

**A CASE STUDY: HOW LEGISLATORS MADE DECISIONS AFFECTING  
EMERGENCY MANAGEMENT OPERATIONS IN SOUTH DAKOTA**

A dissertation presented in partial fulfillment of the  
Requirements for the Degree of  
Doctor of Management

By

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## Abstract

This qualitative research study explored key factors and themes impacting legislative decision-making on South Dakota's emergency management operations, e.g., during the U.S. federal government shutdown that occurred October 2013. The central research question used to guide this case study was as follows: *What key factors impact legislative decision-making on emergency management operations in South Dakota?* Toward this end, 10 one-on-one, semi-structured, investigative interviews with South Dakota legislators were conducted to discover potential themes impacting legislative decision-making using the following three key factors: (a) leadership style, (b) tenure, and (c) financial support. Through coding and inductive analysis, the research identified and validated three emerging themes: (a) partisan control exists regardless of a legislator's leadership style; leadership is controlled primarily by the Republican Party as they are the majority, (b) tenure is not as important as experience or leadership style when making legislative decisions, and merit in making emergency management decisions more so falls on the type of individual, and (c) experience with emergency management operations affects a legislator's ability to make better decisions. These results revealed that leadership is inherently important when managing bipartisan agreements, including emergency management operations, and if state- or federal-level legislators do not possess former emergency management experience or tenure regarding emergency management operations, they risk poor decision making.

*Keywords:* decision-making, qualitative research, legislation, government, compromise, complexity theory, adaptive leadership theory, case study, data coding

## **Dedication**

First and foremost, I am grateful to the good Lord for watching over me in pursuit of this doctoral degree. My journey always includes the desire to genuinely help establish greater faith, peace, and hope for future generations. It was one challenge to lead and serve in combat and yet another to conduct complex negotiations based on rigorous research. My deepest thanks are especially due to my three sons—Jamil, Jovan, and Julian who are my heroes—for their unwavering and inspiring support as they, too, recently achieved college degrees.

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South Dakotan state legislators, as volunteer participants, were paramount to conducting my research. I greatly respect that they serve in challenging positions away from their families or other means of employment. They, too, genuinely care to build on an academic body of knowledge; several of them have been former educators or served in an emergency response position.

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## CHAPTER ONE

On October 1, 2013, the United States experienced a federal government shutdown that created economic disruption and significant hardships for millions of Americans and businesses across the nation. For South Dakota, its citizens experienced their own unique challenges that included residual impacts complicated by a massive blizzard, which especially affected emergency management operations. Since then, Americans have heard multiple perspectives on potential contributing factors that led to Congress' inability to agree on an appropriations bill.

While much can be debated concerning this topic, this research study focused on examining South Dakota's legislative decision-making processes as it applied to emergency management operations during the shutdown. As such, it sought to answer the following central research question: *What key factors impact legislative decision-making on emergency operations in South Dakota?*

Chapter One outlines a general framework for research including its (a) background, (b) problem statement, (c) purpose, (d) research question, (e) theoretical perspective, (f) assumptions, (g) significance, (h) delimitation, (i) limitations, (j) definition of terms, and (k) research design. It concludes with organization pertaining to the remainder of the study.

### Topic Overview/Background

Recent U.S. Government Accountability Office (2014) reporting affirmed that over the past 20 years, there have occasionally been federal lapses in appropriations leading to government shutdowns. The longest of these shutdowns, working through an arduous appropriations process, lasted 21 calendar days, from December 16, 1995, to January 6, 1996 (U.S. Government Accountability Office, 2004). The more recent shutdown lasted 16 days, from

October 1 to October 16, 2013. According to the Office of Management and Budget (Executive Office of the President, OMB, 2013), agencies furloughed federal employees for a combined 6.6 million work days during the shutdown (p. 13). Most of those employees were retroactively paid, which was estimated at approximately \$2 billion (p. 4).

The October 2013 federal government shutdown proved costly. American taxpayers lost roughly \$2 billion due to the absent productivity of 850,000 furloughed employees (Rein, 2013). In addition to these costs, OMB Director S. Mathews-Burwell described a cascade of “negative ramifications on a number of fronts” from (a) closing the government October 1, (b) \$500 million in lost local spending by visitors to closed national parks, and (c) \$1.9 billion in delayed deliveries of 156 aircraft when the Federal Aviation Administration could not register them (Rein, 2013).

Nationwide, Peters (2013) similarly reported the shutdown resulted in veterans’ education and rehabilitation benefits not being processed, and 19,000 children being sent home from Head Start centers. Additionally, Peters noted the shutdown disrupted recent economic gains, which incurred a cost of \$10 billion each week while the government remained closed and a three- to four-week shutdown that projected a slash of the country’s gross domestic product by 1.4%. For U.S. sustainability, Congress needed to promptly enact compromise to end the government shutdown.

For South Dakota, the effects of the government shutdown were complicated by Storm Atlas, a massive blizzard that resulted in the loss of cattle for many ranchers. Executive Director S. Christen of South Dakota’s Stockgrowers Association reported, “Some ranchers lost all their cattle. They’ve yet to find one alive...They are facing absolute destruction...one appropriate role for these guys is to lend a hand after disasters like this...and they’re not here” (as cited in

Woodbury, 2013). In effect, communities relied on help from neighbors because federal Farm Services Administration Offices were closed due to the shutdown.

Additionally, emergency management operations in South Dakota were affected by the residual of the partial government shutdown. For example, the White Buffalo Calf Woman Society, a domestic violence shelter servicing Rosebud Reservation and surrounding communities, lost 90% of its funding (Chai, 2013). Due to the shutdown the shelter was forced to turn victims away.

### **Problem Opportunity Statement**

Legislators did not fully recognize the residual impact on South Dakota's emergency management operations resulting from the federal government shutdown. On a broader scale, the shutdown's residual effects included American's dissatisfaction with their elected officials. For example, on March 2014 *Washington Post-ABC News* poll revealed that only 22% of the public would re-elect their representatives in Congress (Balz & Clement, 2014). The lowest poll since 1990 was in August 2011 following that year's debt-ceiling shutdown which showed that only 17% of the public would re-elect their representatives (DeSilver, 2014). Additionally, two-thirds (68%) of respondents stated that they "were inclined to look for others to vote for" (DeSilver, 2014). These statistics not only revealed the American people's dissatisfaction with their representatives, but it also showed the American people's expectations of their legislators. Legislators are entrusted to work arduously through policy-making agendas and pass prompt and effective legislation, which did not occur during the months that led up to the shutdown.

Based on its population, South Dakota has one sole U.S. House representative to defend numerous critical issues on multiple committees including the U.S. House of Representatives' Armed Services Committee and House Committee on Agriculture. Social, economic, and human

security costs and impacts must be considered when passing sound legislation affecting a state spanning over 77,184 square miles. For example, the U.S. House of Representatives addressed the expired critical livestock disaster assistance programs that affected South Dakota during the shutdown which resulted in a bipartisan vote of 223 to 197, H.R. 6233—the Agricultural Disaster Assistance Act of 2012—passed (U.S. House of Representatives, Committee on Agriculture, 2012). As such, this decision provided producers risk management tools to address droughts; however, when Storm Atlas hit in 2013, the federal government shutdown kept such immediate disaster assistance from being provided.

State legislators and South Dakota Governor D. Dugaard were especially challenged to deal with multiple complex social, economic, and human costs during the blizzard. Constituents also questioned why South Dakota’s two U.S. Senators voted to reopen the government, whereas, the U.S. House Representative did not. Congresswoman Noem’s rationale in not supporting the bill was because it failed to address continued deficit spending resulting in a \$17 trillion debt (Aberdeen News, Oct 20, 2013). However, many South Dakotans were not convinced that this explanation was the best course of action to justify her decision. Further research is required to query if a legislator’s leadership style and tenure with experience level are closely tied with the accuracy of his or her voting record regarding emergency response operations.

Regardless of a crisis’ complexity, constituents expect legislators to address communities with transparency and fortitude to ensure confidence in their emergency response capabilities. During negotiation and decision-making, corrupt activity and the temptation to please lobbyists or special interest groups are potential issues that can cloud legislative judgment. For example,



fear of losing a re-election or making a mistake may cause legislators to lose perspective on making ethical decisions and/or openly sharing concerns and resolutions.

Two months after the October 2013 blizzard, Black Hills' communities reported an estimated \$3 million in damages. For example, Rapid City and Pennington County estimated \$2.9 million in property damage, whereas P. Sumption, city finance officer, stated that half the cost was due to clean up of damaged trees (Simmons-Ritchie, 2013). The other half went towards consultancy costs, emergency response, and tree hauling. Fortunately, a national disaster was declared so 75% of the costs could be reimbursed with the state offering another 10% (Simmons-Ritchie, 2013).

Assessing legislative decision making post emergency response operations is critical and requires transparency of thought. For example, Pennington County Board of Commissioners' Commissioner Holloway noted that to some degree, county tax dollars should help defray costs. He noted that natural disasters, e.g., hurricanes, blizzards, etc., affecting states, like New Jersey, became too accustomed to being bailed out by the federal government (Simmons-Ritchie, 2013). Although Holloway's transparent opinion may have been unpopular at the time, it had absolute relevance and perhaps elements of truth for legislative decision makers to consider during emergency response situations.

Most leadership scholars recognize that situation matters (Padilla, Hogan, & Kaiser, 2007). One review suggested four important environmental factors that can lead to destructive versus constructive leadership: (a) instability, (b) perceived threat, (c) cultural values, and (d) absence of checks and balances (Padilla et al., 2007). As emergency response situations are certainly complex for legislators, both state and federal, this study discussed the problem

resulting from legislators' inexperience while governing and applying adaptive leadership in complex emergency management operations.

### **Purpose Statement**

This study purposely builds on the body of knowledge which examined legislative decision-making processes and encourages better practices for future consideration, especially regarding emergency management operations. Using a qualitative research approach, this research endeavor explored how South Dakota legislators interact with one another, revealing inherent complexity in their jobs. Qualitative research leverages complex and adaptive leadership theories and allows exploratory inquiry by obtaining direct, rich, and descriptive data from the participants' own words. Thus, input for this study was based on participants' personal and professional experiences as well as subsequent data analysis taken from surveys and interviews.

This research study focused on discovering if legislative representatives can implement innovative approaches as well as new initiatives that can address the lingering effects of the recent government shutdown for future preparation. It further considered a careful approach to leveraging disadvantaged populations when natural hazards occur, including cattle ranchers and crop farmers who may require immediate emergency funding, to regain employment and economic stability. This approach directly addressed the apparent challenges by helping legislators overcome a lack of compromise and by providing opportunities for learning and professional development.

### **Research Question(s)**

This research study focused on legislative decision-making processes. Specifically, if focused on the processes applied to affecting emergency management operations in South

Dakota. The primary central research question addressed was as follows: *What key factors impact legislative decision-making on emergency management operations in South Dakota?*

### **Research Sub-questions**

The following sub-questions were used to guide the study:

- Is leadership style a key factor to legislative decision making?
- Is tenure a key factor to legislative decision making?
- Is financial support a factor that affects legislative decision making?

### **Theoretical Perspectives/Conceptual Framework**

This research study's value and contribution of approach is reflected in Reason and Torbert's (2001) assertion. After the philological turn of postmodernism, researchers re-envisioned the purpose of social science to forge a direct link between intellectual knowledge and interpersonal and social action; thus, investigative inquiry purported the advancement of humans, their surrounding communities, and ecosystems in which they live. Both complex and adaptive leadership theories were emphasized as the centerpiece of research to develop a theory closely related to the context of the phenomenon being studied.

### **Complexity Theory**

Complexity theory is a methodology used for developing inductive theories that form with systematically gathered and analyzed data. Data collection, analysis, interpretation, and theory development precede interdependent and iterative processes (Bitsch, 2005). Complexity theory builds in different phases including (a) deciding on a research problem, (b) framing the research question, (c) data collecting, (d) data coding and analysis, and (e) developing theory. It allows the researcher to draw from personal and professional experiences, knowledge of the

study sites and materials, and levels of sophistication brought to the analytical process without allowing perceptions to interfere with critical thinking and discovery.

Complexity theory, which emerged in the twentieth century in response to criticism concerning the reductionist analytical thinking model, suggests an alternative approach for knowledge in general and the knower, the object of knowledge, and method and truth (Ng, 2013). Maturana and Varela (1999) presented a different understanding of cognitive phenomena, e.g., that mankind self-creates knowledge in a social setting by interaction; thus, complexity theory should encourage diversity and allow disagreements as necessary for innovation.

Complexity theory strives to inspire natural self-organization, and innovative and effective developments. One may believe that an imbalance within an organization is not considered harmful as long as survival needs are met. Perhaps top-down pressure to deliver extremist views and diversions from norms may surface and development of informal support networks could work toward compromise.

### **Adaptive Leadership Theory**

Another theory applicable to leadership is the adaptive leadership theory, commonly found in the U.S. military where servicemen and women thrive in uncertain and complex operating environments. Just as the military needs adaptive leaders, members of Congress may well require similar characteristics, such as being decisive, innovative, adaptive, culturally astute, and effective communicators dedicated to life-long learning (Cojocar, 2011).

*Field Manual (FM) 5-0: The Operations Process* (Headquarters, Department of the Army, 2012) explains a design process in which leaders do not think linearly but instead try to grasp the complexity of problems prior to solving them. Unique to this leadership style is the ability to adapt to a hybrid threat environment. For example, hybrid threats are innovative,

adaptive, globally connected, networked, and embedded in local populations. Thus, a hybrid threat's immediate goal is survival, but its long-term goal is the expansion of its influence (Cojocar, 2011).

Adaptive leadership theory suggests that such leaders continuously scan their operational environment and maneuver with speed and agility with cognitive awareness to affect the will or psyche of others. Thus, the end state is to attain their political objectives. Toward this end, adaptive leaders also provide their staffs a measure of resiliency when challenged with complex circumstances.

*Field Manual 6-22: Army Leadership* expressed that adaptive leaders are comfortable with ambiguity and view change as an opportunity requiring two critical components: (a) the ability to identify essential elements rapidly for optimum performance in every situation and (b) the ability of a leader to alter organizational practices by capitalizing on strengths and minimizing weaknesses (Headquarters, Department of the Army, 2006). *Field Manual 6-22* also states that adaptive leaders (a) are open minded, (b) evaluate situations before drawing conclusions, (c) take risks, and (d) are resilient to setbacks (Cojocar, 2011). These characteristics are valuable to legislators as they encounter complex problems, such as immigration, human trafficking, and cyber warfare policy.

As an introduction to organizational adaptation, legislative leaders could mirror the seven steps often used in the military decision-making process within *Army Doctrine Publication 5-0: The Operations Process* (2012, p. 8) as follows:

1. Receipt of the mission
2. Mission analysis
3. Course of action development

4. Course of action analysis
5. Course of action comparison
6. Course of action approval
7. Orders production, dissemination, and transition

Legislative leaders could further synthesize the seven steps into three as follows:

1. Determine what legislative practices are “core” to future negotiations and which are obstacles
2. Run smart experiments and test new, collaborative practices
3. Integrate new practices aligning people across party lines to execute legislation

In step one, determining which practices are core could include designing activities to help frame the problem so subsequent resolutions evolve accurately. For example, would it be better for legislators tasked to design policy solutions to address a natural disaster crisis, to assess the affected area from above, or by conducting a walk-through on the ground? On the ground, legislators could dialogue with emergency response personnel to understand the effects of the disaster—not to be misconstrued as a photo opportunity. Better yet, legislators, with their professional staffs, could continually assess risks and implement policy courses of action to help deter or preempt a threat before a disaster occurs.

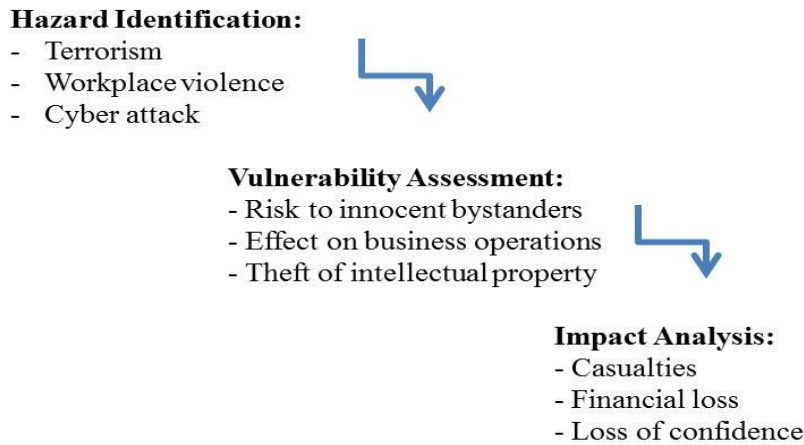
State legislators should also remain cognizant of national-level strategic priorities, e.g., the Federal Emergency Management Agency’s (FEMA) *2014-2018 FEMA Strategic Plan* (U.S. Department of Homeland Security, FEMA, 2014). For example, priority 4—“Enable Disaster Risk Reduction Nationally” (p. ii)—mentions key outcomes from which South Dakotans could glean information as follows: “The whole community uses the best available data and analytic tools to ensure risk-informed decisions before, during, and after disasters; whole community

partners make resilient investments in development and rebuilding, encouraging and expecting; congressionally mandated reforms [e.g., FEMA] are implemented” (p. ii). An ongoing risk assessment process within South Dakota includes the Keystone XL Project that will transport oil sands crude (tar sands) for further delivery to Gulf Coast refineries (Parfomak, Pirog, Luther, & Vann, 2013). The U.S. Department of State, as the lead federal agency for the National Environmental Policy Act process, recorded in the final supplemental environmental impact statement (EIS) the potential impacts associated with the proposed pipeline and its alternatives. Notable changes since draft publication included the following: (a) expanded analysis of potential oil releases, (b) expanded climate change analysis, (c) updated oil market analysis incorporating new economic modeling, and (d) and expanded analysis of rail transport as part of the “no action” alternative scenarios (*Final Supplemental Environmental Impact Statement*, 2014).

The researcher often defended in open forum that there is a difference between environmental impact and risk. In a broad sense, emergency management entails anticipating situations that threaten people’s lives, their communities, or their environment at risk. Once a situation arises, mitigation to reduce and remove adverse impacts must be made to the best extent possible.

For example, Figure 1 shows the perceived differences similar to diagrams used by the U.S. Department of Homeland Security (2014). During the 2014 federal elections, there was also great disparity regarding vulnerability (risk) between Republican and Democratic candidates within South Dakota regarding the risk of expanding Trans-Canada’s Pipeline. Heavily dependent on its aquifers and protection of the environment, South Dakota residents were concerned about varied degree of impact (loss), e.g., the threat of eminent domain (particularly

the tribal reservations), and more severely, leaks from a pipeline or explosions due to railcar derailment.



*Figure 1.* Environmental risk versus impact. The figure illustrates the progression that occurs between determining a risk to then deciding what the associated impact could be. See also “Risk Assessment Process Diagram,” 2014, *Ready Campaign: Risk Assessment*, retrieved from <http://www.ready.gov/risk-assessment>. Copyright 2014 by the U.S. Department of Homeland Security.

Step two allows legislative leaders to further analyze what, and by whom, actions must be completed. In a group setting, stakeholders can observe how much they are adaptable, flexible, and agile. Supporting staff also can recognize and interpret patterns (pattern analysis) of collaborative behavior. In contrast, Congress is often criticized for its partisan division and how it operates in an extraordinarily hyper-partisan environment (Siegal, 2012). Representative A. Schiff (D-Burbank) stated, “Where compromise is a bad word, yet we know what needs to be done” (Siegal, 2012). Legislators must recognize that their organizational destructiveness could



also affect the quality of life for employees and citizens and could jeopardize their own purpose (Hogan & Kaiser, 2005).

Step three generates further analysis to develop courses of action. Two diametric approaches, for example, Republican and Democrat, could present their solutions. Here legislators and staff members “war game” possible actions and probable consequences. Threat-focused decision making, proactive or reactive, and adaptive actions, reactions, and counteractions make for dynamic course of action analysis (Cojocar, 2011). Experimental processes include considerations for political risk or blow-back. Ideally, legislators and staff members should assess risk, then compare and evaluate the courses of action against set criteria. Final selection is approved by committee leaders and legislation is subsequently drafted to pass through the House and Senate floors. Implementing an adaptive screening and evaluation criteria for comparative analysis introduces adaptability into the decision-making process. In conclusion, an adaptive leadership style practices leading in a complex and changing environment wherein adaptive and hybrid threats exist.

Sharpe and Creviston (2013) noted that adaptive leadership is not merely adjusting to circumstances but encouraging and building on circular and interactive relationships that exist among stakeholders. Albano (2007) described adaptive leaders as those who see organizations as living—not mechanical—systems that they can help mold subordinates. Yukl and Mahsud (2010) also stated that adaptive leadership involves altering behavior as a situation changes. For example, as the pace of change increases, adaptive leaders become more critical to success; thus, they are likely to succeed because they accurately diagnose an imminent situation and appropriately adjust the response/behavior of their subordinates.

## **Game Theory**

The researcher also considered game theory as a topic important to qualitative study. As previously noted, Congress is comprised of hundreds of decision-makers and is very complex in nature. Although this theory did not cover the myriad aspects in decision making found in the complexity or adaptive leadership theories, game theory has applicability. For example, Greeley (2011) stated the following:

A non-cooperative game lacks a higher authority to impose agreements on both sides. In Washington, no politician is bound to reach a compromise to solve any long-term problem. Everyone, however, is playing a game called “election,” and the only possible goal in that game is to win the next one. If you hear someone in Congress say, “Senator X is just playing politics.” a perfectly legitimate response is, “She has to. Those are the rules of the Constitution.”... Anyone who pledges to fix or change Washington is unlikely to impose a cooperative game on a town that, by design, can’t play one. (p. 6)

The researcher noted that game theory does not hone in on the full root of the problem—legislators not having both the experience and desire to adapt to resolve complex problems.

### **Assumptions/Biases**

In addition to a focus on theories, the researcher’s objective was to investigate legislative members’ approaches and initiatives to find common ground. The researcher conducted two close assessments at the state capitol to determine if members’ legislative capability was effective; subsequently, the researcher envisioned a graphic model to introduce a new strategy supporting compromising and collaborative initiatives. A future goal includes determining if the model can help support future studies and development of complexity or adaptive leadership theory. This could be accomplished by asking questions regarding how South Dakota legislators

make decisions that affect emergency management operations. Using analytical methods, and reviewing voting records, the researcher observed options and initiatives currently used or introduced by legislative members to facilitate emergency management operations. The objective was to verify if better collaboration and compromise can bolster legislation to support emergency response operations.

In the future, the researcher hopes to raise awareness and discuss with participants the ongoing concerns about government and environmental policy. As shown in Figure 2, Chapman University conducted a 2014 nationwide poll of 1500 participants. It identified the government corruption rate at 67.3%. Also, the Affordable Health Care Act or Health Care Reform was at 46.9% (McNutt, 2014). These two concerns were somewhat intangible, whereas, industrial pollution, drinking water pollution, and toxic waste contaminating water offered more physical, life-threatening aspects.

### **Top Five Concerns and Worries about Government and Environmental Policy**

(Chapman Survey of American Fears – 2014)

- **Government Corruption = 67.3%**
- **Industrial Pollution of Waterways = 53.5%**
- **Pollution of Drinking Water = 51.9%**
- **Health Care Reform = 46.9%**
- **Toxic Waste Contamination of Water Supply = 29.8%**

*Figure 2.* Leading American fears regarding government and environmental policy. Percentages show variance of degree in fear of particular risks that would adversely affect mass populations. Adapted from "What Americans Fear the Most," by V. McNutt, 2014, *The Chapman University Survey on American Fears*, retrieved from <http://blogs.chapman.edu/wilkinson/2014/10/21/what-americans-fear-the-most/>. Copyright 2014 by Chapman University.

## **Significance of the Study**

The research herein captured the impacts of legislators' current decision-making styles used to address the effects of the federal government shutdown. Additionally, the research intended to implement a model that delivered interactive skills as well as a careful approach to address constituent needs more congenially to fully achieve national-level and state-level requirements. This case study further analyzed initiatives that benefit constituents addressing the needs of "die-hard" organizations to assist in time of economic despair; for example, South Dakota's Stockgrowers Association. The research answered the question determining the key factors that impacted legislative decision making, which affected South Dakota emergency management operations.

Research justification included addressing the needs for an effectively functioning legislature and ensuring the ability to respond and adapt to changes in society. Ortmeier and Meese (2010) stated, "In many cases, abrupt, chaotic events and circumstances generate need for change, and introduce a process referred to as complexity theory" (p. 4). Finally, organizations, communities, and legislative institutions that adapt to embrace compromise were more apt to serve their roles with pride and distinction.

## **Delimitations**

This case study's design initially consisted of 10 participating legislators who work closely with legislative processes in the Washington, D.C. area. Three of the locations in which the researcher conducted interviews required special authorizations, including nondisclosure statements, to gain access. Thus, the researcher's ability to maneuver throughout interview locations was carefully negotiated; however, it slightly narrowed the study's scope.

Nevertheless, the researcher employed a qualitative, exploratory methodology to obtain rich and descriptive information from the participants' personal and professional experiences.

### **Limitations**

Case study research included limitations that evolved from the researcher's analysis of content validity, credibility, and reliability. Time constraints reduced the opportunity to observe processes from beginning to end. As such, an implementation plan revolved around a two-year program supporting three phases: (a) research, (b) pilot program development and implementation, and (c) evaluation and confirmation. Research was based carefully on observations and interviews gained during the pilot program development and implementation phases.

The researcher's initial position suspected a conflict of interest arising. As a South Dakota political candidate for Congress, the researcher employed several full-time staff members supporting the researcher's campaign; furthermore, for the purpose of research, professional consultants and attorneys volunteered advice on ethics, rules, and standards. Nevertheless, the research was conducted within the limitations prescribed by Colorado Technical University (CTU), e.g., site visits to governmental and private business locations.

### **Definition of Terms**

*Adaptive*—displaying flexibility to improve one's performance or survivability in a complex environment, e.g., leaders may improve a community or organization by monitoring or adjusting its configuration or processes in response to feedback from its environment.

*Government shutdown*—when Congress fails to resolve budget disagreements for the next fiscal year and decides to cease or decrease funding for essential federal services. A shutdown typically affects thousands of federal employees and governmental contracts until

negotiation is achieved. Military personnel are not usually affected; however, training can be cancelled, e.g., weekend drills hosted by the National Guard.

### **Research Design Overview**

Qualitative studies commonly display the characteristics of (a) field research, (b) the investigator as primary instrument, (c) several data sources, (d) inductive data analysis, and (e) research that is focused on participant association, emergent design, a theoretical lens, interpretive inquiry, and all-inclusive accounts (Creswell, 2009). Such qualitative research is a means to explore and comprehend diverse rationale that individuals provide about their life experiences. Lincoln and Guba (1985) discussed a phenomenon wherein a sample, studied in its natural setting, helps the researcher offer meaning to the sample's past or present experiences (Creswell, 1998). Qualitative processes joined with theory permitted inquiry and data formulation identifying general themes developed by way of structured interviews.

This research study leveraged adaptive leadership theory. Research participants experienced the process by developing theory which helped explain in-state and congressional practices as well as provided a framework for further research. Thus, the researcher developed a theory based on data received from participants who experienced the legislative process. Such an approach supported exploratory qualitative research design which, in effect, produced a general concept, or theory, of legislatures' approaches, actions, or interactions, shaped by peer perspectives and constituents.

### **Summary of Chapter One**

Chapter one delivered a rationale for the proposed case study including its background, justification, and research design. Studies exist regarding a lack of compromise exhibited in legislative bodies. Toward this end, strategies must be introduced, or reinforced, to successfully

address South Dakota's emergency management operation needs. Additionally, America as a whole continues to face emerging fears of another government shutdown.

### **Organization of Dissertation**

Chapter Two provides an overview of legislative processes and examples of lack of compromise; furthermore, the effects of the federal government shutdown in South Dakota are also examined. In addition, the necessity for interactive processes will also be investigated and recommendations provided. Chapter Three illustrates the study's methodological context using a qualitative exploratory theory approach in investigating legislative initiatives that address multiple concerns affecting South Dakotan communities. Chapter Four summarizes the qualitative study's results, findings, and data analysis gathered. In conclusion, Chapter Five encapsulates the case study's implications and conveys recommendations for prospective research and implementation.

## CHAPTER TWO

Chapter Two provides an overview of legislative processes, examples of lack of compromise, and the probable effects of a government shutdown in South Dakota. Through investigation, common and interactive processes will be examined. Compromise within legislatures, especially when not at war, is expected yet irregularly exercised.

The focus and scope of this research was diverse and broad and allowed an integrative approach to resolve legislative dysfunction. This included a lack of bipartisan agreements with regard to emergency management functions. Most research typically focuses on a single dimension of a problem or resolution, such as budget or social impacts; however, in a time of so many competing interests, often driven by economics and influenced by complex organizations, processes must reexamine theoretical ways to create a new set of paradigms (Shore et al., 2009). Shore et al. (2009) discussed a theoretical focus studying the paradigms and limitations across varied dimensions of diversity to pinpoint means of integration and future implementation.

### **Review and Discussion of the Literature**

Leaders recognize the importance of integration to promote transparency and effectiveness in complex environments. Just as in a corporate culture where it is crucial to encourage or discourage varied attitudes and practices, it should also apply to those serving in Congress. This literature review provides a base of information regarding legislative decision-making processes that affect emergency operations in South Dakota. Toward this end, decision-making style is defined as “the learned, habitual process pattern exhibited by an individual when confronted with a decision situation” (Scott & Bruce, 1995, p. 820).



So how do high-level decision makers, i.e., legislators, face the difficult challenge of developing strategies that address diverse perspectives? Classical management theory prescribes methodology for the decision-making group to agree on objectives, often from a shared understanding of the organization's vision and mission (Hitt, Ireland, & Hoskisson, 2009). Wainfan (2010) believed when groups are homogenous, consensus on objectives is relatively likely. As perspectives of decision makers diverge, or when decision makers consider a wide range of stakeholder, analyst, and adversary viewpoints, consensus on objectives grows less likely. If objectives cannot be established, then it is unlikely that the strategies will achieve those objectives.

To bolster new means to develop a better-prepared legislative body, representatives can permeate an understanding of different integrative approaches to assist in resolving partisan politics. A challenge for theory and future model application is presented. For example, legislators are expected to appreciate and understand the impact of their work ethic and their pledge to serve the public. Congress, as an organization on both a theoretical and practical level, exercises varied approaches when leaders confront the challenge of integration. Integration requires interpersonal relations that get work done by leaders in the interest of constituents (Kouzes & Posner, 2002). Research shows that decision makers are realizing the importance of having an atmosphere of integration, attracting a diverse workforce, and promoting tolerance in the work place.

Proposed adaptive leadership theory relates to the complexity of integration within legislative networks and also considers the possibility that fusing integration into legislative processes can effectively promote and execute governmental policy, laws, and other outcomes. Such theory provides options to the research by investigating integration initiatives designed and

implemented to address complex requirements. For example, a seemingly dysfunctional workforce should continuously address its own strengths and weaknesses.

### **Lack of Leadership and Compromise**

Legislators historically find ways to survive varied economic crises. Somehow the ability to retain its workforce during near-recession and re-elect legislators afterward continues to be a challenge. During the economic slump in 2002, and while experiencing the effects of Hurricane Sandy, some representatives voted against federal funding to assist distressed families and businesses. Perhaps legislators were unaware of or ignored the situation's impact. For example, how can a legislator vote against helping a neighbor during a crisis such as Hurricane Sandy and then wonder why subsequently the legislator receives no support from those same neighbors when the blizzard in S.D. killed thousands of cattle?

South Dakota's Governor Dugaard and emergency management officials faced a dire tragedy when governmental offices were closed due to the shutdown, e.g., little could be done to activate disaster relief operations during the blizzard. Senator T. Johnson (SD-D) voiced his disdain for the government shutdown (Peters, 2013). He included specifics affecting his constituents as follows: (a) visitors to Mount Rushmore were turned away, (b) more than 400 civilian employees at Ellsworth Air Force Base were sent home without pay, (c) small businesses relying on the federal Small Business Administration to process loans were cut off, and (d) the U.S. Department of Agriculture offices were closed.

On October 11<sup>th</sup> the governor announced an agreement to reopen Mount Rushmore using funds donated by various businesses and foundations from across the state who promised to "buy a day" of operation ("Utah, Colorado," 2013). The *South Dakota State News* (2013) reported, "Visitors from around the world come to the Black Hills to see Mount Rushmore, and I'm

pleased that our nation’s Shrine to Democracy will be re-opened,’ said Gov. Daugaard. ‘I appreciate the willingness of the National Park Service to partner with us to operate the monument.’” The National Park Service agreed to charge \$15,200 per day to the state for operation of the monument and the varied businesses and organizations who partnered in this effort were identified by the *South Dakota State News* (2013) as follows:

- The Mount Rushmore Society
- Rapid City CVB / BID Board
- Black Hills Central Reservations
- West River Foundation
- Lawrence & Schiller
- Lantis Enterprises, Inc.
- Neiman Enterprises, Inc.
- J. Scull Construction Service, Inc.
- Avera Health
- First PREMIER Bank/PREMIER Bankcard
- MDU Resources
- Sanford Health
- ISIS Hospitality
- Wall Drug
- One anonymous donor

As mentioned earlier, some ranchers in South Dakota lost 50% or more of their cattle during Storm Atlas and that sheep and horses also perished. As the previous federal livestock disaster program expired at the end of 2011, it was unfortunate that the two chambers in Congress were

unable to agree on a Farm Bill after passing different versions several months before the blizzard. An agreed upon Farm Bill would have likely included prompt financial assistance for livestock losses; the House version offered 75% coverage, and the Senate offered 65% coverage (“Lawmakers,” 2013). South Dakota’s state legislature pleaded for quick passage of the farm bill, but it was not until the following year that it was finally passed.

Admittedly, Congress meets more days than the state legislature and is challenged by more varied leadership characteristics and bipartisan pressures. This makes it difficult to capture nationwide mantras that lead to securing legislation serving the best interest of hard-working families. Keller (2005) highlighted research on political leadership, that contrary to conventional wisdom, leaders respond in systematically different ways to domestic constraints: “constraint respecters” internalize constraints in their environments, while “constraint challengers” view such constraints as obstacles to be surmounted. Specifically, democracies led by “respecters” stand out as extraordinarily pacifying in their crisis responses, while democracies led by “challengers” and autocracies led by both types of leaders are demonstrably more aggressive. The categorization of leaders, defined as “crusaders” versus “pragmatists,” can be based on such an important distinction (Stoessinger, 1979). Moving forward, it was inherently important that the results of this case study represented the sample that participated as well as those who currently serve, or aspire to serve, as legislative representatives.

On a national level, millions of dollars were lost and numerous employees were affected during the shutdown. Reimbursement for a shutdown often happens at a slow pace, whereas few, if any, members of Congress are personally affected. Great discourse stemmed as both federal government employees and members of Congress are both paid by the Office of Personnel Management. Recall the Senate unanimously passed similar legislation so members

of Congress were also affected, sponsored by Senator B. Boxer in early 2011, but it failed passage in the House (Held, 2013). Senator Boxer, once again, reintroduced her legislation in January of last year by calling on her colleagues to take action, but, yet again, the bill did not pass (Held, 2013).

### **Collaboration is Critical**

According to Yukl, Mahsud, Shahidul, and Prussian (2013), their research examined how ethical leadership related to leader–member exchange and work unit performance, and that ethical leadership makes small but significant contributions to the explanation of leader–member exchange and managerial effectiveness. Thus, collaboration is critical in decision making. “Inspired leadership” workshops, as hosted by General (Retired) T. Franks, could assist legislators. His leadership institute was recently awarded for positively impacting their communities in ways that inspire integrity (Hite, Nandedkar, Mercer, & Martin 2014). Furthermore, the collaboration amid academics and practitioners enhanced leadership development and building alliances.

Specifically, citizens in South Dakota then witnessed a noticeable lack of collaboration by U.S. Congress members as the federal government shutdown occurred in 2013. In contrast, on November 17, 2014, U.S. Senator J. Thune (SD-R) exuded an effort as Chairman for the Republican conference committee noting that it doesn’t solve the immigration problem by shutting down the government out of partisan haste (“Republicans Weigh,” 2014). Specifically, Thune also stated, “We’re going to continue to meet about this. I know the House leaders are talking about it and the Senate leaders are talking about it” (“Republicans Weigh,” 2014). Oklahoma’s Representative T. Cole also stated that a shutdown was an inappropriate tool, and that the leadership was really listening to a variety of views (Hooper, 2014). Much occurred on a

national level that led to the federal government shutdown and regretfully emergency management operations were affected in South Dakota.

Another recent example of the lack of collaboration may be construed by Congress possibly considering U.S. Department of Homeland Security (DHS) funding under a continuing resolution. For example, on December 2, 2014, Representative B. Thompson (D-MS), the ranking member of the Committee on Homeland Security, noted years of congressional inaction. Coincidentally President Obama announced a series of actions the Administration would take to repair the U.S. immigration system. In response, a faction of the House Majority attempted to penalize DHS by refusing to advance full year funding for fiscal year 2015, even as dedicated funding for every other federal department and agency was considered (U.S. House of Representatives, Committee on Homeland Security, 2014). Thompson further expressed that such action undermined DHS' ability to perform its critical homeland security mission and unfairly punished state and local governments and first responders who relied on federal grants for emergency management (U.S. House of Representatives, Committee on Homeland Security, 2014).

Collaboration between local, state, and federal policymakers is but one aspect of addressing national issues. The National Caucus of Native American State Legislators (NCNASL) also promoted collaboration regarding state-tribal issues among policymakers and the public at large (*National Conference of State Legislatures*, n.d.). Members, such as Senator J. Bradford and Representatives T. Heinert and K. Killer, from South Dakota, strived to encourage broad awareness of tribal issues throughout the country.

The NCNASL has been effective whereas the Native American legislators increased their state's capability by collaboration to address tribal issues. For example, the 2013-2014 Policy

Committees included Education, Energy and Natural Resources, and Health and Wellness. The latter committee also oversees policies regarding mental illness, human services, and criminal justice issues (*National Conference of State Legislatures*, n.d.).

### **Strategic Planning**

In addition to collaboration, strategic planning processes are critical to any major organization, especially when the livelihood of constituents and America's stability as a nation-state are at stake. Strategic decision making considers multi-year planning cycles and shapes the course of an organization more than decision making. Multi-perspective strategic decision making is of interest to a variety of U.S. and global organizations who are finding that the decision-making group includes, or must contemplate, a wider set of perspectives-values, beliefs, and expectations than ever before (Wainfan, 2010). Thus, the research will contribute to the body of knowledge by offering methods to explicitly consider diverse legislator (decision makers) perspectives in supporting strategy they can fulfill.

As Wainfan (2010, p. 139) presented, the multi-perspective strategic decision making approach envisions the following:

- Support for a high-level decision-making process involving multiple contributors who attempt to reach a decision by appreciable consensus, i.e., organizations where decisions are made by votes.
- Applicability to a group that, where warranted, a single leader, e.g., majority leader, aims to gather input from others or wishes to communicate a rationale for a decision in order to achieve alignment.
- An iterative nature of the process could be used for individuals to surface issues that affect their support.

- Analytical support resources that are available to evaluate options, i.e., professional staffs and/or consulting with think tanks that may represent decision-making constituencies or areas of expertise.

Effective strategic decision-making methodology understands that decision makers (legislators) are often not the final judges of political strategy. Elected officials have voters, and almost everyone has constituencies and bill payers (Waifan, 2010, p. 140). Of importance, strategic decision makers must be able to communicate the reasons for legislative decisions to their constituencies. Notably, most constituents have narrower views of the legislative decision-making processes than the political stakeholders.

### **Leadership Styles**

For this research, leadership was defined as a method in which one provides direction with the implementation of plans while motivating others (Northouse, 2010). Perhaps the most prevalent styles of legislator leadership were transactional leadership or transformational leadership. Laissez-faire leadership was less apt to surface in complex, legislative environments.

In transactional leadership, a leader influences others by offering reward or disciplinary measures (Bass & Avolio, 1994). Transformational leadership is another method to fulfill moral obligations (Hargis, Watt, & Piotrowski, 2011) which is sometimes found in leader and follower relationships. Laissez-faire leadership exists where the absence of a leader allows an organization, as a whole, to (a) disregard responsibility, (b) hamper decision making, (c) provide little explanation, and (d) fail to achieve success (Northouse, 2010).

Of note, Scott and Bruce (1995) posited that people are complex and may possess more than one decision-making style. For example, transformational leadership styles are not necessarily associated with the leaders' pattern of decision making (decision-making style)



(Mueller, 2009, p.81). Spinelli (2006) suggested transformational leaders create a feeling with employees to motivate them. However, motivating employees may not be enough. Employees will need to put the motivation into action. Hirtz, Murray, and Riordan (2007) posited leaders' presence during initiatives increases the likelihood of quality initiative success. Nir and Kranot (2006) suggested leaders create an environment in which employees can work, which leads to successful outcomes. In addition, Chung and Lo (2007) suggested a combination of transformational and transactional leadership styles promotes effective leadership.

Davis, Kulick, and Egner (2005) pointed out that there are advantages and disadvantages to different decision-making styles. They identified approaches to synthesize decision processes with some virtues of both rational-analytic and naturalistic styles. For example, a good staff builds synergy while working with an intuitive decision maker to find critical assumptions and built-in contingencies, etc.

Nevada Governor B. Sandoval remarked that traditional transactional leadership espouses that leaders exchange items of value with subordinates to advance an agenda (Sandoval, 2014). He also described transformational leadership as being about changing to meet a common goal. It indicates a process of change which transforms people, organizations, or cultures while striving to raise awareness of the task at hand to reach broader goals. It appears important to motivate (transform) others as followers to encourage them to put the needs of the greater good above their own personal (transactional) needs. Today's legislators are faced with such a challenge.

One can imagine that to be truly effective in any branch of government, or even in the private sector, that each situation presents a different set of challenges (Sandoval, 2014). To stimulate success, stakeholders desire to be inspired, empowered, and share in decision-making

opportunities. For most, they hope for a positive outcome in bettering future generations by serving others and not themselves. For legislators, one would think that transforming others enables them to lead better and ensure tangible impacts.

Riggio, Murphy, and Pirozzolo (2001) noted that social intelligence traits tend to predict transformational leadership. Particularly strong associations were found among communication styles. For example, social intelligence expressed in communications and persuasiveness correlated with transformational leaders to be more careful listeners. Bernhut (2012) mentioned that transformational leadership remains the preferred model of leadership and noted President Obama as an example. He further explained that many wonder what better example exists of a leader's power to mobilize motivations and aspirations:

In recent months, “No you can't” has become a kind of double entendre. Yes, it does mean that a leader can't offer a solution. But it has also become a battle cry, where people—whether they're in the U.S. Congress or the trenches of occupy movements around the world—rise up to tell their leaders “No you can't” pass this legislation or “No you can't” ignore our pleas any longer. (Bernhut, p. 15)

Laissez-faire leadership possesses a management-by-exception (passive) characteristic. Leaders only intervene when goals are unmet or a crisis arises (Jones & Rudd, 2008). In this leadership style, a passive leader often waits to react until blunders are brought to his or her attention resulting in delayed decisions and giving up responsibility. Additionally, laissez-faire leaders offer little feedback or support to followers and are a “hands-off” approach to leadership (Northouse, 2004).

Jones and Rudd (2008) noted, “Laissez-faire leadership may actually be considered a non-leadership style as the leader avoids accepting responsibilities, is absent when needed, fails

to follow up on requests for assistance, and resists expressing his or her views on important issues” (p. 92). Such behavior could be compared with legislators when they choose not to attend committee meetings and rationalize their absence by tending to less important activities; thus, the leader (legislator) seemingly delegates control in the decision-making process to the followers (staff) or their own colleagues. Perhaps most dangerous is when a laissez-faire leader assumes that followers are innately driven and should be wholly trusted to undertake completion of tasks without any direction or guidance.

### **Ethics**

Public official decisions, to include legislators, have widespread impacts on society (Menson, 1990). Constituents expect public officials to serve their interests with the highest degree of morality and integrity. Conversely, reports of unethical, and even illegal, conduct by government officials has elevated ethics and government to the forefront of public concern (Roy, 2009).

Unethical decision making undermines public confidence in government and puts government at risk and its ability to address policy concerns for public benefit (Chanley Rudolph, & Rahn, 2000; Lampe & Finn, 1992; Menson, 1990; Menzel, 2005). Research suggested that moral intensity, which is the nature of a moral dilemma, and ethical climate influence ethical decision making. Less is known about the moderating effect of ethical climate, particularly within the public sector; however, increased research and/or investigation provides helpful insight. For example, the investigation into legislators’ avoidance of paying taxes and/or accepting illegal gifts during terms of service has resulted in resignations.

Additionally, unethical decision making by public officials jeopardizes confidence in

government (Roy, 2009). Recall Lincoln's Gettysburg address to ensure the survival of America's representative democracy in which he stated, "government of the people, by the people, for the people, shall not perish from the earth." When trust is compromised, Chanley, et al. (2000) predicted that "it can lead to reduced support for government actions to address wide ranging policy concerns for public benefit" (p. 239).

According to a former political blog, *Madville Times*, within South Dakota, the state has neither comprehensive state ethics laws nor an ethics commission to watch over or reign in state officials and bureaucrats (Heidelberger, 2014). South Dakota is actually one of nine states that lack an ethics commission. Heidelberger (2014) stated, "Ethics commissions are established in either state statute or the constitution, and provide external oversight of ethics laws." Similarly, Kurtz and Weberg (2010) stated, "Cynicism discourages qualified people from running for office, promotes a reluctance by members to address unpopular but necessary issues, encourages simplistic institutional reforms such as term limits, and increases the public's unwillingness to comply with legislative decisions."

As a public benefit, such a commission would represent their interest and ensure that decision making followed state ethics laws. With their appointed power and duty, the ethics commission would have full authority to investigate complaint and recommend ethics training for state officials. Many commissions have the power to prosecute and/or levy sanctions on the offender (Heidelberger, 2014).

### **Impact on Emergency Management, Social, Economic, and Security Costs**

The emergency management industry continues to experience the challenge of hiring and retaining requisite employees. Literature notes that shortages are caused by a number of factors. These factors include pensions that many be considered undesirable: (a) relatively low pay and

benefits, (b) the lack of familiarity by legislators, (c) uncertain career paths in South Dakota, and (d) the preferential use of newer technology or capabilities including ethanol, drones, and cybersecurity.

Leading to sequestration in 2013, the White House cited numerous possible ramifications. Congress threatened hundreds of thousands of middle class jobs. It was also reported that sequestration could cut vital South Dakota services for children, seniors, people with mental illness, and men and women in uniform (The White House, Office of the Press Secretary, 2013). In addition, the White House (2013) also reported nationwide impacts regarding security and safety making the following projections:

- The FBI and other law enforcement entities would see a reduction in capacity of 1,000+ Federal agents, impacting the ability to combat violent crime, pursue financial crimes, secure our borders, and protect national security.
- The U.S. Customs and Border Protection would reduce its work hours by 5,000+ border patrol agents and over 2,750 CBP officers. Wait times at airports with weakened security could result in 4-5 hour delays.
- The Federal Aviation Administration could cut funding by \$600+ million. The furlough of a large amount of air traffic controllers and technicians would reduce air traffic flow. Congestion in terminals and seaports could increase transaction costs to trade communities and reduce availability of raw materials and consumer good vital to our economy.
- The Transportation Security Administration may need to initiate a hiring freeze for all security officers in March, eliminate overtime, and furlough 50,000 officers for up to seven days.

- The Federal Emergency Management Agency would reduce funding for state and local grants for firefighters and emergency response personnel hampering ability to respond to natural disasters, i.e., Hurricane Sandy.

Other nationwide impacts affecting middle-class families included the following (The White House, Office of the Press Secretary, 2013):

- Cuts to education would include 70,000 children being denied Head Start programs and 10,000 teacher jobs being at risk to include special education, aides, and staff.
- Cuts to mental health could deny up to 373,000 seriously mental ill adults and seriously emotionally disturbed children with treatment. This could result in more hospitalizations, criminal activity, and homelessness.
- Native American tribes could lose almost \$130 million from Department of Interior funding, risking human services programs, law enforcement, schools, and economic development.

Sequestration and shutdowns have a tremendous impact on available talent and unemployment rates. In 2013, a small percentage of emergency management employees fled the industry to seek viable employment elsewhere; some fled South Dakota. Though there were prospects to take their places, few had the skill sets necessary to influence members of Congress unless they had extreme wealth.

Even without great wealth, however, whistleblowers may serve as a most effective deterrent against fraud and waste. Protecting their honest disclosures is the United States' best assurance that taxpayer dollars are spent wisely and government works efficiently (*H.R. 1507, The Whistleblower Protection*, 2009). Through 30 years working with the government, the researcher observed that federal employees, who expose improper multi-billion-dollar

expenditures, no-bid defense contracts, and sexual harassment, still encounter intimidation and are often fired or demoted.

In 2014, South Dakota was subject to the FBI investigation of EB-5. EB-5 is a federal program that permits immigrants to receive “green cards” in return for their lucrative investments in job-creating enterprises within the United States (Sullivan, 2014). Former Governor M. Rounds, now Senator Rounds, particularly drew criticism as he potentially (then) oversaw functionality of a plagued program. Although no charges were pressed, to include any wrongdoing contributing to a suicide, South Dakota’s legislature has taken a closer look at such programs and is much more cautious in oversight of potential corruption.

To ensure effectiveness and avoid wrongdoing, legislators must acknowledge generational variances in work ethics, attitudes, outlooks, behaviors, and abilities or disabilities among their peers. It is no secret to Americans that the composition of Capitol Hill today is complex. In addition to racial diversity, diversity exists in integrative approaches and the capabilities needed to create and maintain a smoothly operating legislature.

In contrast, recall last year’s unsuccessful budget negotiation when the U.S. Senate did not support the funding measure sent over by the House. Senate Majority Leader H. Reid had warned it would not pass because of amendments pushed by House Republicans to derail the Affordable Health Care Act (Saine, 2013). Eventually Reid pleaded to House Speaker J. Boehner that it was time to allow the House to vote on a candid and steadfast determination to desperately keep the government running.

Carter (U.S. Department of Defense, 2013) stated, “We know the budget circumstance that we would prefer, but this year has shown us that, in today's Washington, you don't necessarily get either predictability or stability. And we need to be prepared for a wide range of

circumstances.” The researcher previously served at the Pentagon at the same time as Carter, whereas his perspective influenced her desire to research leadership as a factor in influencing legislative decision-making. Furthermore he stated, “Our fundamental duty, as the leadership of the department are, first of all, to defend the country and, second, to preserve the U.S. military as one of the most respected institutions of our society and the most effective and the most trusted. Those are our two sacred duties.”

Imagine the strength of character required when a newly elected legislator confronts the ethical challenges within Congress. Congress, not the President, writes all the laws and gets the last word on the budget (Von Drehle, 2008); moreover, Von Drehle shares where consumers decide whether or not to conserve energy, and where the clash of powerful interest groups quells well-intended initiative to tackle complex legislation. Imagine the reputable presidents and members of Congress that sometimes changed and altered their decisions to accommodate constituents.

A world in which Congress, not the President, writes all the laws and gets the last word on the budget. Consumers decide which cars to drive and how many lights to burn. Clashes of powerful interest groups make it easier to do nothing about big problems, rather than to tackle them. Even the strongest, wiliest, most effective Presidents must change shape and shift direction to accommodate these and other forces.

Requiring change may be a subtle response by the general public, but others believe inaction by Congress is, frankly, appalling (Inaction by Congress 2014). Recall in September of 2014, where Congress was perhaps performing as the least productive in 60 years (Eldridge, 2014). Immigration team-oriented, bipartisan reform efforts were lacking as well as numerous



other issues until after November elections such as minimum wage, tax reform, defense policy, and foreign trade.

Further justification for research also derived from a “value in diversity” (Cox, Lobel, & McLeod, 1991, p. 827) perspective which contends that diversity creates value and benefit for team outcomes. When a legislative role eventually matures in context, it inherits potential which then impacts social, economic, and security costs. Legislators subsequently affect levels of integration; thus, a qualitative methodology was appropriate for this research requiring richness in gathering and analyzing data.

Smith, Roberts, and Vander Wielen (2005) encapsulated many voters’ general sentiments toward their legislators as follows:

The rough-and-tumble world of legislating is not orderly and civil, human frailties too often taint its membership, and legislative outcomes are often frustrating and ineffective... Still, we are not exaggerating when we say that Congress is essential to American democracy. We would not have survived as a nation without a Congress that represented the diverse interests of our society, conducted a public debate on the major issues, found compromises to resolve conflicts peacefully, and limited the power of our executive, military, and judicial institutions...The popularity of Congress ebbs and flows with the public's confidence in government generally... the legislative process is easy to dislike—it often generates political posturing and grandstanding, it necessarily involves

compromise, and it often leaves broken promises in its trail.

Also, members of Congress often appear self-serving as they pursue their political careers and represent interests and reflect values that are controversial. Scandals, even when they involve a single member, add to the public's frustration with Congress and have contributed to the institution's low ratings in opinion polls.

Regardless of unforeseen and unfortunate impacts on emergency management, social, economic, and security costs must be continually monitored. Like any other industry, emergency management requires the capability to adapt to innovative strategies and to secure requisite funding. Legislators, just like CEOs and military commanders, are ultimately accountable for the outcome of those they are entrusted to serve.

### **Summary of Literature Review**

In summary, Chapter Two provided an overview of legislative processes, examples of lack of compromise, and the probable effects of a government shutdown in South Dakota. Interactive processes received investigation and common practices surfaced. Chapter Three will reiterate the research problem, the study's purpose, and confer the chosen methodology.

## CHAPTER THREE

This research study focused on examining South Dakota's legislative decision-making processes as it applied to emergency management operations during the shutdown. As such, it sought to answer the following central research question: *What key factors impact legislative decision-making on emergency management operations in South Dakota?* The purpose of this study was to build on the body of literature focused on legislative decision-making processes, with particular focus on South Dakotan legislators, to encourage better practices for future consideration.

Research methodology used indicated the preferred leadership style South Dakota's state legislature utilized. Thus, Chapter Three will address the following: (a) the research setting, (b) participants, (c) instrumentation, (d) procedures, and (e) analysis. Research questions allowed for unbiased inquiry and analysis in an effort to discover answers that correlated directly to the study's purpose.

### Research Tradition(s)

A qualitative research methodology was used for this research as it provided a richness of understanding from a participant's perspective. A mixed method methodology was considered, to include qualitative and quantitative analysis; however, the time afforded for such was not available. For example, if quantitative analysis was conducted, perhaps the researcher would have applied the measurement tool used to assess leadership styles, i.e., in the cross-sectional, correlation quantitative study was the MLQ, Form 5X, which measured transformational, transactional, and laissez-faire leadership styles (Mueller, 2009).

## **Research Design**

By way of a case study design, the target population consisted of decision-making state legislators (subject matter experts) from South Dakota. Ultimately, of 40 possible participants, a sample of 10 participants was randomly selected to participate in the research interviews. For case studies, five components of a research design are typically important: (a) a study's questions; (b) its propositions, if any; (c) its unit(s) of analysis; (d) the logic linking the data to the propositions; and (e) the criteria for interpreting the findings.

Although case studies lack routine procedures, the researcher was sufficiently skilled to conduct a case study. Case studies require investigators who (a) are comfortable in addressing procedural uncertainties, (b) are confident in asking hearty questions, (c) are good listeners, (d) and are adaptive and resilient. Throughout the entire case study, the researcher must remain abreast of relevant and ever-changing issues without bias.

## **Research Setting**

Research occurred primarily within the state of South Dakota. State legislators who participate on various committees were often queried in their home districts. The researcher interviewed participants at their workplaces, work conference areas, farms, ranches, or by telephone during non-work hours. They also had the option to be interviewed in Pierre, the capitol of South Dakota, during legislative sessions or recesses. The researcher did not disrupt their work day or compromise anonymity. Following Institutional Review Board (IRB) approval, the study occurred over a four-month period.

## **Population and Sample**

Three members of Congress, two U.S. Senators and one U.S. House Representative, represent the population of approximately 800,000 citizens in South Dakota. According to the

U.S. Census Bureau estimates (2013), significant portions of the population include the Indian Country (8.9% being American Indian and Alaska Native) and military veterans (69,787 as of 2008-2012 surveying). The South Dakota State Legislature operates as a bicameral legislative body consisting of 35 senatorial members and seven representatives. A legislative session typically lasts 40 working days in odd-numbered years, and 35 working days in even numbered years.

Sample size for this study consisted of 40 purposefully selected federal or state legislators who serve across South Dakota. The researcher strived to understand the predominant leadership style used and to elicit observations and opinions from the sample. Thus, the sample was sufficient for a qualitative, exploratory study (Creswell, 1998), e.g., out of 40 legislators across the state, the final sample for interviews was 10. With no criteria regarding demographics or societal elements, participants were selected by assigning each of them a number between 1 and 40, based on their names' alphabetical order. Ten numbers were then selected using a random number process. In effect, the researcher selected 10 interviewees by matching the randomly generated numbers to the participant list, to include three more randomly generated numbers provided only as alternate participants.

### **Sampling Procedure**

The IRB focuses on research application as it applies to the use of human subjects. It also evaluates the study's methodology to ensure subject protection includes individuals' rights and welfare. Thus, proper subject participant selection and appropriate informed consent was used to minimize risk or harm to the participant. As such, participant recruiting did not begin until the researcher received IRB approval.

The researcher ensured participant anonymity and respected ethical concerns during the research study. For example, the researcher informed participants of potential risks the researcher could foresee, including data collection processes (Creswell, 2009). In order to protect participants' identities, the researcher coded participants' names using an alphabetic and numeric code; thus, the researcher was the only person who knew the participants' true names.

### **Instrumentation**

All field notes, audio recordings, transcripts, and original signed consent forms were marked with the numbers assigned. Items will be secured in a locked container, at the researcher's residence, to maintain confidentiality for a period of five years after the study has concluded. In addition, guidelines administered by CTU were followed.

**Informed Consent.** Research participants provided acknowledgement of informed consent as shown in Appendix A. Upon completion of the researcher's verbal explanation, both the researcher and participants provided signatures prior to the interviews. No means of coercion, force, fraud, or deceit were applied in seeking consent (Creswell, 2009).

As part of this process, participants received the following information:

- Purpose of the study
- Reason for the participant's selection
- Study protocols or procedures
- Benefits for participation
- Associated risks for participation
- Identification of no costs or promise of compensation for participation
- Contact information
- Voluntary basis for participation

- Confidentiality measures taken
- Required signed consent forms that contained both researcher and participant signatures
- Awareness of interview time commitment (no longer than one hour)
- Awareness of interview material requirements and security measures (field notes, audio recordings, and transcripts that will be secured in a locked container, and destroyed after five years in compliance with CTU policies)

All participants received the same consideration. The researcher preferred to initiate contact with participants informally and in person; however, email communication was acceptable for subsequent formal coordination such as confirming dates, times, and locations. During the interview, participants were greeted and thanked for their time in support of this study. In addition, they received a script, and were asked to complete a two-question IRB-approved survey prior to the interview.

**Pilot Study.** Pilot studies are designed to verify the accuracy (validity) of questions and to confirm that questions receive consistent responses, showing reliably measure responses in different circumstances (Creswell, 2009). Thus, prior to beginning the study with the selected participants, the researcher conducted one pilot study with two participants (as a focus group) not taken from the study sample. Similar to the conducted interviews, each participant in the pilot study also completed the informed consent form and a two-question survey prior to any interviews.

Each two-question survey utilized the same confidentiality coding previously discussed. Participants received the definitions of transactional, transformational, and laissez-faire

leadership styles. They also had the opportunity to handwrite or email their narrative-style answers for recording purposes.

**Survey Questions.** The survey administered consisted of the following two questions:

1. Reflecting on your duties as a federal or state-level legislator and the leadership style definitions provided, what leadership style is most commonly promoted in your work place? Please feel free to elaborate.
2. Of the three leadership styles, which style do you most often practice in the work place? Please feel free to elaborate.

**Interview Process.** Upon completion of the survey, the researcher administered three questions to each participant through a semi-structured interview process. Ten participants took part in a multi-question interview to ensure validity and reliability. Research employed open-ended, qualitative questions to obtain data through semi-structured interviews. Qualitative interviews allowed participants to share their own observations, perceptions, and stories relevant to varied leadership styles. The following interview questions were posed to participants:

1. What effects, if any, does a legislator's leadership style have on the likelihood he/she will support emergency response bills?
2. What is the effect of a legislator's experience with emergency response operations on the legislator's likelihood of voting to shutdown the government?
3. What influence does a legislator's tenure and experience have on the legislator's ability to lead negotiation?
4. What influence does a legislator's tenure and experience have on the legislator's willingness to compromise?



5. What happens if a legislator votes differently from the request of the legislator's financial supporters?

**Observations.** Research recorded participants' behaviors including verbal cues and facial remarks. Because the interviews took place one-on-one, additional thoughts and perceptions were gathered by way of field notes. Data was considered reflective and separated carefully from verbal statements, and notes contained unbiased observations (Creswell, 2009).

Shrum, Duque, and Brown (2005) stated that visual artifacts and behaviors can become as prominent as the words that a participant utters. Such observations (as potential distractions) could cause researchers to record interviews and then concentrate on perhaps unfamiliar technological and cognitive skills, i.e., what was the proper setting, background appearance, lighting array, mobility with a tripod or not during the video recording (Penn-Edwards, 2012)? During the pilot study, research experimented with use of video data collection. Thus, the researcher decided against it during subsequent surveys and interviews. This was due to the researcher's belief that the use of video data collection equipment lessened the ability to concentrate on physical interaction during interviews and could make participants feel uncomfortable.

### **Validity**

Validity presents evidence that the instruments perform as the researcher claims they will perform, e.g., a pilot study. Validity also applies to measurement and methodology. For measurement, validity ensured the instrument measured the intended content. For methodology, validity refers to the accuracy or credibility of research.

## **Reliability**

Reliability indicates whether instrument(s) consistently gather similar information over time and circumstance. Consistency must occur for accuracy; however, consistency does not ensure accuracy. Reliability is a necessary, although insufficient, condition for validity.

Mirroring the pilot study verification of validity and reliability, the researcher solicited two other individuals to verify the interview questions. This second group answered all the interview questions. The researcher recorded participants' behaviors in the field notes. No participants who validated surveys or interviews had prior knowledge of research (Creswell, 2009).

## **Data Collection**

The researcher used a personal Dell laptop to record responses. Approval from both a dissertation committee and the CTU's IRB guided research processes. The dissertation appendices included the consent form (Appendix A) and the interview script (Appendix B) used to record personal observations and historical data. In its entirety, qualitative methodology provided discernment behind the participants' narrative of leadership styles that likely exist in Congress.

Research began once the faculty committee and IRB approved a formal proposal. The proposal included (a) potential volunteer study participants; (b) study materials: consent form, confidentiality agreement, survey, interviews, research observations; (c) location; (d) interview length; (e) timeframe of study; and (f) interviews. Consent forms were completed prior to any surveys or interviews.

In conducting the survey, research began with a script (Appendix B). Once the researcher and participant signed the consent form, research began. As questions were formerly

checked for validity and reliability, participants received a copy the questions prior to the interview for reference. The researcher utilized questions and qualitative responses to validate data regarding transactional, transformational, or laissez-faire leadership.

Personal contact was preferred; however, email communication occasionally was necessary to confirm interview dates, times, and locations. Before each interview commenced, the researcher reviewed the consent form with the participant. Both the researcher and participant signed the consent form to indicate their understanding of rights, scope of study, depth and timeliness of interview, and likelihood of audio recording. In addition, the researcher also used interview sheets to ask questions and record data. Recording field notes helped validate research. The script included a gracious introduction, comments and actions in sequence, written questions, and a closing “thank you” for participation.

**Interviews.** Once consent forms were signed, the researcher commenced with permission to record the sessions. During interviews, the researcher encouraged participants to explain their answers fully to avoid ambiguity. The researcher’s interview observations were recorded in field notes. At the end of each interview, few subsequent interviews were necessary to clarify information. In closing, the researcher always thanked the participants.

Appendix B captured the following demographic information: (a) participant’s alphanumeric code, (b) gender, (c) current position, (d) tenure by years in legislative position, and (e) whether or not participants ever served in the U.S. military. A participant’s military background was solely queried to later determine if a prior knowledge of *Field Manual 5-0* principles and/or adaptive leadership theory was evident. Interview forms listed all interview questions with enough space to record notes, including participants’ behavior, such as facial

cues, other body language, voice tones, emotions, and any other observable behavior. The researcher also encapsulated how interviews progressed in general.

### **Data Analysis**

As part of analysis, the researcher categorized data continually to ensure ease of retrieval. The researcher also carefully and promptly reviewed all data after interviews to ensure ability to clarify any responses. Copious notes were taken to ensure accuracy, and consideration of a third-party transcription professional was made, i.e., to help transform recordings into a readable Microsoft Word format.

**Coding.** To assist in coding case study data, the researcher considered using NVivo and/or two additional independent coders. Coders would have had no affiliation with any participants. However, because time was of the essence to complete the research in a specified time, as determined by the researcher, independent coders were not sought. Thus, the researcher had previous coding experience and was comfortable in unbiased completion.

### **Summary of Chapter Three**

Chapter Three provided a brief synopsis of the research study's methodology used. It explained how the research was conducted and how data was analyzed. Research consisted of 10 participants who previously served or currently serving in South Dakota's legislature and may or may not have ever served in the U.S. military. The researcher employed a qualitative, exploratory methodology to seek rich and descriptive data from participants' leadership experiences. In closing, the research encompassed a pilot study, a two-question survey, interviews, and a review of historical data.

The researcher verified transcripts by comparing them to recordings and field notes (twice). Although NVivo was initially purchased, time was not available to utilize the NVivo

professional transcription and coding services. As such, the researcher conducted manual color-coding analysis and demographics, and implied consent were secured prior to interviews. The researcher's primary intent was to support or refute research questions and to gain a better understanding of how federal and state legislators make decisions affecting emergency management operations efforts within South Dakota.

## CHAPTER FOUR

Chapter Four provides the results of data collection and analysis derived from the study including discussion of the main research question. The purpose of this qualitative and exploratory study was to determine how legislators make decisions affecting emergency management operations in South Dakota. As such, the research contained extensive data collection efforts resulting from 10 one-on-one personal interviews with volunteer participants. Thus, experiences and perceptions of 10 participants from varied locations within South Dakota were analyzed. In addition, the researcher employed an inductive analysis for coding data into segments to consolidated themes for the purpose of addressing the central research question.

### **Presentation of the Data**

Data collection efforts were performed over five months resulting in one-on-one participant interviews. Collection processes began immediately after the researcher received IRB approval in which 10 South Dakotan legislators were contacted by phone, email, or in person to ensure they, as participants, met the criteria of being a former or current member of the federal or state legislature within South Dakota. Their participation was truly appreciated as they all served in sensitive and demanding positions.

After the researcher and participants agreed on interview dates, consent forms were completed and interviews commenced (Appendices A and B). The researcher met an initial goal of interviewing 10 participants in accordance with Creswell (2009) who considers that between five and 25 interviews are necessary to gain sufficient data for a qualitative study.

A primary challenge in collecting data was traveling great distances to conduct one-on-one interviews; thus, the researcher resorted to several telephone interviews and followed up with notes per recorded sessions. However, there were no sensitive documents requiring special

access privilege. Thus, field notes included observations near or away from participants' working locations and reference to open-source Internet resources.

Interviews began with an introduction and confirmation of signed participant consent forms. An interview script (Appendix B) consisted of five open-ended qualitative questions as part of a semi-structured interview. In conclusion, the researcher expressed sincere gratitude for a participant's time and insights shared.

### **Data Analysis Effort**

Although it was initially considered, the researcher did not select an independent coder or transcription service for research data analysis. In coordination with the researcher's dissertation panel, and because dissertational work required prompt completion, the researcher conducted data analysis alone. Former homeland security research was conducted without bias.

### **Participant Demographics**

Study participants consisted of 10 state legislators from South Dakota. A breakdown of demographic data included each participant's profession, gender, whether or not participants ever served in the military, and tenure as a state legislator (see Table 1). For example, professions were primarily farmers, with educators and small business owners following close behind. The gender was primarily male with one female participant. Only one of 10 participants ever served in the military. Two participants were formerly a Fire Chief or Police Chief. Of 10 participants, eight had served at least two terms in legislature (either House or Senate).

Table 1

*Participant Demographics*

Participant Code	Profession	Gender	Former Military	Tenure
FG - 01	Farmer, Fire Chief-Retired	Male	No	2 terms
VE - 01	Educator (Retired)	Male	No	1 term
YK - 01	Farmer	Male	No	2 terms
TT - 01	Professor-Retired	Male	No	2 terms
VY – 01	Police Chief-Retired	Male	No	2 terms
DJ – 01	Business Owner	Male	Yes	2 terms
ZG – 01	Attorney	Male	No	3 terms
DQ – 01	Utility Management	Male	No	3 terms
LY – 01	Business Owner	Female	No	2 terms
KG – 01	Farmer	Male	No	2 terms

**Data Presentation**

**Interview Results.** The researcher prepared and analyzed participant interviews consisting of perceived leadership styles, carefully analyzing emerging themes (see Tables 2 and 3). The final analysis resulted with three themes.

**Perceived leadership styles.** Findings indicated that of the 10 participants, one half (5) exercised transformational leadership style and the other half (5) exercised transactional.



Table 2

*Perceived Leadership Styles*

Participant Code	Preferred Leadership Style
FG - 01	Transformational
VE - 01	Transformational
YK - 01	Transactional
TT - 01	Transactional
VY - 01	Transactional
DJ - 01	Transactional
ZG - 01	Transactional
DQ - 01	Transformational
LY - 01	Transformational
KG - 01	Transformational

**Themes.** Three themes (Table 3) emerged from the central research question showing leadership styles that can overcome management deficiencies in legislature as follows: Theme 1 received four occurrences out of 10; Theme 2 received nine occurrences out of 10; and Theme 3 received 10 occurrences out of 10.

Table 3

*Themes Identified*

Themes:	Description:	Occurrence:
Theme 1	Partisan control exists regardless of a legislator's <u>leadership style</u> . Leadership is controlled primarily by the Republican Party as they are the majority.	4 out of 10 = 40 %
Theme 2	<u>Tenure</u> is not as important as experience or leadership style when making legislative decisions. Merit in making emergency management decisions more so falls on the type of individual.	9 out of 10 = 90 %
Theme 3	<u>Experience</u> with emergency management operations affects a legislator's ability to make better decisions.	10 out of 10 = 100 %

**Presentation and Discussion of Findings**

Participant FG-01 practiced more of a transformational leadership style as shown in the participant's statement:

Regardless of the issue, knowledge of it helps. Transformational leaders tend to want to help and find compromise more, i.e., the Democrats. The Republican legislators are more transactional and often have closed caucus meetings.

Participant VE-01 practiced more of a transformational leadership style, as shown in the participant's statement:

Regardless of a legislator's leadership style, it is more important for legislation to be decided upon quickly and that the parties come together. With only 38 days a session, there is not time to waste, and when a shutdown was imminent or occurred, a special session was warranted.

Participant YK-01 practiced more of a transactional leadership style as shown in the participant's statement:

To my knowledge, in the years that I have served in the South Dakota legislature, there have not been any emergency response bills to greatly act upon. Because South Dakota is so strongly Republican, leadership would come from the Republicans.

Participant TT-01 practiced more of a transactional leadership style as shown in the participant's statement:

I would expect support for ERO [emergency response operations] to depend more heavily on other characteristics than leadership style, e.g., fiscal conservatism, and beliefs about government effectiveness in general.

Participant VY-01 practiced more of a transactional leadership style as shown in the participant's statement:

Legislators are, in essence, part-time and reliant on staffers. It takes a while to be a seasoned leader and I was fortunately a leader within my former profession before I retired.

Participant DJ-01 practiced more of a transactional leadership style as shown in the participant's statement:

Legislators who are veterans are challenged at times because they are trained to be a-political and exercise war-gaming techniques. Sometimes the legislature fears their own right.

Participant ZG-01 practiced more of a transactional leadership style as shown in the participant's statement:

I am a consensus builder and believe there is a core that exists regardless of party interests.

Participant DQ-01 practiced more of a transformational leadership style as shown in the participant's statement:

If a legislator is more future-focused rather than reactionary, I believe they are more likely to be supportive of emergency response bills. By being more future focused, the legislator can see the long-term effect of not supporting emergency response bills.

Participant LY-01 practiced more of a transformational leadership style as shown in the participant's statement:

My style is one of letting my group make decisions based on research and knowledge, not partisanship, fear mongering, or bribery. Giving us that independence and respect makes us want to do well; however, the Republican legislators are much more dictatorial, but it seems to accomplish the same goal as the Democrats, but I can't imagine that the rank and file really appreciates being told what to do.

Participant KG-01 practiced more of a transformational leadership style as shown in the participant's statement:

It does not greatly matter what type of leader a legislator is; however, they need to demonstrate teamwork. Regretfully there was a loss of expertise in 2010 due to a landslide Tea Party movement. Legislators are now much less prepared to pass timely legislation. Regardless of party, legislators would be wise to interact more often and develop professional-based relationships to better establish rapport.

In summary, there was a balance between legislators perceiving that they possess a transactional or transformational leadership style. It is important to note that their presence as a legislator was limited, often less than 40 days a year. Additionally, the governor was more involved with emergency response operations (ERO) activities and the interaction with federal authorities.

**Coder Findings.** Each theme was inductively developed by the researcher as a coder.

**Major theme 1.** Partisan control existed regardless of a legislator's leadership style. Leadership was controlled primarily by the Republican Party as they are the majority within the South Dakota legislature.

Participant VE-01 stated the following:

Good legislators listen to both sides, but we all know money talks and B.S. walks. It seems somewhat corrupt as the Republican majority holds closed caucuses, and when lobbyists are paid more than the legislators.

Participant YK-01 stated the following:

Outside financial support or partisan politics have not influenced my vote or leadership style. I have enlisted the help of those qualified to give me information

for that area, i.e., county commissioners, sheriffs, school superintendents, hospital administrators, and some of their key staff.

Participant DJ-01 stated the following:

There appears to be little negotiation regarding ERO among state legislators as most decisions are made by the governor's office. Additionally, there is little negotiation between the Republican majority and Democrats. There exists a lack of civility regardless of leadership styles.

Participant LY-01 stated the following:

Financial support towards campaigns at the state level does not affect legislators' leadership styles, although influential political action committees [PACs] do support both parties. Sadly, the South Dakota Education Association [SDEA] does not support either as they do not garner any support in return.

In summary, it appeared that there was a lack of collaboration between Republican and Democratic state legislators. The closed caucus of the Republicans, especially being the majority party, may lead one to believe that collaboration was not sought (or deemed necessary) by the Republicans, as decisions are already made behind closed doors. Additionally special interest groups, e.g., educators, felt disenchanting as they are underappreciated at the state level.

**Major theme 2.** Tenure was not as important as experience or leadership style when making congressional decisions. Merit in making emergency management decisions fell more on the type of individual.

Participant FG-01 stated the following:

The Democratic state legislators do not have influence (regardless of tenure) because there is too much Republican presence. Tenure has helped, but some of

the natural leaders, e.g., Gibson, Hunhoff, and Blake, are successful because of their personality plus tenure. These natural leaders are too often shunned by Republican legislators. A legislators' willingness to compromise depends more so on familiarity with the issue.

Participant VE-01 stated the following:

Tenure is important in most any profession; those with it will likely lead and others should carefully follow. It is important that discussions and decisions be transparent. Sometimes though, the legislators with tenure believe they know what is already right; however, they realize it is important to compromise to pass key bills. Sadly, it appears that too many small, crazy bills are addressed on the floor, where it pulls from time to address the complex bills. At times this is done intentionally.

Participant YK-01 stated the following:

A first term legislator has more difficulty than a legislator with two or more terms. As each legislator becomes familiar with the process, he or she knows who the leaders of each party are and who will influence the rest. Interestingly enough, with South Dakota's overwhelmingly Republican stronghold on the seats in its legislature, almost all negotiations and compromise are non-existent.

Participant ZG-01 stated the following:

A legislator's personality weighs more heavily than their tenure. Regrettably, the Republican caucus is closed so others are not familiar with what drives their decisions, i.e., in 2010, the Tea Party caused in-fighting within the Republican ranks. Heavy-handedness is also displayed by the governor's office.

Participant TT-01 stated the following:

Hopefully experience would enhance a legislator's ability to deal with fellow legislators; however, it is not clear to me that legislative tenure and experience have much effect on one's willingness to compromise. Their personal drive is important too.

Participant VY-01 stated the following:

Both tenure and experience are important and are more apparent at the state level versus the local level. State-level legislators are closer to their constituents and are more cognizant of intended consequences, i.e., hiring and firing ERO personnel. Additionally, both Republican and Democrat legislators may not have total freedom to compromise depending on party pressure. There is more polarization than in years past.

Participant DQ-01 stated the following:

I believe with tenure comes an understanding that progressive policy is achieved through compromise. Stalemates are the result of unwillingness to compromise.

Participant LY-01 stated the following:

Tenure and experience do not necessarily guarantee a legislator's ability to lead negotiation. It all depends on the person. Has his or her tenure been one of good decisions or turmoil? There are some really good freshman and some really bad experienced legislators.

Participant KG-01 stated the following:

Tenure is important and it is lacking in diversity, i.e., the requisite knowledge of medical experts, doctors, and hospital administrators from both parties.



Fortunately, most state legislators are isolated from allegiance to financial campaign contributions and most try to do what is right.

In summary, tenure did not seem to predict or guarantee that any one legislator would be effective in comparison with experience or leadership style; however, tenure did appear to offer a better capability to foster compromise and appreciate diversity among special interests. A legislator's personality surfaced as the most predictable indicator of a legislator's success.

**Major theme 3.** Experience with emergency management operations affects the legislators' ability to make better decisions.

Participant FG-01 stated the following:

A legislator's experience (at the state or federal level) regarding ERO may not have mattered as the government was facing a financial crisis of a \$17 trillion dollar deficit. The Republican legislators feel compelled to gain early buy-in from the governor's office before they push an agenda item.

Participant VE-01 stated the following:

Emergency response operations were definitely at risk. It didn't do any good to shutdown the government as it stopped conversations among legislators and the capability to find collective resolution with subject matter experts.

Participant YK-01 stated the following:

Experience with ERO and the government shutdown may not be critical because South Dakota is typically financially stable due to storing a great deal of monies and almost always underestimate our income and overestimate our expense.

Participant TT-01 stated the following:

If a legislator believes that previous emergency response operations were ineffective, or even damaging, they might be more willing to shutdown the government.

Participant VY-01 stated the following:

Most ERO personnel would be exempt from a shutdown; however, legislators with experience would caution others in sometimes a non-direct manner.

Participant DJ-01 stated the following:

The legislature is ultra-conservative; they do not build a surplus and the 100 thousand dollars cap per rancher seems unwarranted. I think they value those with ERO experience.

Participant ZG-01 stated the following:

Although not experienced with ERO, I would not have voted to shutdown the government. I would have helped others find compromise, listened to those with experience, and avoided negative confrontations.

Participant DQ-01 stated the following:

If a legislator has more experience with ERO they are less likely to shutdown the government. If the government is shutdown, at best, ERO will be slow to respond, and at worst, doesn't respond at all.

Participant LY-01 stated the following:

A legislator's experience may not be as prevalent as to the strength of a legislator's character. In South Dakota, so much depends on a legislator's future aspirations. So much decision-making is done in response to that goal. If the legislator is smart, uses common sense, and is willing to use what he or she

learned from a previous experience, then he or she will know that shutting down the government is not a good idea.

Participant KG-01 stated the following:

There was a small element of compromise in 2013 when economic development was a priority; however, many have left because of the lack of compromise and a Republican-heavy disrespect for the environment. It was shameful to witness the effects of the shutdown during Storm Atlas.

In summary, experience with emergency management operations did not greatly affect South Dakota state legislators' ability to make better decisions. South Dakota appeared to be able to recover from emergency management shortfalls without holding legislators accountable for lack of compromise. Even after Storm Atlas, there seemed to be a "forgive in spirit" for those who voted against the reopening of the federal government in 2013.

### **Observations**

The research gained during two observations at the state capitol revealed that trust is lacking between the two parties within South Dakota's state legislature, partly because there is a majority of Republicans who host closed caucuses. Empowerment is perhaps necessary to motivate others to continue collaboration and team building with external stakeholders. Issues of low pay for teachers and poor roads and bridges, e.g., worst or near worst in the nation which continue to plague legislators. It also appeared that overwhelming favor exists to ensure agricultural industry is protected more than any other in South Dakota.

Ranching communities also called for continued protection. Recall October 2013's blizzard where over a year later, two 20-foot-deep pits were constructed in western South Dakota to help ranchers dispose of tens of thousands of livestock carcasses (Lammers, 2013). While

four feet of snow fell, it killed 10,000 to 20,000 head of livestock—5% of the state’s overall cattle. Imagine burial sites (pits) meeting regulatory standards to avoid health problems such as 1,000 feet from surface water, rivers, and public or private drinking water wells.

Visits to natives of “Indian Country” on numerous reservations provided a wealth of up-close-and-personal conversations about caring for their sovereignty, culture, and natural environment. Participating in their sacred pow-wows and academic activities helped with qualitative efforts of taking field notes. Of varied demographics in South Dakota, Native American Indians are often outwardly spoken about their concerns and exhibit diminutive trust in the government.

#### **Summary of Chapter Four**

Chapter Four provided results of the researcher’s data collection efforts of 10 participants who served as state legislators in South Dakota. Data collected included 10 transcripts derived from voice recordings, completed surveys, and 28 pages of field notes. Through coding and inductive analysis, research identified and validated three themes. These themes reliably addressed the study’s central research question.

Chapter Four also shared results from inductive data analysis coding. Analysis resulted in the development of three themes as follows: (a) partisan control exists regardless of a legislator’s leadership style—that leadership is controlled primarily by the Republican Party because they are the majority within the South Dakota legislature, (b) tenure is not as important as experience or leadership style when making congressional decisions—merit in making emergency management decisions falls more on the type of individual, and (c) experience with emergency management operations affects a legislators’ ability to make better decisions.

Legislators emphasized that effective leadership involves transparent communications, collaboration, and continued prioritization. Also, leadership style can range between several different styles depending on the complexity of issues. Most importantly, effective leadership involves building trust and providing influence to resolve complex problems.

Chapter Five provides a summary of research findings and how they are interpreted in relation to the primary research question. Additionally, Chapter Five highlights limitations that may have emerged from research and offers recommendations for future research.

## CHAPTER FIVE

Chapter Five provides a summary of the research's findings and conclusions. It also provides a few study limitations for reference by other researchers in the management field. In closing, Chapter Five expresses the researcher's reflection and conclusions.

Research discussed a problem resulting from legislators' lack of experience governing and applying varied leadership styles in complex emergency management operations. Such a problem presents a potential leadership and emergency management challenge for federal and state legislators. Research results provided three themes and examples of leadership that addressed the problem as explained by South Dakota state legislators. The research also presented varied leadership styles that helped overcome leadership challenges in emergency management.

Research began with a comprehensive literature review on leadership and emergency management operations in South Dakota. The literary review provided a better understanding of problems, theories, concepts, and significance of doctoral research. Aspects of emergency management operations, by way of formal and informal reporting, contributed to a detailed review. A final review included leadership styles and coordination resulting in identification of effective leadership characteristics when governing emergency management operations.

A subsequent step in research included refinement of research scope, problem statement, purpose statement, theoretical perspectives, and the central research question. Such a refinement process utilized information and new understanding gathered during comprehensive literature review. Numerous research methods were used including (a) a researcher as a key instrument, (b) research in a natural setting for participants, (c) inductive data analysis, (d) reflection through a theoretical lens, and (e) interpretive inquiry (Creswell, 2009).

Methodology development preceded any data collection. Deciding upon a qualitative methodology began with a review of varied methodologies used in management studies. The researcher then developed a research question and chose case study research design. Subsequently, population sampling, a sampling procedure, and instrumentation were decided upon. Finally, data collection and a plan for analysis were developed, including designs for validity, reliability, and ethical considerations.

### **Findings**

Varied findings were uncovered regarding the central research question, *What are the key factors that impact legislative decision-making that affect emergency management operations in South Dakota?* To begin the formal study, research carefully obtained IRB approval prior to a pilot study with two volunteer participants. Instrument reliability, software and hardware usage, and natural environment interviews were tested for data collection. Results verified repeatability in collecting data. In addition, sharing survey questions with participants in advance, e.g., via email, was helpful.

The research then supported sampling of state-wide legislators from across South Dakota. The purpose was to gather data about leaders who make decisions regarding emergency management operations and identify what type of leadership they observed or experienced. Ten participants were interviewed over the course of approximately four months. Eight of the ten interviews were conducted in person and others by telephone.

Because of the researcher's past experience instructing at a military academy and serving as a commander in a theater of war, it was conceivable to instruct surveys and interviews and systematically observe at the same time. McGinn and Bosacki (2004) have noted that instructors

(teachers) are researchers and must often observe and record behaviors, ideas, comments, and attitudes; however, they are rarely aware of this important aspect.

### **Uniqueness of Self-Coding**

The research herein, including recorded observations, employed an inductive analysis process utilizing data coding as the process of organizing and sorting data to subsequently provide analysis interpretation. Research carefully reviewed all transcripts, recordings, and field notes for coding to ultimately identify emerging themes. Coding involved assigning a two-letter code and number to identify each participant. Additionally, in a systematic way, color-coding was used to categorize between leadership styles. As such, three reoccurring themes were drawn from the data.

Coding processes require objectivity. If objectivity is in question, then perhaps the recruitment of external coders or technological programs, such as NVivo is required. However, a researcher should not feel compelled to do so. McGinn and Bosacki (2004) noted a comment from a novice practitioner-researcher enrolled in a graduate course, “I think what I am most uncomfortable with is the sense that in order to be accepted as authentic, appropriate and valid, the researcher must pass through hoops beyond the standard ones. I accept academic ethics review, academic credentialing, and standards. I feel like these should be enough.”

Thus, throughout this research study, a deeper richness of understanding was gained by self-coding. To have listened carefully and to then have read and reread transcripts brought about a keen awareness of what transpired during structured surveys and interviews. Distinctive facial and hand expressions were recorded in field notes. From one interview to another, reoccurring words and/or statements seemingly “blended” to portray a general understanding for how South Dakota’s legislators fulfilled their charter. Through such scrupulous coding efforts,



findings revealed that transactional and transformational leadership styles were commonly found in state legislators. Additionally, emerging themes observed were identified as follows:

### **Major Theme 1**

Partisan control exists regardless of a legislator's leadership style. Leadership is controlled primarily by the Republican Party because they are the majority.

### **Major Theme 2**

Tenure is not as important as experience or leadership style when making Congressional decisions. Merit in making emergency management decisions falls more on the type of individual. This theme was the most surprising. Perhaps as the state legislature only meets approximately 40 days a year and is much smaller than the 435 members of Congress, leadership style (personality) could have been more prevalent in smaller (more cautious and predictable) environments.

### **Major Theme 3**

Experience with emergency management operations affects the legislators' ability to make better decisions. For example, those who possessed former law enforcement experience were more likely community oriented and, as such, could help guide others' decision-making. They know how people live, genuinely understand the plight of others, tend to be less emotionally-driven, and instead solve problems based on fact and timely information (Tieszen, 2014).

### **Limitations of the Study**

Time to conduct extensive research was a limitation to complete the research. About 15 months into the doctoral program the research focus changed from domestic terrorism to the current topic. Thus, a great deal, perhaps 70% of the initial literature review was determined as

no longer relevant. Concurrently, the researcher decided to seek a political office and ensured research was more relevant to South Dakota. A focus on emergency management operations, as part of a homeland security concentration, was also required to meet doctoral requirements.

First-hand knowledge of the disastrous effects of the blizzard titled Storm Atlas, and the effects of the simultaneous federal government shutdown in South Dakota was necessary. Emotions were high and it was important for the researcher to remain objective. Potential participants were not readily available for interviews or could not provide research materials due to emergency response operations. In addition, as previously mentioned, ranchers could not gain immediate disaster relief assistance from governmental offices. Thus, the effects of the shut down, coupled with the devastating blizzard, significantly added to the time delay in completing this research study. By January 2014, thanks to generous contributions from around the world, a relief fund had received over 4 million dollars to assist livestock producers (Associated Press, 2014).

In addition, there were several locations where Internet connectivity was poor, which was another limitation in the completion of this study. Although surveys could have been emailed and interviews could have been conducted by telephone, the researcher preferred one-on-one engagement. Thus, participants were located across South Dakota, which on many occasions took five to six hours to make the commute.

Finally, research examined potentially sensitive issues (Roy, 2009). Accordingly, social bias that could be mistakenly attributed was a concern. However, threat of social bias was mitigated by preserving participant confidentiality (Nederhof, 1985).

## **Implications for Practice**

Although this research study was not the first study conducted on leadership styles regarding emergency management operations, it was new research within South Dakota considering state-wide legislators and their leadership decision-making processes or styles. Toward this end, this study resulted in three emerging themes considered relevant and applicable to ongoing legislative practices in emergency management operations. As such, the results have practical implications that can be translated to leadership styles used in other legislative bodies such as U.S. Congress when passing laws regarding emergency management operations. In conclusion, the research offers South Dakotan legislators insight to effective leadership styles used for governing regarding emergency operations.

Additionally, the researcher's shared knowledge of adaptive leadership style and practical experience used on battlefields while serving in the U.S. military aided the study. Regardless of a legislator's personality or leadership style, adapting to circumstances with collaboration and shared intent will help achieve efficient and timely legislation. Within South Dakota's legislature, it may be difficult to change course and be more adaptive among separate parties; however, at a federal level, being adaptive is increasingly necessary.

During interview sessions research revealed that participants were receptive to hearing about varied leadership styles and decision-making processes. Such reception was also evident during visits to South Dakota's state capitol to include speaking with students from the Young Elected Legislative Leaders (YELL). These students were seniors in varied schools across South Dakota and were full of intriguing questions about what it takes to campaign and to ultimately serve as a state representative or member of Congress.

Upon publication, the researcher intends to provide copies of this research study to state legislators and YELL students for reference. As opportunities evolve to perhaps again return to the state capitol, research could continue this work with a select committee. For example, meeting with a long-range planning committee could yield a decision-making model for use within state legislatures.

Such an opportunity may not be practical in the near term. As a state representative recently noted in a non-attributive interview, “The legislative and executive branches do not work well together and are key barriers to passing timely legislation in South Dakota.” Additionally, he stated, “we have too many brake-men and not enough fire-men, and we need more visionaries that will promote progressive policy.” Lastly one state senator remarked, “legislative bodies should be proactive and deliberate in their decision-making.” With approximately 40 days in any given year, there appears to be no time to waste.

Ultimately, the researcher would like to ultimately build on such a model for use within Congress—a much more multifaceted environment. South Dakota’s legislature allows every bill to be heard with no “pocket vetoes.” “Smoke outs” can occur whereas 1/3 can rise for debate even if it is defeated killed in a committee. In addition, amendments are commonly accepted in South Dakota’s legislature, which does not frequently occur in Congress where bills can be withdrawn by a committee chairman before they ever reach the floor for debate (Tieszen, 2014). Furthermore, as veterans serving in Congress may be more familiar with the military’s decision-making process and adaptive leadership style, it may be best to further develop and test a model with participants as part of a select committee (before further reaching out to a larger sample).

## **Recommendations for Future Studies**

This qualitative study offered three examples of leadership styles considered by legislators in South Dakota's state legislature: transactional, transformational, and laissez-faire. One study, conducted by Jones and Rudd (2008), found that implied unique characteristics among these leadership styles were as follows: (a) academic program leaders in colleges of agriculture at land-grant institutions possess a more transformational leadership style; (b) males in such research use transformational leadership behaviors as well as transactional leadership behaviors more often than their female counterparts; (c) males score slightly higher than females in all leadership scale scores; and (d) ethnicity bears no significant effect on leadership behaviors. Future research would likely incur sampling of the results from congressional legislators.

The research also offered three effective leadership themes regarding decisions about emergency management operations by way of qualitative methodology. It also offered a better understanding of leadership within South Dakota's state legislature. Such understanding could also apply to South Dakota's members of Congress and how they may vote on laws affecting emergency management response operations.

It became evident during interviews that most South Dakota state-level representatives did not weigh heavily on decisions to shutdown or reopen the federal government; thus, future research would further include interviewing South Dakota's Governor Dugaard and senior military officials from the active, National Guard, and reserve units. Additionally, members of U.S. Congress, i.e., Senators Thune and Rounds (SD-R) and Congresswoman Noem (SD-AL) would be prime candidates for prospect research regarding their decision making, thus, recalling

voting record differences when South Dakota senators eventually voted for the government to reopen while Congresswoman Noem did not.

It would also be ideal to survey additional legislators who serve on the U.S. House of Representatives' Armed Services Committee or House Committee on Homeland Security. More emphasis on designing survey questions to build richness in qualitative analysis could include (a) collaboration techniques, (b) information-sharing processes, and (c) participation in emergency response education or training programs. For example, questions to pose might be the following: How many legislators are familiar with Title 10 versus Title 32 versus Title 50 authorities within the continental United States? How many legislators attend rigorous, scenario-based training that forces them to collaborate and compromise to reach timely resolution regarding emergency response operations? How many legislators wholly understand risk management processes when crafting and voting on homeland security legislation?

As a problematic example, the TransCanada Keystone Pipeline is not so much a state-wide decision; however, it is a decision to issue or deny a Presidential Permit. It is based on a determination that a project would serve the national interest. It considers potential impacts on the environment, the economy, energy security, foreign policy, and other factors (Parfomak et al., 2013). Keystone XL Pipeline development is highly controversial within South Dakota. Supporters argue that such a pipeline will increase the diversity of the U.S. petroleum supply and economic benefits, especially jobs. Opponents, however, are deeply concerned about greenhouse gas emissions associated with Canadian oil sands, continued U.S. dependency on fossil fuels, and the risk of a of heavy crude spill (especially over large aquifers) (Parfomak, et al., 2013).

## Reflections

Upon reflection of structured research efforts, varied aspects of research regarding emergency management operations were best served by qualitative surveys and interviews. For example, designing a sample of legislators that could offer insight to emergency management operations within South Dakota was critical. It would have been disadvantageous to sample subjects who had little or no knowledge of emergency management operations within South Dakota. Research was fortunate to have quickly established rapport with 10 participants and ensured data was kept confidential. It was beneficial for participants to learn of the researcher's depth of knowledge of emergency management operations and that the researcher is a third-generation native of South Dakota. Because of such rapport and confidentiality, all interviews and surveys were filled with rich data and, as such, contributed to the validity and reliability of results.

The number of one-on-one interviews, eight of ten, was sufficient to gain enough data to complete case study research. Data saturation would have likely occurred if more than 15 participants were involved as saturation often occurs between 5 and 25 interviews (Creswell, 2009). Research also gained similar insight upon reading unofficial state-wide blogs and newspaper editorials. Research intentionally queried and cited scholarly or governmental publications to produce an appreciable literary review.

### **Cross-over to Other than Emergency Response Issues**

Lack of funding, personnel, training, and equipment also occur in other than emergency response issues. Thus, effective and persistent leadership can help resolve a variety of other ongoing legislative challenges within South Dakota. For example, state legislators are working towards juvenile justice reform (Tieszen, 2014). As trends on recidivism have been analyzed,

passage of treatment programs is being considered versus overwhelming administering of jail or prison time for offenses. This reform, and subsequent funding and resources, is critically important to rural areas whereas judges may have limited options when trying juveniles.

Another example is bettering teacher pay and allowing common core programs to flourish. South Dakota currently ranks 51<sup>st</sup> in the nation for lowest paid teachers, and common core remains a controversial and perhaps widely misunderstood subject. During Black Hills Forum and Press Club remarks, Tieszen (2014) noted, “For six years it has been a continuous slog to work through education issues.” In addition, Hunhoff (2014) noted, “Perhaps there are too many poor-performing administrators and rubber-stamps boards not giving the attention warranted to resolve education plights.”

### **Conclusion**

Research attests that America deserves more than just smart moves to get a struggling economy moving (Colvin & Sloan, 2012). Debates continue about increases to tax revenue and reducing spending growth, yet neither political party can seemingly design bipartisan policy strong enough to tackle complex issues such as immigration and health care reform. Such legislative shortfall has been somewhat the norm in U.S. history; however, former senators like McGovern and Dole, grownups who once led the Senate's Democrats and Republicans, dined with members of the opposite party and conducted business.

Such business continues to work and achieves international significance. Examples include the McGovern-Dole International Food for Education and Child Nutrition Program (MGD Program) which provides donations of U.S. agricultural products and financial and technical assistance for school feeding programs in the developing world (U.S. Government Accountability Office, 2011). According to the U.S. Department of Agriculture (USDA), with



about \$200 million in funding in fiscal year 2010, the MGD Program served about 5 million beneficiaries in 28 countries (U.S. Government Accountability Office, 2011). Today, however, researchers at Princeton and the University of Georgia find that the republicans and democrats in Congress are further apart than at any time in the 120-year period they studied (Colvin & Sloan 2012).

Leadership is inherently important when managing bipartisan agreements, including emergency management operations, and if state- or federal-level legislators do not possess former emergency management experience or tenure regarding emergency management operations, they risk poor decision making. Emergency crises will continually exist under economic constraints, and constituents deserve timely and transparent decision making.

In addition to collaboration and timely decision making, virtuous leadership fosters change that is both transformative and sustainable. Such leadership can be concerned with moral or organizational matters, and it can help regulate the internal dynamics of an institution or organization. Most importantly, virtuous leadership requires persistence (Ekman, 2003, p. 2). For example, lack of funding, personnel, training, equipment, and emergencies will undoubtedly occur—with and without warning.

Communities, especially urban and heavily populated areas, warrant early notification and protection against hazards. Critical infrastructure, i.e., command and control centers, large dams, and electrical and nuclear power plants warrant the same protections. Virtuous, effective, and persistent leadership is especially critical when there are only three to four months a year that South Dakota's legislators convene; furthermore, education should be provided by subject matter experts to express second and third order effects of legislators' votes affecting emergency management operations.

## **The Ultimate Benefit**

The research study concluded with three distinct themes inductively drawn from surveying 10 participants—all South Dakota state legislators. As such, the results added to the body of knowledge for state legislators to provide a better understanding of varied leadership styles. Additionally, it revealed that tenure and/or experience is not as weighted as personality type regarding the effectiveness of a state legislator. Ultimately, as a benefit, qualitative methodology, survey instrumentation, and interviews can be duplicated for subsequent research regarding effective leadership and decision making regarding the legislating of emergency management operations within South Dakota.

In a broader context, all significant human achievement requires leadership to unite people, channel their efforts, and encourage group contribution toward goals of collective enterprise (Padilla et al., 2007). Research purports that legislators are entrusted to forego, perhaps for a limited time, their selfish, short-term interests and contribute to long-term goals within an environmental and situational context (Heifetz, 1994). All Americans, legislator or constituent, or even immigrants, owe that much to future generations.

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## APPENDIX A: INFORMED CONSENT



Title of Study: *A Case Study: How Legislators Made Decisions Affecting Emergency*

*Management Operations in South Dakota*

Investigator: Corinna Robinson

Contact Number: 703–244–0100

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### Purpose of the Study

You are invited to participate in a research study. The purpose of this study is to use a qualitative methodology and grounded theory to explore the adaptation and use of a leadership design using the complexity or adaptive leadership theories as a baseline. This design could affect homeland security when examining the leadership and management issues related to the integration and harmonization of legislation regarding emergency management operations.

Leadership in this study refers to the interactions of people, teams, or organizations.

Management in this study encompasses human participants (legislators) and processes.

You will participate in an individual interview in which you will be asked specific questions. The investigator will explore the underlying thoughts, feelings, and motivations surrounding varied leadership styles of South Dakota legislators.

### Participants

You are being asked to participate in this study because you are a key member of South Dakota's legislature. Your business experience, current stake in the industry, as well as your opinions and knowledge are essential to the research project.

## Procedures

If you volunteer to participate in this study, you will be asked to complete the following:

1) meet with the investigator, Corinna Robinson, to take part in a one-on-one interview; 2) answer questions concerning the use of three leadership styles and how you perceive using them for change management. Basic demographic data will be collected from you before commencing the study. You will be given this consent form along with a demographic questionnaire that will be collected on the same day as the study. The input and feedback you provide will afford the investigator an opportunity to gather the most accurate information possible.

## Benefits of Participation

Participants may or may not directly benefit from their participation in this study; however, it is hoped that the study will illustrate the participants' thoughts and opinions on how they perceive using a new leadership style for change management. The adaptation of the complexity or adaptive leadership theories applied to managing the integration and harmonization of legislators may affect their opinions of the current leadership approach. The data collected may also offer a correlation between the participants' perceptions and their willingness to work with a new type of leadership style, which may allow them to collaborate and coordinate more throughout the homeland security industry. This could offer insight into the willingness of current and prospective subject matter experts to work with a new leadership style that offers non-traditional ways of creating policies and a governance structure. The investigator anticipates the data collected from this study can be reported to the academic community and homeland security industry as well as used it to create briefings to report out results at seminars and symposia. The results of analyzing the data should provide a deeper understanding of both



complexity and adaptive leadership theories, and how subsequent application of the theories may facilitate prompter decision-making with greater human understanding.

You may be contacted following the study's completion should the investigator require any clarification regarding your interview responses.

### Risks of Participation

There are risks involved in all research studies. This study is estimated to involve minimal risk. An example of this risk is possibly feeling uncomfortable answering questions about your organization or how your leadership style processes legislative decision-making.

### Cost/Compensation

There will be no financial cost to participate in this study. The study will take less than one hour. You will not be compensated for your time. Colorado Technical University will not provide compensation or free medical care for any unanticipated injury sustained as a result of participating in this research study.

### Contact Information

If you have any questions or concerns about the study, you may contact Corinna Robinson at (703)244-0100 or [corinna.a.robinson@gmail.com](mailto:corinna.a.robinson@gmail.com); or Dr. Michael Hummel at (412)715-5641, [hummel@calu.edu](mailto:hummel@calu.edu). For questions regarding the rights of research subjects, complaints, or comments regarding the manner in which the study is being conducted, you may contact Colorado Technical University – Doctoral Programs at (719)598–0200.

### Voluntary Participation

Your participation in this study is voluntary. You may refuse to participate in this study or in any part of this study. You may withdraw at any time without prejudice to your relations

with the university. You are encouraged to ask questions about this study at the beginning or at any time during the research study.

### Confidentiality

All information gathered in this study will be kept completely confidential. No reference will be made in written or oral materials that could link you to this study. All data and discovery for this research project will be coded and analyzed for use in the final research study that will be published and shared with academic and business communities. The demographic information will be secured by the investigator and will be destroyed once the study has been completed.

### Participant Consent

I have read the above information and agree to participate in this study. I am at least 18 years of age. A copy of this form has been given to me.

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Participant Signature

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Date

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Participant Name (Please Print)

## APPENDIX B: INTERVIEW SCRIPT

**Location:** \_\_\_\_\_

**Date:** \_\_\_\_\_ **Time Started:** \_\_\_\_\_ **Finished:** \_\_\_\_\_ **Total:** \_\_\_\_\_

**Name of Participant:** \_\_\_\_\_ **Age:** \_\_\_\_\_ **Gender:** \_\_\_\_\_

**Participant Number:** \_\_\_\_\_

### Introduction

*Hello, my name is Corinna Robinson. I am a student in the Doctor of Management program at Colorado Technical University (CTU). As part of my doctoral research project, I am conducting a case study on how legislators make decisions affecting emergency management operations in South Dakota. I sincerely thank you for agreeing to participate in this study.*

### Ice Breaker Question

*How are you today? Is there anything that may prevent you from completing today's interview? (If not, proceed.)*

### Consent Form

*Before we begin the short survey and interview, I would like to review the consent form. (Ensure the participant has his or her copy. If not, provide the participant a copy.) Do you have any questions? (If not, proceed.) Could you please provide your signature and date the consent form? I will be sure to provide you a copy for your reference.*

### Interview

*Your interview is part of a larger group involving nine other participants who are defined as the control group. I would like to record the interview using my iPad and/or laptop, so I can dedicate my time to listening carefully to your comments versus taking notes. Everything we discuss will be kept confidential. You may request that I cease recording the interview,*

*temporarily or otherwise, if you feel uncomfortable answering any particular question. Although a transcript of the interview will be produced following its completion, your identity will not be revealed. At no time will anyone other than the investigator have access to or knowledge of your interview responses.*

*Thank you for volunteering to participate in today's study. Here is your copy of the signed consent form.*

*I would like to begin our discussion now. Do you have any objections? (If there are no objections, begin the recording, check and annotate the time, and proceed.)*

### **Continuing the Interview**

*My name is Corinna Robinson. Today's date is \_\_\_\_\_, the time is \_\_\_\_\_, and I am interviewing participant # \_\_\_\_\_.*

*I will now ask you a total of five questions. When answering the questions, think about your perceptions, past behaviors, and real life situations experienced. These questions inquire about your experience and opinions concerning decision-making with regard to emergency management operations within the state of South Dakota. Please do your best to respond to all the questions. They are all designed to assist me in understanding your perceptions, perspectives, and experiences.*

- 1. What effects, if any, does a legislator's leadership style have on the likelihood he/she will support emergency response bills?*
- 2. What is the effect, if any, of a legislator's experience with emergency response operations on his/her likelihood of voting to shut down the government?*
- 3. What influence, if any, does a legislator's tenure and experience have on his/her ability to lead negotiations?*

4. *What influence, if any, does a legislator's tenure and experience have on his/her willingness to compromise?*
5. *What is the likely result of legislators' votes if they differ from the request of their financial supporters?*