will involve. Please take the time to read the following information carefully.

**Study title: Successful Leadership: a study of international humanitarian and development organisations in South Asia**

#### The purpose of the study:

International humanitarian and development organisations (IHDOs) have increasingly become part of the global network of actors providing aid to the South Asian countries of Pakistan, India and Sri Lanka. IHDOs work alongside host governments, civil society organisations and donors in this region. They contribute to providing essential humanitarian and development assistance to more than 50% of the world's poorest and most disaster-affected people and their governments.

During the last twelve years there has been an increased number and severity of disasters in the South Asian region, notably the tsunami (Sri Lanka 2004); an earthquake (Kashmir 2005); Kosi River floods and Cyclone Aila (India 2008, 2009), severe flooding (Pakistan 2010, 2011), and an earthquake (Nepal 2015) affecting more than 29 million people. Additionally, the complexity of political contexts e.g. risks of and sustained conflict and terrorism, and other developmental challenges including the regions strategic position related to global stability have grown. This has led to an increased demand for, and more diversified roles being undertaken by IHDOs and their leaders.

Diversity also exists within the region's cultures, and the different cultures and agendas of IHDOs and their donors, challenging IHDO's professionalism, and placing additional demands on their leaders. With increased access to and influence of international media over the past decade, and substantial volumes of donor funds being channeled through IHDOs, there is also higher demand for IHDO accountability and leadership effectiveness.

Against this backdrop, the successfulness of IHDO leadership has been challenged, both in practice and in the literature, and found in deficit. Yet the leadership theories, developed outside the aid sector, lack relevance.

Based in the region of South Asia where numerous IHDOs are operational, this research aims to identify new sector-specific and sector-relevant leadership theory, and to offer practical solutions for application. This includes presenting a set of core competencies and characteristics required for successful IHDO leadership, and identifying which factors are influential. It highlights two key attributes – 'intuition and versatility' - missing from the literature but seen as essential by current IHDO leader in the region.

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## Research Methods

An in-depth literature review of nearly 900 documents undertaken between 2013 and 2015 covered secondary data about the theories, concepts and definitions of leadership; leadership characteristics and competences for success; IHDOs and the aid sector; culture (of IHDOs, their countries of origin, their leaders and teams), and the realities within and cultures of the South Asia region.

An electronic survey undertaken in 2015 in the three targeted South Asian countries (India, Pakistan and Sri Lanka) elicited 180 responses from leaders of 22 nationalities, working in 109 IHDOs that originate from 26 different countries. The survey data has been analysed and key themes extrapolated to inform this next phase of field research in 2016.

Case studies will probe deeper into three different European/Western-based IHDOs (MSF, OXFAM and GIZ) operational in Pakistan, India and Sri Lanka. The organisations have been targeted based on three main criteria, explored in the survey:

1. Representation of the full spectrum of the humanitarian-development continuum, reflecting short-term emergency, mid-term transitional, and long-term development aid
2. Representation of three different European/western and organisational cultures
3. Representation of three different types of funding source: predominately private, a mixture of private and public, and predominantly public donor agencies

Interviews will also be held with HR representatives from these organisations headquarters, representatives of the main donors of these organisations in the South Asia region, and representatives of the Host Governments' departments dealing with Foreign Aid.

### Why have I been invited to participate?

This study needs information from the Country Directors of [GIZ/OXFAM/MSF] in Pakistan, India and Sri Lanka. You are well positioned to provide pertinent inputs that may validate, clarify or even question the findings from the online survey undertaken last year. Your ideas, opinions and experiences shared will enable the researcher (and in turn yourself and your organisation) to gain qualitative insights and information to complete the research process.

### Do I have to take part?

It is entirely up to you to decide whether or not to take part in this research: the process is entirely voluntary. If you do decide to take part you may keep this information sheet and be asked to sign a consent form. If you decide to take part you are still free to withdraw at any time before the data are analysed and without giving a reason.

### What will happen to me if I take part?

You will be requested to take part in a one-on-one interview with the researcher. This will need about one hour of your time. If you request, the information you provide will be treated anonymously.

At the beginning of the above session, you will be asked whether you agree to have the session audio-recorded; this will be for the purpose of ensuring accurate documentation of your information. The audio data collected using this method will be securely stored according to Brookes University regulations. It is also intended to enable the researcher to capture all the information you provide, and thus enhance the quality of the final PhD thesis. However, you are free to decline this request if you so wish.

A transcript of your discussion can be made available to you, and, if you so require, be presented to you for your consent prior to its further use in the research. There are no costs involved, other than of course your time. There are no risks involved with this research.

**What are the possible benefits of taking part?**

Your contribution to this research will provide numerous benefits, namely:

New sector-specific and sector-relevant theory and concepts for successful leadership will be developed. This will incorporate the factor of working with teams, in complex contexts, and in multi-cultural environments. This will also feature the dilemma of individual vs. collective leadership.

A new framework of core sector-relevant characteristics and competences will be elaborated, incorporating the attributes of intuition and versatility for successful IHDO leadership.

Key influencing factors including the shift towards corporate leadership strategies, and an aid sector-specific version of professionalism, that contribute to more successful IHDO leadership, will be defined. Approaches and measures for optimising these will be proposed.

**Will what I say in this study be kept confidential?**

All information collected about you during this research will be kept strictly confidential (subject to legal limitations). Confidentiality, and your privacy and anonymity will be ensured in the collection, storage and publication of research material. Anonymity is at your entire discretion, and will be completely respected in any communication about and/or publication of this research. Your identity and all information provided by you will be stored in complete confidentiality, for a period of ten years in accordance with University guidelines, and may only be used at any time with your prior approval. The Researcher and his direct Supervisors at Oxford Brookes University, UK, will be the only persons with access to the information provided, until, and only with your consent, it is published as part of a Doctoral Thesis.

**What should I do if I want to take part?**

Should you decide to take part in this research study, firstly, many thanks! Then, please send a confirmation email to: [Adi.Walker-2012@brookes.ac.uk](mailto:Adi.Walker-2012@brookes.ac.uk) with the subject line: 'Confirm participation in South Asia IHDO study'. Please send this response no later than two weeks after receipt of this request.

**What will happen to the results of the research study?**

Results of interviews held with IHDO representatives can be made available after completion. A summary of the final PhD Thesis will be made available to all participants and their IHDOs in South Asia, and published online and in development journals (2018).

A summary of the research findings can be accessed by contacting the researcher or the Research Supervisors as per the contact details below.

**Who is organising and funding the research?**

As a post-graduate student at Oxford Brookes University, the researcher is entirely organising and funding the research and personally covering all related costs. Whilst the researcher is currently employed by GIZ – one of the case study organisations in South Asia, GIZ have not requested nor commissioned this research, have no legal responsibilities or obligations related to it, and will be going through the same procedures as for your own case study organisation in terms of interviews and focus group discussions.

**Who has reviewed the study?**

This research has been approved by the Oxford Brookes University Research sub-Committee and the Research Ethics Committee.

**Contacts for further information**

You may contact the Researcher directly:

Name: Adi Walker

Address: Oxford Brookes University, Faculty of Technology, Design and Environment,  
School of Architecture, Headington Campus, Oxford, OX3 0BP UK

Email: [Adi.Walker-2012@brookes.ac.uk](mailto:Adi.Walker-2012@brookes.ac.uk)

Tel: 0044 (0)1865 483978

The Research Supervisors contact details are as follows:

Dr. Nicholas Walliman: [nwalliman@brookes.ac.uk](mailto:nwalliman@brookes.ac.uk)

Professor David Sanderson: [dsanderson@brookes.ac.uk](mailto:dsanderson@brookes.ac.uk)

Dr. Supriya Akerkar: [sakerkar@brookes.ac.uk](mailto:sakerkar@brookes.ac.uk)

If you have any concerns about the way in which the study is conducted, you should contact the Chair of the University Research Ethics Committee at [ethics@brookes.ac.uk](mailto:ethics@brookes.ac.uk).

Many thanks indeed for taking the time to read this information.

Adi Walker

## Annex 5: Participant consent form



### PHD RESEARCH CONSENT FORM - INTERVIEWEE

**Full title of Project:** Successful leadership: a study of international humanitarian and development organisations in South Asia

**Name:** Adi Walker  
**Title:** PhD Research Student  
**Address:** Oxford Brookes University, Faculty of Technology, Design and Environment,  
School of Architecture, Headington Campus, Gipsy Lane, Oxford, OX3 0BP  
UK  
**Email:** [Adi.Walker-2012@brookes.ac.uk](mailto:Adi.Walker-2012@brookes.ac.uk)  
**Telephone:** 0044 (0)1865 483978

#### Please initial box

I confirm that I have read and understand the information sheet for the above study and have had the opportunity to ask questions.

I understand that this is a research project.

I understand that my participation is voluntary and that I am free to withdraw at any time, without giving reason.

I agree to take part in the above study.

I agree that my data gathered in this study may be stored (after it has been anonymised) in a specialist data centre and may be used for future research.

#### Please tick box

Yes

No

I am willing to be identified in any publication that reports the research findings

I agree to the interview being audio recorded

I agree to the use of anonymised quotes in publications

\_\_\_\_\_  
Name of Participant

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name of Researcher

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature



## Annex 6: IHDO leadership survey



### Successful Leadership in International Humanitarian and Development Organisations in South Asia

#### Survey overview

Thank you for participating in this survey focusing on Successful Leadership, as part of PhD Research undertaken with Oxford Brookes University, UK. This survey is predominantly designed for leaders working with International Humanitarian and Development Organisations (IHDO) in the South Asian countries of India, Pakistan and Sri Lanka.

For this survey, 'IHDO' is used as it describes what international aid organisations do and who they are, incorporating bi- and multilateral agencies and other organisations not covered by the commonly-used 'INGO'.

This survey should take no more than 20 minutes. There are four sections: you and your IHDO; leadership characteristics and competences; success factors for, and influences on leadership, and a brief wrap up section. Mandatory questions are indicated by \*. Each page will be automatically saved when you move to the next, but you may return to make changes. If necessary, during the survey you may leave it and come back to it later using the link provided in the email. Once completed, changes cannot be made.

Sincere thanks in advance. Your responses will provide valuable insights contributing to the elaboration of a set of practical applications for enhancing leadership success across the international humanitarian and development aid sector.

**Section 1: You and your international humanitarian and  
development organisation (IHDO)**

The following ten questions ask for basic information about you and your organisation (IHDO).

If you are not currently holding a leadership position, please indicate this in question 7 and do not respond to questions 8 to 10. You may then continue to complete the rest of the survey.

**\* 1. Please indicate from which country in South Asia you are responding? If you are responding from your IHDO's headquarters, please indicate this instead:**

- India       Pakistan       Sri Lanka       Your IHDO  
Headquarters

**\* 2. What is your nationality? If you have more than one, please select the one you usually state for professional purposes:**

**\* 3. What is your gender?**

- Female       Male       Rather not say

**4. What is the name of your organisation? You may enter its commonly-acknowledged acronym if preferred:**

**\* 5. In which country was your IHDO originally established?**

**\* 6. Which one of the following describes the type of work your IHDO predominantly undertakes in this country? If you are responding from your IHDO's headquarters, please respond according to your IHDO's work in South Asia generally:**

- Only humanitarian assistance
- Mostly humanitarian assistance
- Both humanitarian and development assistance
- Mostly development assistance
- Only development assistance
- If 'Other', please provide a very brief description:

**\* 7. Please state whether you currently hold a leadership position in your IHDO:**

- Yes
- No

**8. If you currently hold a leadership position, what is your job title? Please select the one from the drop down list that most resembles your own:**

Other (please specify)

**9. If you currently hold a leadership position, please state the total number of years you have worked in a leadership position in the aid sector:**

- <5
- 6-10
- 11-15
- 16-20
- 21-25
- 26-30
- >30
- Rather not say

**10. If you currently hold a leadership position, please state if you have worked in a leadership position outside the aid sector and the total number of years?**

- <5
- 6-10
- 11-15
- 16-20
- 21-25
- 26-30
- >30
- Rather not say

## Section 2: Characteristics and competences for successful leadership

Intuition and Versatility do not feature as attributes in the leadership theories or the sector's competency frameworks. The following two questions ask whether they are important for IHDO leadership. Their guiding definitions are:

**Intuition** - *'the ability to understand something instinctively; to acquire knowledge without inference, and without the need for conscious reasoning'*

**Versatility** - *'the capability (comprising ability, fitness and quality) to adapt to many different functions or activities; to be able to do many things, competently'*

**\* 11. Please give your opinion on the following statements about intuition:**

	Totally agree	Mostly agree	Mostly disagree	Totally disagree	Rather not say
Intuition is necessary for successful leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I often use intuition in making critical judgement calls or decisions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My operational context demands that I use intuition	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My IHDO's policies and practices provide an enabling environment for me to be intuitive in my work	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Intuition is measured in my performance appraisal as a leader	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My staff require me to be intuitive	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My IHDO's main stakeholders require me to be intuitive	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**\* 12. Please give your opinion on the following statements about versatility:**

	Totally agree	Mostly agree	Mostly disagree	Totally disagree	Rather not say
Versatility is necessary for successful leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My role requires me to be versatile	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My function requires me to be versatile	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My tasks require me to be versatile	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My operational context demands that I am versatile	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My IHDO's policies and practices provide an enabling environment for me to be versatile in my work	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Versatility is measured in my performance appraisals as a leader	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My staff require me to be versatile	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My IHDO's main stakeholders require me to be versatile	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## Section 2: Characteristics and competences for successful leadership (cont.)

The following two questions ask how important attitude, behaviour, attributes, abilities, skills, and cultural competence are for successful leadership.

13. Please rate the following characteristics against their level of importance for what you believe makes for successful leadership:

	Very important	Important	Not so important
Acceptant of learning from error	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Broad minded	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Caring	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Culturally sensitive	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Dependable	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Determined	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fair minded	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Honest	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Imaginative	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Loyal	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Mature	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Respectful	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tolerant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Applies and promotes ethical and moral standards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Approachable	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Charismatic	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cooperative	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Courageous	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Empowering	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Very important	Important	Not so important
Friendly	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Independent	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Inspiring	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Motivational	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Persuasive	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provides guidance and direction	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Self-controlled	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Supportive	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Straightforward	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Transparent	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Trustworthy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



**Section 2: Characteristics and competences for successful leadership (continued)**

**14. Please rate the following competences against their level of importance for what you believe makes for successful leadership:**

	Very important	Important	Not so important
Adaptable	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ambitious	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Credible	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Diplomatic	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Integrity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Intelligent	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Knowledge of the aid sector	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Knowledge of the country of operations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Knowledge of the organisation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Level of academic qualifications	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Strong values and ethics	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Uses delegation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Willing to take risks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Years of professional experience	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ability to create and promote a vision	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ability of critical judgement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ability to deal with conflict	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ability to embrace, learn from, and manage change	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ability to network	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ability to manage diversity and complexity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ability to solve problems	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



	Very important	Important	Not so important
Ability for strategic thinking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Communication skill (verbal)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Communication skill (written)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Coordination skill	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Listening skill	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Negotiation skill	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Organisational skill	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Representational skill	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Technical (specialist) skill	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cross-cultural relations (ability function according to rules of more than one culture)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Inter-cultural relations (ability to collaborate with people of other cultures based on recognition and respect)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Intra-cultural relations (ability to optimise ethnic diversity and cultural differences)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### Section 3: Factors that influence successful leadership

The following question asks about factors that may influence successful leadership including the leader her/himself, the team, the task, the context, the IHDO, the sector, and culture.

For your reference, 'culture' encompasses a society's, organisation's or individual's beliefs, values and norms, and dimensions such as power distance, individualism-collectivism, masculinity-femininity, uncertainty avoidance, and time orientation (past, present or future focused)

15. Please indicate what you believe to be the level of influence of the following factors on successful leadership:

	Very high	High	Medium	Low	Don't know
The <b>leader's</b> competences and personal characteristics	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>leader's</b> professional interests and needs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>leader's</b> action-logic (their strategic approach to facing challenges)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>leader's</b> development readiness	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>team's</b> competence	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>team's</b> diversity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>team's</b> size	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Individual's</b> (from within the team) needs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>task's</b> complexity (e.g. time pressure, intensity and diversity of associated elements to manage, number of stakeholders involved)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>task's</b> scope	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>task's</b> scale	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>context's</b> complexity (e.g. the combined scope, scale and diversity of factors requiring attention)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>context's</b> stability (e.g. political, economic, social)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Very high	High	Medium	Low	Don't know
The <b>IHDO's</b> rules, regulations, processes, procedures and structures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>IHDO's</b> demands placed on their leaders	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>IHDO's</b> performance standards and measurement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>IHDO's</b> main stakeholders' (e.g. partners, donors, beneficiaries) demands	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>aid sector's</b> development trends (e.g. shifts in thematic and geographic focus (e.g. climate, poverty in middle income countries)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>aid sector's</b> new coordination mechanisms (e.g. sectoral clusters and working groups)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>aid sector's</b> international agendas (e.g. post-2015 MDGs, Paris Declaration, Accra Agenda, Agenda 21)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>aid sector's</b> donors' proximity to decision-making in operations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>aid sector's</b> new funding mechanisms (e.g. channels and partnerships, South-South cooperation)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Influence on the <b>aid sector</b> from the private/corporate sector (e.g. practices and standards)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Increasing media attention on the <b>aid sector</b> (e.g. demands for more accountability, more visibility)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>culture</b> of the country (e.g. societal beliefs, time orientation)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>culture</b> of the IHDO (e.g. organisational values and norms, unwritten principles and practices)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>culture</b> of the leader (e.g. values and beliefs related to individual - collective approaches)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The <b>culture</b> of the team members (e.g. values and norms related to power distance in working relationships and practices)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**Section 3: Factors that influence successful leadership (continued)**

The following three questions ask about individual-collective leadership, leadership development and performance appraisal.

**16. Please give your opinion where leadership is most successful, for the following aspects:**

	Solely with an individual leader	Mostly with an individual leader	Equally between an individual leader and team	Mostly with a leadership team	Solely with a leadership team
Role (e.g. representation, figurehead)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Function (e.g. providing a vision, giving strategic and organisational direction)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tasks (e.g. activities, undertakings)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

If you have additional comments, please elaborate in relation to your responses above:

**17. Please indicate which of the following 'continuous professional development' initiatives your IHDO uses specifically for developing its leadership:**

- |   |  |
|---|--|
| <input type="checkbox"/> International training                               | <input type="checkbox"/> Optimising on external new knowledge and competences (recruiting from outside the aid sector) |
| <input type="checkbox"/> Regional training                                    | <input type="checkbox"/> Financially supported academic advancement  |
| <input type="checkbox"/> In-country training                                  | <input type="checkbox"/> Inclusion in international rosters  |
| <input type="checkbox"/> Training organised at your IHDO's headquarters       | <input type="checkbox"/> Inclusion in regional rosters   |
| <input type="checkbox"/> On the job coaching and mentoring                    | <input type="checkbox"/> Exposure/exchange visits  |
| <input type="checkbox"/> Vertical learning                                    | <input type="checkbox"/> Don't know  |
| <input type="checkbox"/> Breeding and nurturing leaders from within your IHDO |  |
| <input type="checkbox"/> If there are other initiatives, please specify:      |  |

**18. Please indicate which groups or individuals are directly involved in performance measurement or appraisal of your IHDO's leadership:**

- |   |   |
|---|---|
| <input type="checkbox"/> The leader's direct superior   | <input type="checkbox"/> The IHDO's donors                                  |
| <input type="checkbox"/> The leader's peers and work colleagues   | <input type="checkbox"/> The IHDO's partners                                |
| <input type="checkbox"/> The leader's team or subordinates  | <input type="checkbox"/> The IHDO's beneficiaries                           |
| <input type="checkbox"/> Other of the IHDO's staff  | <input type="checkbox"/> Other IHDO's stakeholders (e.g. service providers) |
| <input type="checkbox"/> The IHDO's clients   | <input type="checkbox"/> Don't know   |
| <input type="checkbox"/> If other individuals or groups are involved in your IHDO's leaders performance appraisals, please specify: |   |

Section 3: Factors that influence successful leadership (continued)

Recent debates about the aid sector have included whether it should become more professional. The following question asks whether 'professionalism' could be applied to result in more successful leadership.

\* 19. Please give your opinion on the following statements:

	Totally agree	Mostly agree	Mostly disagree	Totally disagree	Don't know
Certified entry to the international aid sector would ensure more successful leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Leaders can only be successful if they are qualified from an accredited academic institution	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Leaders cannot be successful unless they have a monopoly over and use a specialised body of knowledge	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
An altruistic attitude is essential for successful leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Leaders cannot be successful without client-service orientation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
To be successful, leaders must be technical specialists	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
To be successful, leaders must continuously work on their self-development	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Successful leadership is only possible with the display of appropriate behaviour	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Self- or peer review is the best way to monitor and measure successful leadership performance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Emotional intelligence is as important as technical intelligence for successful leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Established codes of conduct and ethics provide an enabling policy environment for successful leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Successful leaders distribute their time appropriately between looking up and outside their IHDO's, and looking down and inside them	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Professionalism itself needs to be adapted to the aid sector in South Asia to better support the needs of IHDO leaders	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



**Section 4: Wrapping up**

**20. Would you like to receive a copy of the research report when it is completed?**

- Yes  
 No

**21. If you have indicated 'Yes' to the previous question, please provide a valid email address:**

Should you require any information regarding this survey please contact: [Adi.Walker-2012@brookes.ac.uk](mailto:Adi.Walker-2012@brookes.ac.uk)

**MANY THANKS AGAIN FOR GIVING THIS LEADERSHIP RESEARCH SURVEY YOUR TIME**

## Annex 7: Example of key informant interview framework (IHDO leadership)

Aspect	Theme	Specific / Lead Questions	Responses	Code
Interview Code:      Respondent Code:      Respondent name:      IHDO:      Date: / /				
<b>1. Introduction</b>	1.1 Orientation	1.1.1 Thanks; all responses in context of your own experiences in this organisation in this county; (1 hour!)		
		1.1.2 Understanding of participant information sheet?		
		1.1.3 Check consent form signed: check audio recording, anonymity, withdrawal if requested?		
<b>2. Intuition (show chart)</b>	2.1 Intuition for success	2.1.1 How would you define intuition?		IS1
		2.1.2 Do you agree with the survey findings that intuition is necessary for successful leadership?		IS2
		2.1.3 Why do you think this is?		IS3
	2.2 Intuition in practice	2.2.1 In which situations or specific contexts do you use intuition in decision-making?		IP1
		2.2.2 What are the parameters in which, or factors that influence you to use intuition in your work?		IP2
		2.2.3 Can you describe any recent positive and/or negative outcomes from your experiences of using intuition in your role as a leader?		IP3
	2.3 Developing and measuring intuition	2.3.1 How do you think intuition could be developed in leaders: what specific skills, knowledge, experiences and attributes, and which approaches are required?		ID1
2.3.2 Could intuition be more effectively measured in leader's performance appraisals? If so, how?			ID2	
<b>3. Versatility (show chart)</b>	3.1 Versatility for success	3.1.1 How would you define versatility?		VS1
		3.1.2 Do you agree with the survey findings that versatility is necessary for successful leadership?		VS2
		3.1.3 Why do you think this is?		VS3
	3.2 Versatility in practice	3.2.1 Which contexts or situations specifically demand that you be versatile as a leader?		VP1
		3.2.2 What organisational policies and practices are in place that enable you to be versatile in your role?		VP2



Interview Code:	Respondent Code:	Respondent name:	IHDO:	Date: / /
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Aspect	Theme	Specific / Lead Questions	Responses	Code
4. Characteristics and competences	4.1 Organisational perspective	4.1.1 Does your organisation have its own set of core leadership characteristics and competences?		CCO1
		4.1.2 If so how is this applied to promote and develop successful leadership?		CCO2
	4.2 Characteristics and competences in practice	4.2.1 The two significantly and unanimously highest rated successful leadership attributes (from 63) were <i>integrity</i> and <i>trustworthiness</i> . Why do you think this is?		CCP1
		4.2.2 Overall, female leaders placed significantly more importance on leadership <i>characteristics</i> for success than their male counterparts, whilst both sexes were quite balanced when it comes to <i>competences</i> . How would you interpret these findings?		CCP2
		4.2.3 Cross, inter and intra-cultural competences are highlighted as factors that affect successful leadership. In which way and to what extent are they promoted and developed in your context?		CCP3
	4.3 Characteristics and competences in the future	4.3.1 In your opinion, are there any characteristics or competences that are not so far documented in any of the literature or core frameworks (e.g. CBHA) that would enhance successful leadership in a future aid sector?		CCF1
		4.3.2 What measures would need to be put into place to build consensus on, and apply one common set of core characteristics and competences for successful leaders across the entire spectrum of aid organisations?		CCF2
	5. Influences	5.1 Nurturing key success factors	5.1.1 Leader's <i>action logic</i> (strategic approach to facing challenges) alongside their own competences and characteristics are seen as the main influencing factors on success. How are they nurtured in your context?	
5.2 Cultural dimensions		5.2.1 The <i>culture of the organisation, the leader, the team, and the local context</i> all influence successful leadership. How do these cultural dimensions affect (either positively or negatively) your own leadership?		INC1
5.3 Sectoral dimensions		5.3.1 <i>New coordination mechanisms, development trends, and new actors</i> all apparently have only a marginal effect on the success of leadership. How do they influence your own leadership?		IND1
5.4 Future leadership success		5.4.1 What for you will be the main influences on leadership success in the sector in the future, and why?		INF1

Interview Code:	Respondent Code:	Respondent name:	IHDO:	Date: / /
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Aspect	Theme	Specific / Lead Questions	Responses	Code
6. Locus of leadership (show chart)	6.1 Definitions	6.1.1 What is your understanding of the differences between leadership roles, functions and tasks?		LD1
	6.2 Perceptions of teams and different organisations	6.1.2 Followers see the leadership role as more successful in the hands of an individual leader, against leaders themselves who see this more as a shared responsibility. What are the implications of this?		LP1
		6.2.2 Humanitarian, transitional (mixed), and development organisations differed significantly in their opinions about where <i>leadership tasks</i> are most successfully handled. Why do you think this is?		LP2
	6.3 Collective vs. Individual leadership	6.3.1 What are your opinions about the pros and cons (successfulness) of collective and individual leadership?		LC1
7. Professionalism (show chart)	7.1 Definition	7.1.1 What does professionalism signify for you?		PD1
	7.2 Professionalism in practice	7.2.1 <i>Continuous self-development</i> was rated as the highest element of professionalism that contributes to successful leadership. How is this manifest in your own context (organisation, country, professional role)?		PP1
		7.2.2 Three of the central tenants of professionalism ( <i>technical skill, academic qualifications, and a monopoly over the use of knowledge</i> ) were rated significantly the lowest by all respondents. Why do you think this is?		PP2
		7.2.3 Humanitarian, transitional (mixed), and development organisations differed significantly in their opinions about the importance of <i>certified entry to the aid sector</i> . Why do you think this is?		PP3
	7.3 Professionalism in a future aid sector	7.3.1 The dialogue on 'making the aid sector more professional' is very bipolar. Do you think there could / should be uniformity and agreement on the main elements of professionalism?		PF1
		7.3.2 Survey respondents stated that <i>professionalism itself needs to be adapted for the sector</i> . What for you should 'aid sector professionalism' look like?		PF2
		7.3.3 How could this 'aid sector professionalism' be applied to result in more successful leadership?		PF3
		7.3.4 What challenges do you envisage would need to be overcome to ensure that 'aid sector professionalism' enhances successful leadership?		PF4

Interview Code:	Respondent Code:	Respondent name:	IHDO:	Date: / /
-----------------	------------------	------------------	-------	-----------

Aspect	Theme	Specific / Lead Questions	Responses	Code
8. Wrap up	8.1 Communication protocols	8.1.1 Would you like a transcript of this interview to provide your approval prior to its further use?		C1
		8.1.2 Would you like a copy of the Doctoral thesis once it is published?		C2
		8.1.3 May I quote you in my research publications? If so, by name, by pseudonym or anonymously?		C3
		8.1.4 If I may quote you, what is your organisations PR protocol for this?		C4
		8.1.5 May I contact you again if I need to clarify something? At which email address?		C5
	8.2 Interviewee Questions	8.2.1 Thank you! And now do you have any questions or other ideas or thoughts you would like to share with me?		Q1
9. Ideas for future interviews	9.1			F1
10. Miscellaneous - notes	10.1			M1

## Annex 8: IHDO focus group discussion framework

Interview Code:	Respondent Code:	Respondent name:	IHDO:	Date: / /
Aspect	Theme	Specific / Lead Questions	Responses	Code
<b>1. Introduction</b>	1.1 Orientation	1.1.1 Thanks to all; all responses in context of your own experiences in this organisation in this county; (2 hours!)		
		1.1.2 Understanding of participant information sheet?		
		1.1.3 Check consent form signed: check audio recording, anonymity, withdrawal if requested?		
<b>2. Intuition (show chart)</b>	2.1 Intuition for success	2.1.1 Do you agree with the survey findings that intuition is necessary for successful leadership?		IS1
	2.2 Intuition in practice	2.2.1 In which situations or specific contexts do you feel it is acceptable or relevant for leaders to use intuition in decision-making?		IP1
		2.2.2 In which type of circumstances do you think that using intuition is not appropriate or relevant?		IP2
		2.2.3 What do you think are factors that influence your leader to use intuition in his/her work?		IP3
		2.2.4 Can you describe any recent positive and/or negative outcomes from your experiences of your leader using intuition in his/her role?		IP4
	2.3 Developing and measuring intuition	2.3.1 How do you think intuition could be developed in leaders: what specific skills, knowledge, experiences and attributes, and which approaches are required?		ID1
		2.3.2 How do you think intuition could be measured in leader's performance appraisals?		ID2
<b>3. Versatility (show chart)</b>	3.1 Versatility for success	3.1.1 Do you agree with the survey findings that versatility is necessary for successful leadership?		VS1
	3.2 Versatility in practice	3.2.1 Which contexts or situations specifically demand that your leader be versatile?		VP1

Interview Code:	Respondent Code:	Respondent name:	IHDO:	Date: / /
-----------------	------------------	------------------	-------	-----------

Aspect	Theme	Specific / Lead Questions	Responses	Code
<b>4. Characteristics and competences (show culture sheet)</b>	4.1 Organisational perspective	4.1.1 Does your organisation have its own set of core leadership characteristics and competences?		CCO1
		4.1.2 If so how is this applied to promote and develop successful leadership?		CCO2
		4.1.3 Does your organisation have and use any kind of bottom up leadership feedback mechanism?		CCO3
		4.1.4 How effective is this in developing the characteristics and competences of your leader(s)?		CCO4
	4.2 Characteristics and competences in practice	4.2.1 The two significantly and unanimously highest rated successful leadership attributes (from 63) were <i>integrity</i> and <i>trustworthiness</i> . Why do you think this is?		CCP1
		4.2.2 Overall, female leaders placed significantly more importance on leadership <i>characteristics</i> for success than their male counterparts, whilst both sexes were quite balanced when it comes to <i>competences</i> . How would you interpret these findings?		CCP2
		4.2.3 Cross, inter and intra-cultural competences are highlighted as factors that affect successful leadership. In which way and to what extent are they promoted and developed in your organisation and/or by your own leader?		CCP3
<b>5. Influences</b>	5.1 Nurturing key success factors	5.1.1 Leader's <i>action logic</i> (strategic approach to facing challenges) alongside their own competences and characteristics are seen as the main influencing factors on success. How are they nurtured and manifest in your context here?		INS1
	5.2 Cultural dimensions	5.2.1 The <i>culture of the organisation, the leader, the team, and the local context</i> all influence successful leadership. How do these cultural dimensions affect (either positively or negatively) leadership here?		INC1

Interview Code:	Respondent Code:	Respondent name:	IHDO:	Date: / /
-----------------	------------------	------------------	-------	-----------

Aspect	Theme	Specific / Lead Questions	Responses	Code
<b>6. Locus of leadership (show chart)</b>	6.1 Definitions	6.1.1 What is your understanding of the differences between leadership roles, functions and tasks?		LD1
	6.2 Perceptions of teams and different organisations	6.2.1 Followers see the leadership role as more successful in the hands of an individual leader, against leaders themselves who see this more as a shared responsibility. What do you think the implications of this are?		LP1
		6.2.2 Humanitarian, transitional (mixed), and development organisations differed significantly in their opinions about where <i>leadership tasks</i> are most successfully handled. Why do you think this is?		LP2
	6.3 Collective vs. Individual leadership	6.3.1 What are your opinions about the pros and cons (successfulness) of collective and individual leadership?		LC1
<b>7. Professionalism (show chart)</b>	7.1 Definition	7.1.1 What does professionalism signify for you?		PD1
	7.2 Professionalism in practice	7.2.1 <i>Continuous self-development</i> was rated as the highest element of professionalism that contributes to successful leadership. How is this manifest in your own context (organisation, country, your leader)?		PP1
		7.2.2 Humanitarian, transitional (mixed), and development organisations differed significantly in their opinions about the importance of <i>certified entry to the aid sector</i> . Why do you think this is? What are your own opinions?		PP2
	7.3 Professionalism in a future aid sector	7.3.1 Survey respondents stated that <i>professionalism itself needs to be adapted for the sector</i> . What for you should 'aid sector professionalism' look like?		PF1
		7.3.2 How could this 'aid sector professionalism' be applied to result in more successful leadership?		PF2

Interview Code:      Respondent Code:      Respondent name:      IHDO:      Date: / /

Aspect	Theme	Specific / Lead Questions	Responses	Code
<b>8. Wrap up</b>	8.1 Communication protocols	8.1.1 Would you like a transcript of this focus group discussion to approve prior to its further use?		C1
		8.1.2 Would you like a copy of the Doctoral thesis once it is published?		C2
		8.1.3 May I quote you in my research publications? If so, by name, by pseudonym or anonymously?		C3
		8.1.4 If I may quote you, what is your organisations PR protocol for this?		C4
		8.1.5 May I contact you again if I need to clarify something? At which email address?		C5
	8.2 FDG participants Questions	8.2.1 Thank you! And now do you have any questions or other ideas or thoughts you would like to share with me?		Q1
<b>9. Ideas for future focus group discussions</b>	9.1			F1
<b>10. Miscellaneous - notes</b>	10.1			M1



## Annex 9: Endnote bibliography screenshot

EndNote X6 - [My EndNote Library]

File Edit References Groups Tools Window Help

BrookesHarvard Quick Search Hide Search Panel

Search Options Search Whole Group Match Case Match Words

Author Contains

Author	Year	Title	Rating	Journal	Last Updated	Reference Type
UN	2018	World economic situation and prospects 2018			10/06/2018	Report
Smith, R.	2018	The worlds biggest economies in 2018			16/05/2018	Electronic Article
Sanderson, D.	2018	Shifting from supply to demand: Opportunities for improving humanitarian response i...		Partnering for impact ...	29/05/2018	Journal Article
OCHA	2018	Global humanitarian overview			10/06/2018	Report
Debois, Marc.	2018	The new humanitarian basics		HPG Working Paper	19/06/2018	Report
Bennet, C.	2018	Constructive deconstruction: imagining alternative humanitarian action		HPG Working Paper	20/06/2018	Report
WorldBank	2017	Promoting Resilience through post-crisis recovery	★ ★	World reconstruction ...	20/06/2018	Report
OCHA	2017	World humanitarian data and trends 2017			26/08/2018	Report
Kelly, D.; Ridsdel, B.; Yarleth, K.; Puhal...	2017	No time to retreat	★ ★ ★	First annual synthesis ...	19/06/2018	Report
IIED	2017	SDG Report 2017 provides overview of efforts to achieve SDGs			12/05/2018	Electronic Article
ChristianAid	2017	Whose big deal? A year on from the World Humanitarian Summit, are local responders ...			12/05/2018	Electronic Article
Sanderson, David	2016	World Disasters Report 2016 - Resilience: saving lives today, investing for tomorrow			29/05/2018	Report
Bäckstrand, Karin	2016	Democratizing Global Environmental Governance? Stakeholder Democracy after the W...		European Journal of I...	15/07/2018	Journal Article
WVI	2015	Were the Millennium Development Goals a success? Yes! Sort of...			12/05/2018	Electronic Article
Woods, N.; Kabra, S. S.; Hall, N.; Tara...	2015	Effective leadership in international organisations	★ ★ ★	Evaluation of organis...	21/06/2018	Report
UNDP	2015	Sustainable Development Goals			20/06/2018	Report
UN	2015	The Millenium Development Goals Report			12/05/2018	Report
UN	2015	Zero draft of the outcome document for the UN summit to adopt post-15 developmen...	★ ★		22/06/2018	Report
OCHA	2015	Status report - a consolidated appeal to support people affected by disaster and conflict	★ ★ ★ ★	Global humanitarian ...	08/09/2015	Report
Knox Clarke, P.; Obrecht, A.	2015	Global forum for improving humanitarian action - results and analysis	★ ★	Global Forum briefing...	19/04/2018	Report
ECHO	2015	World humanitarian day - worker attacks	★		12/05/2018	Map
Clarke, P. K.; Campbell, L.	2015	Exploring coordination in humanitarian clusters	★ ★	ALNAP Study	08/09/2015	Report
CHS	2015	On the road to Istanbul - Humanitarian Accountability Report	★ ★ ★ ★	How can the World H...	19/06/2018	Conference Paper
Zetter, R.	2014	Protecting Forced Migrants - A State of the Art Report of Concepts, Challenges and Wa...			23/05/2018	Report
UNDP	2014	World Development Report	★ ★		06/10/2014	Report
Stoddard, A.; Harmer, A.; Ryou, K.	2014	Aid Worker Security Report	★		07/10/2014	Report
IAIDMI	2014	Addressing humanitarian effectiveness	★ ★ ★	southasiadisasters.net	08/09/2015	Journal Article
Williams, V	2013	Foreign Aid History			20/06/2018	Web Page
Sumner, A.; Lawo, T.	2013	The post-2015 development agenda: a review of the debate and potential elements of a...	★ ★ ★		10/01/2015	Report
Rosengren, A.; de Roquefeuil, Q.; Bila...	2013	How do European Donors engage with emerging development partners?		Discussion Paper	11/01/2015	Report
Messner, D.; Guarin, A.; Haun, D.	2013	The behavioural dimensions of international cooperation			11/01/2015	Report
Lundsgaarde, E.	2013	Bureaucratic Pluralism and the Transformation of Development Cooperation		Discussion Paper	12/01/2015	Report
CBHA	2013	Context humanitarian staff development project			20/06/2018	Report
CAFOD	2013	Funding at the sharp end			04/02/2014	Report
Besharati, N. A.	2013	A year after Busan: where is the global partnership going?		Economic Diplomacy ...	24/05/2018	Report
Armstrong, J.	2013	The future of humanitarian security in fragile contexts. An analysis of transformational ...			08/09/2015	Report
Zetter, R.	2012	The local dimension of international legal and normative frameworks: how it works on ...		Clim Mig Conference ...	23/05/2018	Conference Paper
WVI	2012	Europe can make the difference			11/01/2015	Report
UN	2012	The global partnership for development: making rhetoric a reality			07/10/2014	Report
Taylor, G.; Stoddard, A.; Harmer, A.; ...	2012	The state of the humanitarian system			20/06/2018	Report

Showing 161 of 161 references in Group. (All References: 1494)

Reference Preview L R effective leadership in intern 1 / 86 65%

BLAVATNIK SCHOOL OF GOVERNMENT WORLD ECONOMIC FORUM

Global Agenda Council on Institutional Governance Systems

Effective Leadership in International Organizations

April 2015



## Annex 10: Sampling IHDOs' approval letters



giz House 23-A, Street 55, Sector F 7/4, 44000 Islamabad, Pakistan

German Development Cooperation  
GIZ Office Pakistan

### Letter of authorisation to undertake Post-graduate (PhD) research within GIZ

House 23-A, Street 55, Sector F 7/4  
44000 Islamabad, Pakistan  
T + 92 51 2656370  
F + 92 51 2656375

Dear Mr. Walker,

Your reference  
Our reference

28 September 2016

Thank you for your interest to undertake research as a post-graduate student of Oxford Brookes University, UK, with the GIZ in South Asia as one of your case study organisations.

We have looked through your research proposal on 'Successful leadership: a study of international humanitarian and development organisations in South Asia'. We understand that your intended methodology (interviews with the Country Directors in Pakistan, India and Sri Lanka and focus group discussions with 6-8 national personnel in each of these countries) requires the engagement of staff of the GIZ.

Deutsche Gesellschaft für  
Internationale Zusammenarbeit (GIZ) GmbH

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T +49 61 96 79-0  
F +49 61 96 79-11 15

E info@giz.de  
I www.giz.de

Registered at:  
Local court (Amtsgericht)  
Bonn, Germany  
Registration no. HRB 18384  
Local court (Amtsgericht)  
Frankfurt am Main, Germany  
Registration no. HRB 12384

Chairman of the Supervisory Board  
Dr Friedrich Kilschiet, State Secretary

Management Board  
Tanja Gönner (Chair)  
Dr Christoph Beier (Vice-Chair)  
Dr Hans-Joachim Preuß  
Cornelia Richter

We have also seen examples of documents that participants of the research would be presented, i.e. the 'Participant Information Sheet', and the 'Participant Consent Form', duly noting the strictness and binding nature of regulations related to participant and data security, confidentiality, anonymity and rights etc.

We understand that this research is entirely funded by you. We understand also that the research has been approved by your University Research Ethics Committee.

As you are, at the same time, an Employee of the GIZ in Pakistan, you are aware that the organisation has its own regulations related to the undertaking of doctoral research internally; these have also been discussed with you, and you are aware of their binding nature for you as a GIZ employee.

Therefore, and based on your full compliance with both your University's and Employer's regulations regarding this research, we are willing to grant you the necessary authorisation to undertake your research as proposed.

Please ensure the continuity of your project in your absence from the role of Project Leader, and that there is a competent deputy put in place to maintain progress whilst you carry out your research.

Additionally, and whilst the intended interviews and focus group discussions are not excessive in terms of time required of the participants, please ensure

Page 2/2.

to obtain prior permission from their own superiors – especially in the case of national personnel in all three countries.

We wish you the best in these endeavors, requesting that you maintain a regular dialogue with your superior related to your progress, in the case that the workplan you have presented for any reason may not be achieved. We also look forward to you sharing the findings of this research so that we may benefit.

Yours sincerely,



Ulrike Reviere  
Country Director GIZ



**Médecins Sans Frontières India**  
C-162, 1st Floor, Defense Colony  
New Delhi - 110 024, India  
**Tel** : +91 11 26471158  
**Mob.** : +91 9910040390  
**Email** : info@new-delhi.msf.org  
**Web** : www.msfindia.in

Date: 6<sup>th</sup> October, 2016

To whomsoever it may concern:

This is to testify that Mr. Adi Walker will be undertaking a research study with Médecins Sans Frontières as a requirement of his Post Graduate programme from Oxford Brookes University, UK. The topic for his research study is 'Successful Leadership a study of international humanitarian and development organizations in South Asia'. As a part of this research methodology there will be focused group discussions and interviews with identified management representatives of MSF in the South Asia region. After the completion of this study Mr. Walker will be sharing a report about his findings to MSF. This research study is funded by Mr. Walker and we understand that research has been approved by Oxford Brookes University Research Ethics Committee.

Mr. Walker has made us aware that he is currently an employee with GIZ in Pakistan but that they have not commissioned this research nor have contributed in any way other than to allow him necessary time away from his duties to carry out research and they will be treated in exactly the same way as our own organization during this research study.

Mr. Walker undertakes that all the information and data accessed during this research study with MSF will be used for research purposes alone and not for any other purpose. He understands that this non-disclosure clause extends not only during this research study but even after the completion of this research study. There will be prior permission duly undertaken in case any publication.

We wish Mr. Walker very best for this research study.

 **MEDECINS SANS FRONTIERES INDIA**

  
Farhat Mantoo **Authorized Signatory**  
Head of Human Resources & Recruitment  
MSF South Asia  
Email: farhat.mantoo@new-delhi.msf.org

Doctors Without Borders / Médecins Sans Frontières (MSF) is an independent, international, medical humanitarian organisation that delivers emergency aid to people affected by armed conflict, epidemics, healthcare exclusion and natural disasters. MSF combines the provision of emergency medical care with a commitment to speaking out about the suffering which people endure and the obstacles encountered in providing assistance. MSF offers healthcare to people based only on need and irrespective of race, religion, gender or political affiliation.

In 1999, MSF received the Indra Gandhi Prize for Peace, Disarmament and Development.  
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Registered Office : C-162, 1st Floor, Defense Colony, New Delhi - 110024, INDIA. Tel : +91 11 40560215



**Letter of authorisation to undertake a Post-graduate (PhD) research within OXFAM**

3 October 2016

Dear Mr. Walker,

As the Director of OXFAM Great Britain in Asia, I am writing with great pleasure to endorse your research proposal on 'Successful leadership: a study of international humanitarian and development organisations in South Asia' as a post-graduate student of Oxford Brookes University, UK, with OXFAM in South Asia as one of your case study organisations.

We understand that this research is entirely funded by you. We understand also that the research has been approved by your University Research Ethics Committee.

You have made us aware at the same time that you are currently an employee of the GIZ in Pakistan, but that they have not commissioned this research, they have not contributed in any shape or form other than to allow you the necessary time away from your duties to carry out this research, and they will be treated in exactly the same way as our own organisation.

Therefore, and based on your full compliance with your University's regulations regarding this research, we are willing to grant you the necessary authorisation to undertake your research as proposed.

Whilst the intended interviews and focus group discussions are not excessive in terms of time required of the participants, please ensure to obtain prior permission from their own superiors - especially in the case of national personnel in all three countries.

We wish you the best in these endeavors, and look forward to your sharing the findings from this research that we may benefit from.

Please note that should any of the PhD research be published in the future, OXFAM requests for any potentially sensitive information to be shared with respective parties in advance.

Yours sincerely,

  
Dieneke van der Wijk  
Regional Director

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## Annex 11: NVIVO coding categories

### Successful leadership in IHDOs in South Asia

#### Nodes

Name	Description	Sources	References
Interpretations	Comments from participants that connect meaning and significance to the research	0	0
interpretations on characteristics		17	40
interpretations on competences		19	43
interpretations on influences		21	60
interpretations on professionalism		18	45
interpretations on successful leadership		24	100
Opinions	Value based opinions of participants about selected phenomena	0	0
Negative opinions		20	62
Neutral or mixed opinions		15	35
Positive opinions		19	43

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Name	Description	Sources	References
Perspectives	perspectives about phenomena - time, change, orientation, focus	0	0
perspectives on change		17	25
perspectives on future		12	19
perspectives on leaders		20	52
perspectives on space		11	35
perspectives on time		5	5

#### Nodes\\a - participants source classification

Name	Description	Sources	References
Donor BMZ		1	1
Donor DFID		1	1
Donor ECHO		1	1
Followers GIZ Pakistan		1	1
Followers GIZ Sri Lanka		1	1

Name	Description	Sources	References
Followers MSF India		1	1
Followers MSF Pakistan		1	1
Followers OXFAM India		1	1
Followers OXFAM Pakistan		1	1
Followers OXFM Sri Lanka		1	1
Government Rep Pakistan		1	1
Government Rep Sri Lanka		1	1
HR Rep GIZ		1	1
HR Rep MSF		1	1
HR Rep OXFAM		1	1
Leader GIZ India		1	1
Leader GIZ Pakistan		1	1
Leader GIZ Sri Lanka		1	1
Leader MSF India		1	1

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Name	Description	Sources	References
Leader MSF Pakistan		1	1
Leader OXFAM India		1	1
Leader OXFAM Pakistan 1		1	1
Leader OXFAM Pakistan 2		1	1
Leader OXFAM Sri Lanka		1	1

## Nodes\\challenges

Name	Description	Sources	References
challenges - context		2	4
challenges - coordination		1	2
challenges - funds		3	3
challenges - general		8	19
challenges - leaders		8	15
challenges - organisational		9	17

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Name	Description	Sources	References
challenges - sector		7	16

## Nodes\\characteristics

Name	Description	Sources	References
characteristics - development		1	2
characteristics - gender		7	19
characteristics - integrity		16	33
characteristics - integrity and trust		6	12
characteristics - leader success		5	5
characteristics - leader team		3	7
characteristics - leaders organisational		6	7
characteristics - leaders sector		3	5
characteristics - organisation		2	2
characteristics - recruitment		3	5

Name	Description	Sources	References
characteristics - trustworthiness		16	31

## Nodes\\competences

Name	Description	Sources	References
competences - action logic		5	8
competences - leader team		1	3
competences - leaders organisation		9	14
competences - leaders sector		11	15
competences - organisations		13	30
competences - qualifications recruitment		4	5
competences - technical recruitment		6	6

## Nodes\\context

Name	Description	Sources	References
context - general		4	7
context - stakeholders		2	2

## Nodes\\culture

Name	Description	Sources	References
culture - context		10	17
culture - cross-cultural competence		3	5
culture - cross-cultural teams		5	10
culture - definition		3	4
culture - individuals		3	3
culture - inter-cultural competence		5	10
culture - intra-cultural competence		1	1
culture - leader competence		8	16

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Name	Description	Sources	References
culture - leader influence		11	24
culture - local perspective		4	8
culture - multicultural organisations		3	5
culture - organisation influence		13	25
culture - organisational promotion		11	20
culture - recruitment		2	2

## Nodes\\gender

Name	Description	Sources	References
gender - general		9	24

## Nodes\\influences

Name	Description	Sources	References
influences - context		11	23

Name	Description	Sources	References
influences - funding		7	10
influences - future		7	16
influences - individual		2	2
influences - organisations		3	5
influences - past		3	3
influences - societal background		1	1
influences - stakeholders		6	8
influences - thematic sectoral		7	12

## Nodes\\intuition

Name	Description	Sources	References
intuition - contexts		16	40
intuition - decisions		20	99
intuition - definition		17	54

Name	Description	Sources	References
intuition - developed		21	53
intuition - individual inert		15	30
intuition - influences		16	49
intuition - leader success		15	40
intuition - measured		20	62
intuition - organisational role		15	27
intuition - recruitment		8	17
intuition - risks		12	22
intuition limitations		11	18

## Nodes\\locus

Name	Description	Sources	References
locus - collective and individual leadership		12	15
locus - collective leadership con		14	28

Name	Description	Sources	References
locus - collective leadership organisation		5	12
locus - collective leadership pro		15	36
locus - collective leadership sector		1	1
locus - context		2	7
locus - individual leadership con		8	10
locus - individual leadership pro		14	20
locus - leaders followers		7	13
locus - leadership functions		8	20
locus - leadership roles		10	26
locus - leadership style		3	4
locus - leadership tasks		9	17
locus - meetings		1	1
locus - roles functions and tasks		3	5

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## Nodes\\organisations

Name	Description	Sources	References
organisations - agenda		1	1
organisations - leadership development		3	3

## Nodes\\performance

Name	Description	Sources	References
performance - appraisal		6	22
performance - leaders		6	11
performance - organisational		8	15
performance - recruitment		1	2
performance - stakeholders		2	3



## Nodes\\professionalism

Name	Description	Sources	References
professionalism - attitude		4	6
professionalism - behaviour		5	5
professionalism - certification		21	66
professionalism - definition		13	40
professionalism - experience		3	3
professionalism - leadership		12	17
professionalism - organisations		13	20
professionalism - sector		21	83
professionalism - self-development		17	61
professionalism - three tenets		5	12

## Nodes\\sector

Name	Description	Sources	References
sector - coordination		1	1
sector - general		9	14
sector - leadership		4	5
sector - volunteerism		1	1

## Nodes\\versatility

Name	Description	Sources	References
versatility - contexts		15	26
versatility - definition		17	42
versatility - developed		2	3
versatility - in recruitment		3	7
versatility - leader success		15	31
versatility - leader team		5	5

Name	Description	Sources	References
versatility - limitations		1	2
versatility - organisation role		10	17

