

**THE RELATIONSHIP BETWEEN EMOTIONAL INTELLIGENCE AND
NAVY COMMANDING OFFICER LEADERSHIP EFFECTIVENESS**

Dissertation presented to the Faculty of the
Alliant School of Management and the
California School of Professional Psychology
Alliant International University

San Diego

In partial fulfillment of the requirements for the degree of
Doctor of Philosophy in Leadership

by

Jerome R. Provencher, Jr.

2014

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Dedication

I dedicate my dissertation to my wife, Maria, and my children, Melanie, Sarah, Jerry, and Christine, who sacrificed their weekends to support me so that I could research and write my dissertation. I also dedicate my work to my mother-in-law, Jo Cormier, whose endless encouragement motivated me to press on, and to my dad, Jerome Provencher Sr., who is my biggest fan. For teaching me inspirational leadership, I also dedicate my dissertation to Rear Admiral Bruce Boland, USN (retired), an impressive leader and one of the finest men for whom I had the pleasure of working while on active duty in the U.S. Navy.

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Abstract

This study examines the relationship between the emotional intelligence (EQ) scores of U.S. Navy ship commanding officers (COs) and the COs' leadership effectiveness as assessed by their executive officers (XOs). Research has uncovered that EQ is linked to successful performance. Those with higher EQ scores often enjoy greater personal and professional success. An added benefit of EQ is that it is relatively easy to improve; however, research to date has been inconclusive on the degree to which EQ contributes to increased leadership effectiveness. This study fails to support the hypothesis that CO EQ scores positively correlate with XO-assessed CO leadership effectiveness scores. This study affirms that there were no differences in CO EQ scores by CO ship type, commissioning source, rank, or gender. The XO-assessed CO leadership effectiveness scores reveal no differences by ship type, rank, or gender; however, there was a significant difference in the leadership effectiveness scores of CO graduates of the U.S. Naval Academy (USNA) and Officer Candidate School (OCS) compared to graduates of the Navy Reserve Officer Training Corps (NROTC), who scored lower. Further, this study identifies a significant relationship between CO EQ self-management, or self-control, and overall CO EQ assessed by the XOs. Finally, CO EQ social management significantly relates to XO-assessed CO leadership on both the TalentSmart core leadership *action* subscale and the TalentSmart adaptive leadership *organizational justice* subscale. Higher EQ does point towards improved leadership effectiveness on the TalentSmart Core and Adaptive Leadership Model subscales.

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CHAPTER I

Introduction

The study of leadership has been a complex discourse for many researchers. The challenge for years has been to capture the qualities for making a great leader. History is replete with stories of those who accomplished magnificent feats leading others, yet there are many whose leadership failed. The most effective and inspirational leaders in military and business sectors have been examined in an attempt to bottle those leadership skills and disseminate them to those who want to be better leaders. There are differing prevailing thoughts on whether true leadership is innate (Drucker, 1986) to the individual or externally learned. Both camps adamantly support their positions, but in reality it is a mixture of both (Barnard, 1968). “In business, as in art, what distinguishes leaders from laggards, and greatness from mediocrity, is the ability to uniquely imagine what could be” (Hamel & Prahalad, 1996, p. 27).

“Great leaders move us. . . . ignite our passions. When we explain, we speak strategy, vision, or powerful ideas . . . [I]t is primal: Great leadership works through the emotions” (Goleman, Boyatzis, & McKee, 2002, p. 3).

Tradition states that when formulating strategy, the buck stops with the boss. The role of the chief executive officer (CEO) in formulating strategic policy and leading others towards achieving the end goal is of utmost importance. Implementing a strategic policy and leading others is analogous to what the captain of a ship does. As the commanding officer, the captain must chart the course and provide that information to the officers and crew (Maxwell, 2007), ensuring there is no confusion as to the destination. Similarly, in government, academics, or business, the entire organization must know the strategy direction, that the destination is worthwhile, and that arrival is achievable.

Another area of study that is gaining prominence in the academic, government, and business arenas is an individual's social abilities, specifically his or her emotional intelligence quotient (EQ). Research indicates that those with higher EQ experience greater professional success (Bradberry & Greaves, 2009; Goleman, 1997). Seligman (2012) states that positive emotions significantly contribute to increased health, happiness, and success. Thus, an individual with effective leadership ability and high EQ will likely experience a synergistic effect that increases his or her ability to achieve mission success in business or in the military or public arenas (Ashkanasy & Dasborough, 2003). Ultimately, this success comes through the efficient and optimal use of subordinates working in a united and collaborative manner on implementing the promulgated strategy.

Literature Review

Leadership. "Leadership is a universal phenomenon in humans and is also observed in many species of animals, such as matriarchal elephants and patriarchal gorillas" (Bass, 2008, p. 7). The research in leadership has allowed us to make great strides in understanding human nature. An important aspect of leadership is trust, which is an emotional bond that connects followers and leaders (Crainer, 2000). All aspects of management and leadership have been debated and studied in order to identify definitive ways to increase productivity and efficiency, as well as enrich employee morale.

Many theories in management and leadership have emerged that provide strong insight into humanity and the dignity of the individual worker. In the early 1900s, productivity was linked to Frederick Winslow Taylor's theory of scientific management. Employees were considered extensions of their machines, and increased output was linked to improved worker techniques or methods. Ultimately, workers were merely considered as instruments or machines

to be manipulated by their leaders (Hersey & Blanchard, 1988). Leadership in the 1920s impressed the will of the leader on those led and induced obedience, respect, loyalty, and cooperation (Bass, 2008).

In the 1920s and early 1930s, Taylor's scientific management gave way to the human relations movement, initiated by Elton Mayo (Hersey & Blanchard, 1988). The human relations movement gained prominence in part through the factory lighting experiments conducted at the Western Electric Company in Hawthorne, Illinois. Researchers thought brighter lighting would increase worker productivity. Brighter lighting did increase productivity, but so did dimmer lighting. Researchers realized the concepts of human interaction and productivity were very complex.

The human relations movement expanded beyond the technical aspects of performance to include human relations or cooperative goal attainment. Focus began to shift from the needs of the organization to the individual (Hersey & Blanchard, 1988). Yet, according to Bass (2008), leadership was still considered a process by which the many were organized by the leader to move in a specific direction.

In the 1940s, leadership began to include the ability to persuade and direct beyond the effects of power, position, or circumstances (Bass, 2008). Gradually, there evolved a continued shift from a strict focus on tasks to the dynamics of human relations. Researchers labeled behaviors showing concern for relationships as *consideration*. Such behaviors included doing favors, listening to problems, defending, consulting, accepting inputs, and treating subordinates as equals (Yukl, 2013).

By the 1950s, "leadership" was considered to be what leaders did in groups with the authority accorded to them by the group members. Other important theories evolved, such as

Herzberg's Motivation-Hygiene Theory and Maslow's Hierarchy of Needs (Yukl, 2013; Bass, 2008; Hersey & Blanchard, 1988; Anderson, 2012). By the 1960s, leadership embraced even more of the human movement and focused on the influence to move others in a shared direction. Several more prominent theories came into vogue and helped advance this movement: Blake and Mouton's Managerial Grid, McGregor's Theory X and Y, Likert's Management Systems, McClelland's Needs Theory, and Vroom's Expectancy Theory (Yukl, 2013; Bass, 2008; Hersey & Blanchard, 1988; Anderson, 2012).

By the 1970s, leadership influence was seen as discretionary and varying from one person to another (Bass, 2008; Blanchard & Hersey, 1996). By the 1980s, another fundamental shift occurred: Task-oriented behavior that dealt with accomplishing the task efficiently and reliably was differentiated from relations-oriented behavior that increased mutual trust, cooperation, job satisfaction, and employees' affiliation with the organization (Yukl, 2013). Leadership began to embrace change-oriented behaviors. "Change-oriented behavior is primarily concerned with understanding the environment, finding innovative ways to adapt it, and implementing major changes in strategies, products, or processes" (Yukl, 2013, p. 51). Additionally, participative leadership, also known as empowering leadership, was encouraged (Blanchard & Johnson, 2003). Essentially, leaders allowed subordinates to have some influence in decisions that affected them (Yukl, 2013).

By the late 1980s, transformational leadership materialized. Also known as visionary or inspirational leadership, transformational leadership includes behaviors from all leadership theory: relations-oriented behaviors such as supporting and developing, and change-oriented behaviors such as articulating an appealing vision. Transformational leadership is concerned with tapping into emotions, values, ethics, standards, and long-term goals; therefore, it involves a

positive approach to dealing with human relationships (Bacon & Spear, 2003; Sosik & Megerian, 1999). Transformational leadership is an exceptional form of influence that moves followers to accomplish more than what is usually expected of them. It is a process that often incorporates charismatic and visionary leadership (Northouse, 2010, p. 171).

Leadership in a transformation setting attempts to inspire others to take some purposeful action. Burns (1978) states that transformational leadership results in leaders and followers raising each other to higher levels of motivation and morality. In *Leading the Revolution*, Gary Hamel sets forth that to achieve breakthrough performance, innovation is required; this innovation is dependent on the “capability to reconceive existing business models—this is done in ways that create new value for customers, rude surprises from competitors, and builds new wealth for investors” (as cited in Maltbia & Power, 2009, p. 6). “Such performance breakthroughs often require, and are the result of, organizational transformation” (Maltbia & Power, 2009, p. 6).

Following the 1980s and beyond, several other models emerged that recognize the important contributions of the individual to process improvement: Full Range Leadership, Ouchi’s Theory Z, and Deming’s Total Quality Management (TQM) (Northouse, 2010; Bass, 2008). Some recent research has sought to examine transformational leadership against the full-range leadership model.

Empowering and team building. Morale is essential to leadership. “Admiral Ernest J. King, the celebrated World War II Navy leader, said, machines are nothing without men. Men are as nothing without morale. It is a state of mind in which there is confidence, courage, and zeal among people united together in a common effort. Since morale is so important, it serves as the foundation for increasing the productivity of the workforce through motivation and

empowerment” (Weiss, 2011, p. 24).

One of the important aspects of transformational leadership is the involvement or team approach to leadership; such an approach empowers subordinates. Study findings indicate that organizations stand to gain much from having leaders who can create positive working relationships (Blanchard, 2010; Zigarmi, Diehl, Houston, & Witt, 2011). As companies become firmly established, employees gradually learn company priorities and ways of making decisions. When employees begin to adopt the criteria for making decisions, it begins to define the organization’s culture. “Cultures enable employees to act autonomously and cause them to act consistently” (Christensen, 2011, p. 194). When leaders and followers interact well, they accomplish more, and the organization prospers (Northouse, 2010). Empowerment is a burning fire that sparks workers’ zeal and productivity (Prati, Douglas, Ferris, Ammeter, & Buckley, 2003). Yet empowerment is so much more than mere delegation. Empowered employees have the authority, training, and resources to make decisions within defined boundaries. In contrast, employees who have no input or control over their assigned tasks are not motivated or empowered (Weiss, 2011).

When employees are empowered, they possess the ability to improve their work performance because managers advise rather than direct. Empowered employees gain the power and potential to improve a company’s position in the marketplace (Weiss, 2011). Successful employee empowerment shows a greater commitment to produce results because it recognizes that the employee is an integral part of the outcomes. Mary Parker Follet (1868–1933), an esteemed lecturer in the field of worker empowerment, recognized that companies will empower workers by placing responsibility closest to where the knowledge resides and using consistently honored values to draw individuals together (Crainer, 2000). In addition, in order to be

successful, empowerment requires monitoring. Similar to monitoring your weight or blood pressure, an organization's vital signs must be measured to ensure an efficient system. The leader's responsibility is to articulate the company's and the employees' vital factors, identify how to impact those vital factors, and then teach the team how to impact them as well (Froschheiser, 2008).

The evidence for empowerment is compelling: empowering the employee benefits all concerned. Employees are more productive when they participate in decision making and the company benefits from the increased productivity, efficiency, and profitability. The employees will likely benefit financially from their efforts as well. Simply put, Renis Likert found that "subordinates generally respond well to their superior's high expectations and genuine confidence in them and try to justify their boss's expectations of them" (Hersey & Blanchard, 1988, p. 87).

Recently, organizations have moved to using high-performance teams to address business challenges. One of those challenges is change management within the organization. When change comes about within an organization, the natural human reaction is to resist that change (Higgs & Rowland, 2010). An important mechanism to help embrace change is the forming and use of work teams within an organization. The challenge of teams, however, is that due to group dynamics and the intricacies of human interaction, they are usually extraordinarily complex (Koman & Wolff, 2008). Therefore, high-performance teams should be formed by addressing four factors: the context for the team, composition of the team, competencies of the team, and the change management skills of the team (Dyer, Dyer, & Dyer, 2007).

Globalization, shorter technology life cycles, and aggressive product launch timetables have all made change a constant in people's lives. Ansoff (2007) describes external environment

change as having three characteristics: frequency, novelty, and magnitude. *Frequency* refers to whether change is fast or slow; *novelty* refers to the newness or familiarity of the change; and *magnitude* refers to the degree of impact the change will have on the organization. By examining these characteristics, leaders will gain a better appreciation of the impact of a prospective change, as well as the resistance to the change that might be present in the organization.

The dynamics and relationships among the members of a team often determine the overall success of the team. Poor team unity may have dire consequences. As stated earlier, researchers have discovered that individuals with high EQ are more successful overall than those with a lower EQ (Bradberry & Greaves, 2009; Goleman, 1997). If individuals perform better with a higher EQ, will this hold true for teams comprised of members with higher EQ?

Twenty-first-century leadership. “In the 1990s, it was the influence of the leader *and* the followers who intended to make real changes that reflected their common purposes. In the first decade of the twenty-first century, the leader is seen as the person most responsible and accountable for the organization’s actions” (Bass, 2008, p. 15).

According to Bass (2008), in their 1993 book *21st Century Leadership: Dialogues with 100 Top Leaders*, McFarland, Senn, and Childress identified themes of leadership most appropriate for the twenty-first century: leadership is no longer the exclusive domain of the top executive; leadership facilitates excellence in others; leadership is not the same as management; leadership has a sensitive, humanistic dimension; leaders need to take a holistic approach, applying a variety of qualities, skills, and capabilities; and leadership is mastering change anticipation, initiation, and implementation.

Leadership defined. There are many definitions of leadership, many of which recognize a broad goal or aim. Most authors will agree that leadership is a tough subject and difficult to

define:

Great leadership is indeed a difficult thing to pin down and understand. You know a great leader when you're working for one, but even great leaders can have a hard time explaining the specifics of what they do that makes their leadership so effective. Great leadership is dynamic; it melds unique skills into an integrated whole. (Bradberry & Greaves, 2012, p. 1)

Maxwell (2007) states: "The true measure of leadership is influence—nothing more, nothing less" (p. 16). Yukl (2013) describes leadership as "the processes of influencing others to understand and agree about what needs to be done and how to do it, and the process of facilitating individual and collective efforts to accomplish shared objectives" (p. 7). According to Burns (1978), "Leadership over human beings is exercised when persons with certain motives and purposes mobilize, in competition or conflict with others, institutional, political, psychological, and other resources so as to arouse, engage, and satisfy the motives of followers (p. 18). Zigarmi, Lyles, and Fowler (2005) define leadership as "the repetitive acts of arousing, engaging, and satisfying the values and needs of followers in an arena of conflict, competition, or achievement that result in followers taking action toward a mutually shared vision" (p. 39).

Retired General Colin Powell, U.S. Army, describes leadership as "The art of accomplishing more than the science of management says is possible" (Powell & Perisco, 1995, p. 264). This is a very insightful view of leadership and implies action. Tony Dungy, the famous coach of the Indianapolis Colts football team, states that the entire organization must be united in its pursuit of excellence. "Unity of purpose and a desire to make other people better must start at the top if these goals are going to ripple through an entire organization" (Dungy & Whitaker, 2010, p. 2). The bottom line is that leadership is the ability to influence others to achieve that

which they will not or cannot normally do.

To better grasp the meaning of leadership, its opposite should be examined (i.e., what leadership is not). “True leadership cannot be awarded, appointed, or assigned. It comes only from influence, and cannot be mandated” (Maxwell, 2007, p. 13). If leadership is lacking when it is needed, it is partly a failure of nerve, and nerve is required to maintain a steady course (Selznick, 1984). If people are proficiently performing their duties, then leaders should get out of their way. Conversely, direct leadership is required when others are having trouble and need help. This leadership style may require providing specific support and training, close supervision, or simply inspiration and encouragement for those who have the skills but lack the confidence to get the job done.

Leadership in action. Leadership is not all about being an expert in a technical skill, but rather about creating the opportunities for others to learn and become the experts (Kalman, 2013; Bersin, 2013).

Leadership is overarching; it is authentic and it distinctly focuses on people (Covey, 2008). Leadership should be exercised through moral, ethical, and authentic underpinnings. Authenticity infers straightforwardness, genuineness, honesty, and truthfulness regarding plans, opinions, and motivations (Anderson, 2012). Monty Roberts, the famed “horse whisperer,” has parlayed his great wisdom of training horses to the corporate leadership arena; his approach starts by treating people with dignity, respect, and honesty (Roberts, 2000).

Vince Lombardi, the famed coach and leader of the Green Bay Packers football team, said, “Winning is not a sometime thing; it’s an all the time thing” (Lombardi, 2010). At first glance, one could argue that Lombardi was saying that one must win at all costs. Unfortunately, focusing on winning at all costs has its consequences. Throughout history, there have been many

emotionally broken and exhausted people, driven by very successful people in ruthless pursuit of excellence. This often includes a misguided drive to fuel the personal ego and experience career progression in achieving success, or can even lead to wasting efforts in pursuit of a vision that is essentially meaningless. “No matter what position you’re in, you face the same stumbling block to effective leadership that everybody else does: the human ego” (Blanchard, 2012, p. 14.).

Vince Lombardi’s leadership vision was actually more in-depth than his simple quip. His vision was founded on a belief that there is no more noble a deed than an individual giving his or her absolute entirety as an integral member of a team and then ultimately basking in the thrill of victory as the reward. That victory was in response to a challenge that was laser clear. Vince Lombardi’s personal success was a result of his drive to do *his* best to ensure that his team was trained, ready, and prepared to play to the best of *their* abilities and to achieve the aims of the strategy. Although Lombardi was arguably relentless in his pursuit, it’s unlikely many would come forward saying his playing field was littered with broken players.

A leader has an absolute obligation to exhaust every opportunity to give the gift of success and achievement to his or her people. Ingram and Cangemi (2012) state, “Leadership is not about becoming a star; it is about creating stars” (p. 773). The adage applies: If it isn’t worth doing well, then it is not worth doing at all. To truly achieve that aim, it becomes necessary for the leader to be the servant to his or her people (Stirling, 2000; Bennet, 1997). Leadership should not be a matter of how far we advance ourselves but how far we advance others (Maxwell, 2007). It has to be about both the mission and the people.

Warren Bennis states: Excellent decisions don’t often happen by accident (Tichy & Bennis, 2007a; Scott, 1971). Leaders make countless judgment calls throughout their careers. As responsibilities increase, the importance of those “judgment calls is magnified by how they affect

the lives of others” (Tichy & Bennis, 2007b, p. 5.) The judgment calls that leaders make cannot be viewed as single events like the decisions of an umpire or referee calling a game. “Unlike umpires and referees, [leaders] cannot—without risking total failure—quickly forget and move ahead to the next play. Rather, for a leader, the moment of making the call comes in the middle of a process. That process begins with the leader recognizing the need for a judgment and continues through successful execution” (Tichy & Bennis, 2007b, p. 5). A “leader’s life is the summation of all his or her judgment calls. Making those judgment calls is the primary job of a leader; it is part of the DNA of leadership” (Tichy & Bennis, 2007b). “With good judgment, little else matters; without good judgment, nothing else matters” (Tichy & Bennis, 2007b, p. 1). Leadership implies action: “Leadership is not just a concept. Leadership is something you do” (Zigarmi, Fowler, & Lyles, 2011, p. 55).

Kouzes and Posner (2002) derived the ten commandments of leadership embedded within five practices of exemplary leadership. Their commandments describe how leaders can achieve extraordinary results.

Model the way:

1. Find your voice by clarifying your personal values.
2. Set the example by aligning actions with shared values.

Inspire a shared vision:

3. Envision the future by imagining exciting and ennobling possibilities.
4. Enlist others in a common vision by appealing to shared aspirations.

Challenge the process:

5. Search for opportunities by seeking innovative ways to change, grow, and improve.
6. Experiment and take risks by constantly generating small wins and learning from

mistakes.

Enable others to act:

7. Foster collaboration by promoting cooperative goals and building trust.

8. Strengthen others by sharing power and discretion.

Encourage the heart:

9. Recognize contributions by showing appreciation for individual excellence.

10. Celebrate the values and victories by creating a spirit of community. (pp. 21–22)

Leadership as opposed to management. There is a great misconception that leading and managing are one and the same (Maxwell, 2007). The primary difference is that leadership is about influencing people to follow, while management focuses on maintaining systems and processes (Maxwell, 2007; Covey, 1998). Leadership can be described as the ability to complete an assigned mission successfully while prudently managing resources and creating an environment where assigned personnel feel integral to the team. The fruits of that team effort will be the sense of achievement and the accolades of outstanding performance. Great leadership is inspiring the performance of actions to achieve a vision, goal, or aim. Great leaders are able to motivate others to achieve success, and they often surpass expectations. More importantly, the group works in concert to get the task done, and they relish the challenge.

Hersey and Blanchard (1988) view leadership as an attempt to focus on problems in a rational way rather than from an emotional perspective. As previously stated, leadership is different from management. Management can be considered a result of leadership in that achieving the organizational goals is paramount, whereas leadership is simply an attempt to influence regardless of the reason. The influence may or may not necessarily be congruent with organizational goals.

Warren Bennis, a recognized leadership expert, further distinguishes the differences between leaders and managers: “I tend to think of the differences between leaders and managers as the differences between those who master the context and those who surrender to it” (as cited in Kermally, 2005). There are other differences he penned as well, which Kermally outlined, and they are enormous and crucial.

- The manager administers; the leader innovates.
- The manager is a copy; the leader is an original.
- The manager maintains; the leader develops.
- The manager focuses on systems and structure; the leader focuses on people.
- The manager relies on control; the leader inspires trust.
- The manager has a short-range view; the leader has a long-range perspective.
- The manager asks how and when; the leader asks what and why.
- The manager has his eyes always on the bottom-line; the leader has his eye on the horizon.
- The manager imitates; the leader originates.
- The manager accepts the status quo; the leader challenges it.
- The manager is the classic good soldier; the leader is his own person.
- The manager does things right; the leader does the right thing. (Kermally, 2005, pp. 80–81)

The difference between theory and models. Hersey and Blanchard (1988) believe it is important to distinguish the difference between a theory and a model. “A theory attempts to explain *why* things happen as they do. As such it is not designed to recreate events. A model, on the other hand, is a pattern of already existing events that can be learned and therefore repeated”

(p. 170). Gradually, leadership theories and models all contributed to advancing the knowledge on leadership. They have been fine-tuned by the likes of Blake and Mouton; Likert; McClelland; McGregor; Maslow; Herzberg; Hersey and Blanchard; Vroom; Ouchi; Deming; Bradberry and Greaves; and many others (Hersey & Blanchard, 1988; Bradberry & Greaves, 2012).

Contingency theory and the situational leadership model. Contingency theory pertains to leadership actions that apply to some situations but not others. Essentially, the theory helps explain why effective leadership behavior can vary from one situation to another. Further, a particular leadership type may always be effective, but may be more effective in some situations than in others (Yukl, 2013; Northouse, 2010; Hersey & Blanchard, 1988).

Descending from theory to embracing models, both Hersey and Blanchard's Situational Leadership Model and Bradberry and Greaves' Core and Adaptive Leadership Model are of particular interest. The situational leadership model depicts the most effective and flexible leader as one who adapts leadership styles to fit varying situations and the readiness of those being led (Blanchard, 2008). Hersey and Blanchard are icons in the field of leadership. They meticulously studied companies and their leadership, and initially published their situational leadership model in the late 1960s. They were captivated by what made companies thrive, but just as important, they wanted to identify the ingredients that also caused employees to thrive. Hersey and Blanchard (1988) both believed that people matter, and that successful companies are able to practice the mantra of "win-win" every day. Recognizing that the prevailing management theory focused on universal elements that had applicability to all organizations with universal success, they instead set out to examine behavior within an organization. They argued that an organization is a living organism whose basic component is the individual, and the individual should be the unit of study. Their focus is on the interaction between motivation, leadership and

people.

The situational leadership model is from contingency theory that is based on the readiness of the follower. The leader pulls from a mix of *consideration*, which is concern and empathy for the follower, and *initiating structure*, which is orientation towards goal attainment (Judge, Piccolo, & Ilies, 2004). The readiness ranges on a continuum from low to high. Low readiness could be an untrained employee, whereas a fully skilled craftsman or managers that enthusiastically do their job are an example of high readiness. Different levels of readiness require differing levels of effort and supervision by the leader.

There are four primary quadrants that correspond to a follower's readiness: 1: telling, 2: selling, 3: supporting, and 4: delegating. Identifying these four readiness levels will aid the way the leader should lead (Hersey & Blanchard, 1988). At readiness level 1, the follower is "unable and unwilling" (Hersey & Blanchard, 1988, p. 176) to do the task at hand. He or she possesses neither the skills nor experience to do the job and lacks the confidence to try. The individual could be intimidated by the task, overwhelmed, unclear, or uncertain about what is expected and how to perform. At this stage, the leader must provide close supervision. The follower must be given specific directions and expectations. This level is called "telling" because it is characterized by one-way communication. The leader defines the role, shows how to begin, and tells who, what, when, where, and how in relation to the task.

At readiness level 2, the follower is "unable but willing" (Hersey & Blanchard, 1988, p. 176) to do the task. The follower does not yet possess the skills or experience, but does possess the enthusiasm to do the job. In fact, on a new task, most people start at this readiness level. The confidence and willingness can come from within, from others, or by working in a healthy, safe environment. A person may be "unable" simply because he or she has not performed the task or

had a chance to demonstrate ability. The leader's role now shifts to providing the encouragement and support (selling) so the follower can gain the requisite skills and experience to accomplish the tasks. This is called "selling" because the follower receives two-way communication and support to gain buy in to decisions. As leaders "sell," they focus on explaining and mentoring to increase understanding of the task.

At readiness level 3, the follower is "able but unwilling" (Hersey & Blanchard, 1988, p. 177) to do the job. The follower possesses the skills and experience but lacks the confidence or enthusiasm to do the job. Ability is now being demonstrated consistently at moderate to high levels. The person may be "unwilling" if the task is less rewarding than expected, problems will not go away, or performing is very difficult or challenging. The leader now plays an important role (supporting) to inspire the follower to do the job. Essentially, the leader invites the follower to participate more in the process, and the leader and the follower share in decision making. Two-way communication and facilitating behavior reassure a person's willingness and increase a sense of security. Support and encouragement characterize an effective use of this style.

At readiness level 4, the follower is "able and willing, or confident" (Hersey & Blanchard, 1988, p. 177). The follower is experienced and is fully capable of getting the job done. When the followers reach this level, they are actively engaged in their endeavor and they exhibit consistently high levels of ability blended with confidence, commitment, and a sense of ownership. Motivation and desire for accomplishment are high. The leader's role now is to monitor, but provide the follower with room to get the job done, and to remove any obstacles impeding progress. This is called "delegating" because it involves letting an individual do the project essentially on his or her own. The leader delegates as people provide evidence that they are able and willing to accomplish the assignment. A leader working with people at this level

will focus more on simply monitoring progress.

The situational leadership model was designed to make the leader more effective. It was intended to match leader behaviors (behaviors used when influencing others) with the performance needs of the subordinate individual or group. It is about adapting the directive and supportive behaviors to match the readiness of others to perform specific tasks or functions (Hersey, 2009).

Hersey (2009) has further promoted the situational model because of its ease of use. It is important that a model can be easily applied to a particular issue. There are three steps for using the situational leadership model:

Step 1: Identify the specific job, task, or activity. The leader and follower must have a common understanding of what good performance is.

Step 2: Assess current readiness level. Now that the mission has been identified, determine the readiness level of the person you are trying to influence.

Step 3: Match leader response to the follower's readiness level. "Leadership style is composed of relationship behavior and task behavior. Relationship behavior is the extent to which a leader communicates with a person, providing socio-emotional support or positive feedback and encouragement. The leader explains why something should be done and provides facilitating, participating, or involving behaviors" (Hersey, 2009, p. 12). Task behavior, on the other hand, "is the amount of guidance or direction provided. It is the extent the leader engages in defining the who, what, when, where, and how of the task to be performed" (Hersey, 2009, p. 12).

When a leadership style is aligned with the follower's readiness level, harmony will likely be attained. The leader maintains the proper level of supervision and direction, and the

follower tends to welcome the direction and support. However, when a leader uses a different leadership style than recommended for the follower's level of readiness, frustration ensues (Moshavi, Brown, & Dodd, 2003). Imagine a follower with high readiness, "able and willing," being constrained by a high-direction style of leadership. This mismatch often creates follower frustration and resentment. Left unchecked, this frustration can lead to aggression. Note that this also aligns with the concept of dissonance in Goleman's theories on EQ (1997).

Effective leadership must be able to maintain the focus on internal management goals, but it must also address individual people's concerns. If the individuals are not aligned, this mismatch will act as a brake that slows down efficiency.

Core and Adaptive Leadership Model. Bradberry and Greaves, used and expanded on the principles of contingency theory and transformational leadership to developed their Core and Adaptive Leadership Model. Their work with business leaders identified a gap in translating existing leadership models to address concrete areas for which leaders were responsible. The realities of the business environment included tough challenges, such as change management and department and job restructuring. Bradberry and Greaves realized that no one was looking at the concepts of EQ and organizational fairness. Further, leadership depicting skills in strategy, action, and results did not exist. Other leadership tools provided outcomes that did not completely resonate with the business leaders. During feedback discussions with business leaders, Bradberry and Greaves learned what leaders were doing to mobilize their people; they also heard that leaders were developing their subordinates and themselves, and using social skills to manage these relationships. Further, it was discovered that many assessments were designed to tap into special aspects of leadership (e.g., transformational leadership) rather than being designed to assess the full range of behaviors and competencies expected of leaders over time.

Looking at leadership more holistically, they captured identified skills and developed the Core and Adaptive Leadership Model, which reflects all these skills (J. Greaves, personal communication, February 21, 2014).

All leaders possess skills that are foundational; these are designated as *core* leadership skills according to Bradberry and Greaves. Other skills can be considered situational; these are designated as *adaptive* leadership skills. Core leadership skills point to what leaders do, whereas adaptive leadership skills point to who the leaders are (Bradberry & Greaves, 2012). Core leadership skills include strategy, action, and results. Adaptive leadership skills are those qualities and attributes that enable leadership excellence. These adaptive skills are organized under EQ, organizational justice, character, and development (Bradberry & Greaves, 2012). Adaptive leadership is exercised upon the foundation of core leadership.

Core leadership. Core leadership includes three categories: *strategy*, *action*, and *results*. Strategy is further divided into vision, acumen, planning, and courage to lead:

Vision: Inspirational leaders can take their organizations in new directions. This requires the ability to envision a new reality and relate it for others that they can embrace it and want to pursue it wholeheartedly.

Acumen: Savvy leaders possess a deep appreciation and understanding of the broader issues affecting their fields of expertise and their organizations.

Planning: Leaders must accurately anticipate upcoming events to set appropriate goals and get things done.

Courage to lead: Courageous leaders stand firm when faced with adversity and take necessary risks to achieve results. (Bradberry & Greaves, 2012, pp. 4–5)

The second category of core leadership is action. Action “will not work unless you do”

(Bradberry & Greaves, 2012, p. 5). Action requires decision making, communications, and mobilizing others:

Decision making: Effective leaders make sound decisions that consider multiple options, seek inputs from others, and are made in a timely manner.

Communications: When leaders create a supportive environment in which thoughts are expressed freely and information flows easily, they increase the effectiveness of their organizations.

Mobilizing others: Leaders need to motivate and influence others. By mobilizing others, leaders move the organization as a whole toward obtainable and seemingly unobtainable results. (Bradberry & Greaves, 2012, p. 5)

The third category of core leadership is results. “It’s a myth that hard work is enough to achieve results. Far too often, obstacles are thrown in the leader’s path that require a special set of skills to reach the finish line” (Bradberry & Greaves, 2012, p. 6). Results include risk taking, results focus, and agility:

Risk taking: Leaders must be able to maneuver through situations that require them to “push the envelope,” risk their status in the organization, and stand behind a chosen course of action.

Results focus: Leaders who achieve results stay focused, get and keep their people focused, and do whatever is necessary to follow efforts to completion.

Agility: Leaders who consistently reach their goals are constantly adapting to their surroundings; they respond quickly to uncertainty and change to function effectively. (Bradberry & Greaves, 2012, p. 6)

Adaptive leadership. “Adaptive leadership skills are what set great leaders apart—these

skills represent the otherwise intangible qualities that great leaders have in common” (Bradberry & Greaves, 2012, p. 7). Adaptive leadership skills enable leaders to go where other leaders cannot follow. There are four categories of adaptive leadership skills: *EQ*, *organizational justice*, *character*, and *development*.

The first category, EQ, includes an awareness of one’s own emotions as well as the emotions of others. EQ requires self-awareness, self-management, social awareness, and relationship management:

Self-awareness: the ability to accurately perceive your own emotions in the moment and understand your tendencies across situations.

Self-management: using awareness of your emotions to stay flexible and direct your behavior positively. This means managing your emotional reactions to situations and people.

Social awareness: the ability to accurately pick up on other people’s emotions and understand what is really going on with them.

Relationship management: using awareness of your own emotions and those of others to manage interactions successfully. (Bradberry & Greaves, 2012, p. 8)

The second category of adaptive leadership skills is organizational justice. Great leaders do not shy away from the truth. They know how to integrate what people think, what they want to hear, and how they want to hear it with the facts. This makes people feel respected and valued. Organizational justice requires decision fairness, information sharing, and outcome concern:

Decision fairness: Leaders should understand how people perceive fairness and then reach decisions through a fair process to increase the satisfaction, productivity, and retention of their employees.

Information sharing: When a decision has been made, employees should be informed how the decision was reached and how specifically it impacts them.

Outcome concern: A true leader is genuinely concerned with the welfare of others and is able to demonstrate this concern on a personal level with those led. (Bradberry & Greaves, 2012, p. 9)

The third category of adaptive leadership skills is character. Leaders who embody a true sense of character are transparent and forthcoming. They are not perfect, but they earn people's respect by walking their talk. Character requires integrity, credibility, and values differences:

Integrity: Integrity is the melding of ethics and values into action. Individuals who display this quality operate with a core set of beliefs that inspire admiration and support from others.

Credibility: Leaders who are reliable and whose actions and opinions are sound gain the support and commitment of those around them.

Values differences: Leaders who value and capitalize on the differences between people maximize their contributions and achieve better results. (Bradberry & Greaves, 2012, p. 10)

The last category of adaptive leadership skills is development. The moment leaders think they have nothing more to learn and have no obligation to help develop those they lead is the moment they ensure they will never know their true potential. Development requires lifelong learning and developing others:

Lifelong learning: To stay on top of their game, effective leaders learn about themselves and their environment and use this knowledge to develop their abilities along many dimensions.

Developing others: Leaders must provide their people with ample opportunities to grow and build new skills. (Bradberry & Greaves, 2012, p. 11)

Focus thus far has been on “what” leadership is, a bit on “how” to lead, and “why” it is important. We have yet to discuss the “who.” When formulating strategy, the responsibility rests with the CEO. The role of the CEO and board of directors in formulating strategic policy and leading others towards achieving that vision is of utmost importance. The responsibility cannot be delegated; just like the captain of a ship, the CEO must chart the course. Hence, there is no confusion as to the destination (Mack & Paulsen, 1991; Cope & Bucknell, 1966). The entire organization must know the strategy direction, the destination must be worthwhile, and arrival must be attainable.

Importance of Social and Emotional Understanding

Emotions play an important part in leadership (Kerr, Garvin, Heaton, & Boyle, 2006; Seligman, 2012). It is human will and courage to combine emotion with action, and the use of reason, or thought, to act effectively (Rosenback, Taylor, & Youndt, 2012; Prati et al., 2003). The foundation of inspirational leadership is partly built upon the technical expertise of the leader. Without that expertise, the foundation won't be as strong. However, as the leader rises in the ranks, the role of technical expertise diminishes, and social interaction, or EQ, assumes a much greater role in a leader's success (Kalman, 2013). Two competencies of effective leadership are the ability to monitor emotions within oneself and others, and the ability to manage these emotions (Gardner & Stough, 2002). Effective leadership skills depend, in part, on understanding emotions (Palmer, Walls, Burgess, & Stough, 2001). Martin Seligman, the co-founder of positive psychology, articulates the power of positive emotions and using them as resource builders. Harnessing positive emotions has made a great contribution to developing

U.S. Army comprehensive fitness and combating the effects of post-traumatic stress syndrome (Seligman, 2012). As a rule of thumb, Goleman, Boyatzis, & McKee (2002) state that EQ contributes 80 to 90% of the competencies that distinguish outstanding leaders from average leaders (p. 251). To appreciate the “practical business implications of these competencies, consider an analysis of a partner’s contributions to the profits of a large accounting firm. If a partner had significant strengths in self-management competencies, 78 percent more incremental profit was added than those without those strengths. Likewise, the added profits for partners with social skill strength were 110 percent greater; however, those with self-management competencies strength added a whopping 390 percent incremental profit” (Goleman, Boyatzis, & McKee, 2002, p. 251).

Great leaders are usually a composite of many factors: personal expertise, charisma, social skills, and motivations, for example. According to Bradberry and Greaves (2009), a leader will ideally have a good appreciation for the whole person by understanding their own IQ, EQ, and personality style. Some people have strengths in all three areas; unfortunately, others do not. Leaders can be taught basic skills and learn much with practice and experience. Unfortunately, one cannot be taught to be a great leader. Great leaders rise to the top when they are presented with unique circumstances and become best suited to solve a challenge or situation.

In a study by Hay and McBer of nearly 4,000 executives and their employees, 50–70% of the employees reported that they believed the working climate of the organization was linked to the leader’s EQ (cited in Maulding, Peters, Roberts, Leonard, & Sparkman, 2012). According to Hogan, Hogan, and Kaiser (2010), studies conducted by the Center for Creative Leadership identified interpersonal relations as the number one reason for executive management derailment. The influence of EQ on organizational performance, change transformations,

management decision making, and profitability merit its consideration (Chrusciel, 2006).

Emotional intelligence quotient (EQ). Salovey and Mayer (1989) define EQ as the ability to monitor one's own and others' feelings and emotions, to discriminate among them, and to use this information to guide one's thinking and actions. EQ enables an individual to deal with both his or her emotions and those of others (Salovey & Mayer, 1989; Zeidner, Matthews, & Roberts, 2004; Chrusciel, 2006; Lam & Kirby, 2002).

EQ emerged after exhaustive studies were conducted examining intelligence quotient (IQ), and it remains a controversial theory. EQ is promoted as essential to leadership by some and disputed by others as irrelevant after personality and intelligence are controlled in research analysis (Antonakis, 2003, 2004; Locke, 2005). Those that dispute EQ's relevance argue that it lacks discriminant validity, resulting in it being only another way of describing something we already know, which makes the concept redundant (Antonakis, Ashkanasy, & Dasborough, 2009; Davies, Stankov, & Roberts, 1998; Jordan, Ashton-James, & Ashkanasy, 2006). However, EQ has a compelling common sense to it because leadership is entrenched in emotions (George, 2000; Dasborough, 2006). Mounting research suggests that EQ is linked to better leadership (Walter, Humphrey, & Cole, 2012), although it is diminished when intelligence is factored in (Metcalf & Benn, 2013). Despite the controversial stances on EQ, authentic and internal "emotion management" is essential to the human capacity to deal with complexity, and even more important for those who have to lead others through that complexity (Metcalf & Benn, 2013).

Business schools have traditionally taught one to avoid emotion in business; however, a survey by the Center for Creative Leadership found that technical mastery associated with finance, accounting, engineering, or marketing was less essential for executive leaders today than

it was 20 years ago. Conversely, learning adaptability, communication, multicultural, and self-awareness were found as vital for leaders (Kalman, 2013). The executive skills demanded in the current business environment have less to do with spreadsheets and more to do with one's emotional, motivational, and behavioral tendencies. Executive education, in a sense, has gone soft; however, that does not mean one should confuse soft with easy (Kalman, 2013). "Emotional intelligence skills are soft skills that produce hard sales results" (Stanley, 2012).

EQ began to emerge after researchers were baffled by the indicators of very intelligent people who failed to translate that ability into success. Contrarily, data also indicated that some of those with lower IQs did in fact achieve success! Many wondered why this was. From these studies initially spearheaded by Howard Gardner, the concept of EQ began to develop (Goleman, 1997; Gardner, 1998; Cobb & Mayer, 2000; Abrahams, 2007; Mayer, Caruso, & Salovey, 1999; Payne, 1986).

Researchers noticed that it was not education, nor experience, nor knowledge, nor intellectual horsepower that was an adequate predictor of an individual's success or another person's failure. Something else was occurring that was not being considered (Bradberry & Greaves, 2009). Unequivocally, IQ tests identify that some humans possess great mental capacity to deal with complex and difficult challenges. IQ research for many years has indicated that those with higher IQs perform better than those with lower IQs. "Other things equal, higher intelligence leads to better job performance on all jobs" (Schmidt & Hunter, 2000, p. 3). Yet researchers remained puzzled because of inconsistencies. When EQ was discovered, it served as the missing link that explained why people with the highest levels of IQ outperform those with average IQs just 20% of the time, while people of average IQs outperform those with high IQs 70% of the time. This completely upset the paradigm of the source of success—IQ (Bradberry &

Greaves, 2009; Cooper, 1997; Aydin, Leblebici, Arslan, Kilic, & Oktem, 2005; Emmerling & Goleman, 2005; Cherniss, 2000; Goleman, 1997; Gibbs, 1995). If the driving force of business in twentieth-century business was IQ, then in the twenty-first century it will be EQ (Cooper & Sawaf, 1998; Zeidner et al., 2004).

EQ is comprised of four skill areas, or pillars: the first two, self-awareness and self-management, fall under the umbrella of personal competence, which focuses on the individual; the second two, social awareness and relationship management, or social management, are known as social competence, which focuses on how an individual relates with other people.

The four-branch model of emotional intelligence. The four-branch model of EQ was developed by Mayer and Salovey that identified the following skills or capabilities of EQ:

1. Perceiving emotions accurately in oneself and others.
2. Using emotions to facilitate thinking.
3. Understanding emotions, emotional language, and the signals conveyed by emotions.
4. Managing emotions so as to attain specific goals. (Mayer & Salovey, 1997; Salovey & Grewal, 2005)

Each branch includes skills that comprise overall EQ; the skills represented range from relatively easy to more sophisticated. The basic skill is to accurately perceive emotions, such as recognizing emotions in another's face and tone of voice. "The higher level skills include . . . the capacity to manage emotions properly" (Mayer, Salovey, & Caruso, 2008, p. 506).

Good decisions require more than just factual knowledge; they need to be made using self-knowledge and emotional mastery (Bradberry & Greaves, 2009). It is noteworthy that people deal with emotions every day yet only 36% are able to accurately identify their emotions as they occur (Bradberry & Greaves, 2009). There are many words that can describe emotions,

but nearly all can be attached to the core feelings of happiness, sadness, anger, fear, and shame. EQ gets at understanding and being aware of these emotions in life. “EQ is the foundation for a host of critical skills—it impacts most everything you say and do each day. EQ is so critical to success that it accounts for 58 percent of performance in all types of jobs” (Bradberry & Greaves, 2009, p. 21). Those with high EQs make, on average, \$29,000 more per year, according to Bradberry and Greaves. “The link between EQ and earnings is so direct that every point increase in EQ adds \$1,300 to annual salary. These findings hold true for people in all industries, at all levels, in every region of the world” (Bradberry & Greaves, 2009, p. 22).

While it is possible to influence IQ scores and abilities slightly, IQ is largely an innate ability of each individual. The beauty of EQ is that it is flexible and individuals can work to increase their EQs. Those scoring low in EQ can catch up with their peers. According to Bradberry and Greaves, individuals who employ a unique blend of reason and feeling achieve the greatest results. Daniel Goleman, a pioneer in the field of EQ, states that throughout civilization, “The emotional task of the leaders is *primal*—that is, first—in two senses: It is both the original and the most important act of leadership. Leaders have always played a primordial role. No doubt humankind’s original leaders—whether tribal chieftains or shamanesses—earned their place in large part because their leadership was emotionally compelling” (Goleman et al., 2002, p. 5). The primordial emotional task today is largely invisible; however, it remains an important aspect of leadership: herding the collective emotions in a positive direction and clearing the smog created by toxic emotions. Emotional responsibility applies to all leaders, from the boardroom to the shop floor (Goleman et al., 2002). A good leader has the ability to say and do what is necessary to calm fears, assuage anger, or enjoin good spirits (Goleman et al., 2002). Each leader uses innate skills to recognize the appropriate paths to effectively address emotions

in the workplace. Done correctly, leadership can be powerful and inspirational and creates resonance; however, poorly done, it can be toxic and creates dissonance (Goleman et al., 2002). Unfortunately, leaders who do virtually everything right, but cannot steer the emotional aspects, will find that nothing they do works as well as it should, or they may outright fail (Berger & Berger, 2004; Hahn, Sabou, Toader, & Rădulescu, 2012). Leaders who fail to successfully embrace emotions in the workplace tend to lose employees, particularly when leaders use fear as a motivator. “Actually, most people don’t quit jobs, they quit their leaders” (Ingram & Cangemi, 2012, p. 774).

According to Murray (2012), when an individual has poorly developed EQ, setbacks tend to stop momentum. They have difficulty moving beyond situations, and are likely to have negative reactions when dealing with others. Individuals with poorly developed EQ often take things personally and feel victimized, rather than feeling empowered. However, those with a highly developed EQ react differently when faced with the same obstacles. Individuals with high EQ are able to analyze feelings and understand the impact those feelings have on behavior and choices. They recognize people’s feelings and empathize with them, and have the ability to choose the behavior and actions that will help solve and move beyond a situation. Further, with practice, this process gets quicker and recovery from stumbling blocks improves as well. When a person has a high EQ, setbacks are relegated to learning experiences and viewed as chances to improve relationships with others. Roadblocks no longer stop, but rather help develop, potential (Murray, 2012).

Leaders can be that much more effective if their leadership inspires and they instill a yearning for more (of everything) in their people. The question is, how can leaders instill that sense of yearning? A leader’s ability to inspire and to influence others can be rooted in any

number of methodologies, but is largely based on one's personality, leader effectiveness, and, more recently, EQ. Methods of influence can range from harsh (the issuance of a direct order with the threat of punishment if not followed) to friendly (a kind suggestion and encouragement). The existing circumstances will play a large part in helping to define methods of influence; therefore, ample tools to meet the need must be available. Leaders who possess the wide range of influence talents are emotional magnets that attract others (Goleman et al., 2002). This is "one reason why emotionally intelligent leaders attract talented people—for the pleasure of working in their presence" (Goleman et al., 2002, p. 11). It often happens that individuals so thoroughly enjoy working for a particular leader, and the tandem has a proven track record of success, that they reunite in other companies or endeavors. Successful leaders breed more success, and EQ provides a competitive edge (Lam & Kirby, 2002).

Team EQ also has an influence on performance, and training to improve EQ positively influences overall team performance (Ashkanasy, Härtel, & Daus, 2002; Chrusciel, 2006). In a recent dissertation study, the results indicated that collective EQ may predict relationships between emotionally intelligent leadership, organizational climate, and organizational performance (Reed, 2005). An organization of employees with highly developed EQ would likely create a work environment in which:

- ideas are respected,
- teams work at their optimum,
- gossip and other negative behaviors stop,
- there is encouragement and celebration of success,
- stumbling blocks are quickly surmounted,
- decisions are value-based,

- integrity is valued,
- work relationships are rewarding, and
- potential is continually developed (Murray, 2012, pp. 45–46).

The influence of emotional intelligence on organizational teams. When EQ principles are used to develop a shared culture, it can expand EQ from an individual skill to a group dynamic (Hess & Bacigalupo, 2010). According to Druskat and Wolff (2001), “Three conditions are essential to a group’s effectiveness: trust among members, a sense of group identity, and a sense of group efficacy...To be most effective, teams need to create emotionally intelligent norms—the attitudes and behaviors that ultimately become habits—that support behaviors that build trust, group identity, and group efficacy” (p.82). However, having high-EQ members on a team does not necessarily equate to high EQ for the whole group. A team has additional levels of awareness and regulation, including the individual emotions of its members, the group emotions or moods, and the emotions of other groups and individuals outside its boundaries (Druskat & Wolff, 2001).

When an individual is not on the same emotional wavelength as the others on a team, the team members need to be emotionally intelligent regarding that individual and simply recognize there may be a problem (Druskat & Wolff, 2001). High-EQ teams embrace concerns or confidence issues raised by individuals. The extra effort made to involve the individual helps foster trust and greater participation. It may seem counterintuitive, but emotionally intelligent groups engage in confrontation. For example, when an individual’s behavior crosses the line, the team must feel comfortable addressing the infraction (Druskat & Wolff, 2001).

Effective teams develop norms for group self-awareness of emotional states, strengths and weaknesses, modes of interaction, and task processes; these are critical elements of group

EQ that facilitate group efficacy. Teams gain efficacy through self-evaluation and by soliciting feedback from others (Druskat & Wolff, 2001). Further, according to Ghuman (2011), a benefit of high-EQ teams is they do a better job of thwarting “group think” predicaments.

Team-building outings help create a sense of camaraderie. Team-building exercises may not be directly related to a group’s actual work, but teams often come away with higher emotional capacity and greater capability to respond to emotional challenges. Team-building exercises create opportunities for working with emotions, fostering an affirmative environment, and encouraging proactive problem solving (Druskat & Wolff, 2001).

Highly effective teams reflect on the team emotions, in addition to the emotions of the individuals. High-EQ teams are so attuned to their broader organizational context that it affects how they frame and communicate their own needs and accomplishments (Druskat & Wolff, 2001). These teams are also able to influence outsiders’ needs and perspectives. The ability to control emotion at the cross-boundary level is the group version of the social skills so critical to individual EQ. Group EQ involves developing external relationships that foster the confidence of outsiders and adopting an ambassadorial role (Druskat & Wolff, 2001).

A team may have everything going for it—the brightest and most qualified people, access to resources, and a clear mission—but still fail because it lacks group EQ. By establishing norms that build trust, group identity, and group efficacy, the team’s EQ will be improved; ultimately, having norms in place will unlock the team’s innate ability and improve overall performance.

Emotional intelligence and constructive conflict management. According to Whetten and Cameron (2011), a leading reason that major corporations fail is that top management is in complete agreement. “The resulting lack of tension between competing perspectives can foster a climate of complacency” (Whetten & Cameron, 2011, p. 376). Healthy conflict among top

management teams is valuable. “Conflict provides executives with a more inclusive range of information, a deeper understanding of the issues, and a richer set of possible solutions” (Eisenhardt, Kahwajy, & Bourgeois, 1997, p. 84). Unfortunately, conflict may also produce harmful effects and even dysfunctional results (Whetten & Cameron, 2011). Therefore, conflict resolution techniques and associated behaviors must be used constructively, so that team members can argue issues without destroying their ability to work as a team (Eisenhardt et al., 1997).

A meta-analysis was conducted by Schlaerth, Ensari, and Christian (2013) to determine if EQ is predictive of constructive conflict management. “Understanding constructive conflict management is key to leadership effectiveness because leaders are expected to encourage and reinforce constructive conflict management practices and strategies” (Schlaerth et al., 2013, p. 127). Trustworthiness is an important component of both EQ and constructive conflict management (Schlaerth et al., 2013). Past research indicates that higher-EQ leaders were “more likely, or more able, to engage in functional confrontation with employees and groups, which is called constructive conflict management” (Schlaerth et al., 2013, p. 127). The results affirm the relationship between EQ and constructive conflict management, and identify the relationship as being even stronger for non-leaders because they have less experience and training in conflict resolution (Schlaerth et al., 2013). “Accurately perceiving and managing our own emotions, and being capable of understanding the perspectives of others, will have a positive impact on managing conflict constructively” (Schlaerth et al., 2013, p. 133).

Unlike most civilian businesses, the military, in times of both peace and combat, may experience great opportunities for conflict, and the goal must be to resolve these conflicts quickly and constructively to preserve combat readiness (Sharma & Sharma, 2012). Military

leadership and cohesion are key components within a unit. Cohesion between soldiers will sustain their will and commitment to each other, their unit, and the mission. Cohesion promotes “commitment and accountability to one’s comrades [that] become more powerful than the instinct of self-preservation” (Sharma & Sharma, 2012, p. 268). Despite this cohesion, grievance and conflict resolution are critical. Military units with perceived fair justice and management practices have more-satisfied soldiers (Sharma & Sharma, 2012). Personal skills and organizational support, both of which espouse EQ principles, combine to promote constructive conflict behaviors, and potentially to turn situations from possible disasters to opportunities for personal growth, sustained combat readiness, and mission effectiveness (Sharma & Sharma, 2012; Schlaerth et al., 2013).

Emotional intelligence and self-management. Another important aspect of EQ is its role in self-management. According to Stajkovic and Luthans (1998), there is a strong positive correlation between self-efficacy and work performance. They define self-efficacy as “a personal judgment on how well one can execute course of action to deal with prospective situations” (p. 240). One’s level of self-efficacy helps determine when coping skills are activated, as well as the amount of effort expended and continued despite disaffirming evidence (Stajkovic & Luthans, 1998).

Workers are motivated either extrinsically or intrinsically to achieve a goal. When motivation is thwarted, the workers will attempt to remove the thwarting condition by reducing or coping with the resulting tension. If unable to temporarily or permanently obtain relief, a worker is left in constant frustration. Ultimately, workers will tend to acquiesce or change environments (King, 2004). In the civilian workforce, prolonged frustration typically leads to a job change. Likewise, military service members may ultimately leave the service after their

commitment has been fulfilled; however, until then, service members remain integral to the military fighting unit. To remain productive members of the unit, service members must employ coping strategies to thwart the tensions (King, 2004). Coping is often considered a moderator in the stress-strain and emotional distress relationship. When an event occurs that causes an individual's coping mechanisms to be exceeded, it is considered "threatening and elicits negative emotions" (Sharma & Sharma, 2012, p. 260). Over prolonged periods where coping mechanisms are exceeded, anger results; this situation is very prevalent in combat areas. "Angry soldiers raise serious concerns for the safety of other soldiers" (Sharma & Sharma, 2012, p. 262). To help bolster coping skills in the U.S. Army, soldiers now receive resilience training. Resilience is the ability "to withstand, recover, grow and bounce back in the face of aggressors and changing demands" (Sharma & Sharma, 2012, p. 263). Resilience skills include physical, mental, emotional, spiritual, social, and family components (Sharma & Sharma, 2012).

EQ is an "individual's ability to motivate oneself and persist in the face of frustrations; to control impulses and delay gratification; to regulate one's moods and keep distress from swamping the ability to think; to empathize and to hope" (Schlaerth et al., 2013, p. 127). Motivation is the drive to perform, and emotions motivate individuals to act. Passion is the motivational engine to achieve. Actions, therefore, stem from both positive and negative emotions and thoughts (Ingram & Cangemi, 2012). If emotions and thoughts can be managed, there is a higher likelihood that decisions will be more effective. The challenge of emotions management is "neither to suppress feelings nor to vent them but to reflect on them, integrate them with our thinking, and use them as a source of information and an inspiration for intelligent decision making" (Ingram & Cangemi, 2012, p. 774). Ybarra, Kross, and Sanchez-Burks (2014) suggest that research is showing that those who struggle with emotions management actually

reduce their available cognitive resources; however, those with higher EQ, particularly those who recognize and control emotions automatically, “are more immune to cognitive resource availability” (p. 95). The supposition is that those with higher EQ and self-management ability may be able to access more cognitive resources when analyzing issues, and thereby make more effective decisions than those with lower EQs (Ybarra et al., 2014; Ingram & Cangemi, 2012). Ultimately, higher EQ may not only contribute to an individual’s self-management ability, but may also help improve self-efficacy and the ability to reduce or cope with motivational tensions. Individuals with higher EQ are better positioned to be more productive and better able to deal with workplace frustrations.

Purpose of the Study

The evolution of the study of leadership continues in a never-ending quest for the elusive ingredients for successful leadership. The path has journeyed from focusing on individual traits, to examining behavior and looking at situations and contingencies. The theme of leadership includes empowerment of subordinates to achieve personal enrichment and personal and organizational success.

Recently, the focus has been on EQ. Those who understand emotions and interpersonal relationships seem to fare far better in their professional careers (Lam & Kirby, 2002). While evidence suggests high EQ alone can account for career success, researchers are beginning to look at the synergistic effects of combining good leadership principles and improved EQ (Hoffman & Frost, 2006; Hahn et al., 2012).

Those who possess a high EQ are destined for greater career success than their low-EQ counterparts (Lam & Kirby, 2002). Unfortunately, there is inconsistent research to support the linkage of EQ and leadership effectiveness. Some studies have found significant relationships,

others no significant relationships, and others, weak relationships. According to Martin (2008), the studies that found a significant relationship between EQ and leadership effectiveness include: Coetzee & Schaap, 2004; Kerr, Garvin, Heaton, & Boyle, 2006; Leban & Zulauf, 2004; Srivastava & Bharamanaikar, 2004; and Wong & Law, 2002. The studies that found no significant relationships include: Barbuto & Burbach, 2006; Barchard, 2003; Brown, 2005; Brown, Bryant, & Reilly, 2006; Schulte, 2003; and Weinberger, 2003. Finally, Harms and Credé (2010) and Mills (2009) concluded in their meta-analyses that there was a relationship between EQ and transformational leadership variables but that the relationship may not be as strong or as compelling as advocates of EQ testing had predicted. Additional studies must be done examining the relationship between EQ and leadership (Jordan et al., 2006; Rockett, 2010). This study will attempt to add to this body of research.

Leadership is the ability to harness the power and efforts of others to achieve desired results. The leader must define a vision to be attained, and then focus others' efforts to successfully arrive at that destination. While the relationship between EQ and leadership is often overestimated, it is quite the challenge to blend tangible methodologies with intangible instincts.

A leader who possesses strong abilities in leading others, who has a good grasp of personal emotions, and has built high EQ can translate these abilities into an exponential force of leverage. When all these skills are combined with effective strategy formulation, astounding results are inevitably achievable (Rajah, Song, & Arvey, 2011).

In a study of school administrators where EQ was examined as a predictor of leadership, the results were significant. The role of the school leader becomes the most influential factor for a school's effectiveness. The critical skills necessary to achieve school effectiveness are the ability to communicate, listen, and have empathy that builds trust and understanding (Maulding

et al., 2012). Literature indicates that EQ grows as we age and that EQ can be taught (Maulding et al., 2012). The prevailing indications are that EQ is positively related to leadership (Cherniss, 2000; Duckett & Macfarlane, 2003; Gardner & Slough, 2002; Vrba, 2007; Harms & Credé, 2010; Cavallo & Brienza, 2006; Salovey & Grewal, 2005; Brown & Moshavi, 2005; Ciarrochi, Chan, & Caputi, 2000). Although these studies were not associated with the military, I intend to further this research by applying it to commanding officers (COs) of U.S. Navy (Navy) ships.

According to U.S. Navy Regulations (1990), the responsibility of the CO for his or her command is absolute, and the authority of the CO is commensurate with his or her responsibility. While the CO may delegate authority to subordinates for the execution of details, such delegation or authority shall in no way relieve the CO of continued responsibility for the safety, well-being, and efficiency of the entire command. The CO's complete accountability for his or her ship is essentially inescapable; therefore, the CO is given tremendous power and authority to discharge those duties and responsibilities.

This study reports on any predictive elements of EQ on leadership effectiveness of COs. Similar to the school leader's prominent role in a school's effectiveness, COs have a profound impact on the effectiveness and morale of a warship. While leadership tenets are often elusive, EQ remains more tangible and can be improved upon. This study is anticipated to: (a) gain a better understanding of the linkage between EQ and leadership effectiveness, (b) highlight efforts of individuals to improve upon EQ abilities to improve leadership effectiveness of subordinates and the success of the organization, (c) also improve the professional success of the leader. Additionally, EQ skills have versatile application to a wide, culturally diverse worldwide audience. The results of this study have the potential to influence global Navy officer EQ and leadership training, especially in coalition countries.

Should findings indicate that higher EQ scores do indeed predict higher leadership scores, a tremendous opportunity may be revealed to work on improving EQ in all Navy officers. Not only is EQ relatively easy to improve, the benefits of improved EQ are profound: individual performance improves; resonance, harmony, and empowerment improve when dealing with subordinates; and leadership effectiveness improves. The investment in EQ awareness and in improving individuals' EQ may return great performance dividends for the U.S. Navy.

COs are a select group of leaders in the Navy, and they come from diverse backgrounds and take distinctly different paths to command. There has often been debate among the ranks as to which officers *perform better* as COs. The principal differences that are used to categorize COs are: the ship type they command and their commissioning source, education level, rank, and gender. Demographics like these often tend to be characterized as control variables; however, in the case of this study, the intent is to affirm or dispel any Navy stereotypes and test the demographic variables independently.

Research Questions and Hypotheses

Scores on the EQ instrument and scores on the leadership effectiveness instrument were examined to determine if EQ predicts effective leadership.

1. Will there be a positive correlation between CO EQ and leadership effectiveness?

H1. There will be a positive correlation between CO EQ and leadership effectiveness.

2. Will there be any differences in CO EQ based on the CO's ship type, commissioning source, education level, rank, or gender?

H2. There will be differences in CO EQ based on the CO's ship type, commissioning source, education level, rank, and gender.

H2a: There will be a difference in CO EQ based on ship type.

H2b: There will be a difference in CO EQ based on commissioning source.

H2c: There will be a difference in CO EQ based on education level.

H2d: There will be a difference in CO EQ based on rank.

H2e: There will be a difference in CO EQ based on gender.

3. Will there be any differences in the executive officer's assessment of CO leadership effectiveness based on the CO's ship type, commissioning source, education level, rank, or gender?

H3: There will be differences in the executive officer's assessment of CO leadership effectiveness based on the CO's ship type, commissioning source, education level, rank, and gender.

H3a: There will be a difference in CO leadership effectiveness based on ship type.

H3b: There will be a difference in CO leadership effectiveness based on commissioning source.

H3c: There will be a difference in CO leadership effectiveness based on education level.

H3d: There will be a difference in CO leadership effectiveness based on rank.

H3e: There will be a difference in CO leadership effectiveness based on gender.

4. Will there be any significant relationships between the four pillars of EQ and the 22 skills of core and adaptive leadership?

H4: There will be significant relationships between the four pillars of EQ (self-awareness, self-management, social awareness, and social management) and the 22 skills of core and adaptive leadership (vision, acumen, planning, courage, decisive, communications, mobilization, risk taking, results, agility, self-aware, self-manage, social aware, relations manage, fair, sharing, outcome, integrity, credible, diverse, learner, and developer).

CHAPTER II

Method

Motivation and Rationale

I've always been fascinated with the study of leadership. I'm intrigued by leaders who lead well and inspire, and those who do not. In the military, I enjoyed the pleasure and challenge of working for inspirational leaders and the success that usually followed as a result of their leadership. My interest was further piqued when I completed a research project on leadership for my master's degree at San Diego State University in 1992. I examined leadership styles and leadership flexibility of U.S. Navy ship COs. Eventually I became a CO myself, and I continued to study leadership in hopes that I, too, would provide inspirational leadership.

Participants

Study participants are COs of U.S. ships throughout the Navy. COs are fully responsible and accountable for U.S. Navy ships and their assigned officers and crew. Additionally, the CO's number two warfighter and assistant—the executive officer (XO)—will participate as well. There are approximately 125 U.S. Navy ships in the fleet worldwide, including cruisers, destroyers, frigates, and amphibious ships. COs in the ranks of captain or commander command these ships. Ranks correspond with longevity in the Navy and the size and scope of responsibility of the command. Captains typically have 20 to 22 years of experience upon assuming command, while commanders have 17 to 18 years of experience.

Protection of human participants. Participants were treated according to the ethical standards of the American Psychological Association. The Institutional Review Board (IRB) at Alliant International University, San Diego, approved the methods and procedures used in this study. Permission to conduct the study was obtained from Commander Naval Surface Forces

U.S. Pacific (Appendix A). Informed consent forms followed guidelines set forth by the Institutional Review Board at Alliant International University, San Diego. The informed consent document included a brief description of study procedures, potential benefits and risks, a discussion on the voluntary nature of the study, the right to withdraw without consequences, and confidentiality of participant information. COs and XO's were told participation in the research was voluntary and the anonymity of the participants would be protected to the greatest degree possible. Although responses were tracked by ship to pair the research results from the individual CO and XO, no names were used and the individual results were safeguarded. See Appendices for all IRB documents.

Research Design

This study is a quantitative descriptive correlational design. It is formatted in three parts to address associated research questions. Part one is an examination of the overall relationship between EQ and leadership effectiveness using a correlation statistical analysis. The results will add to the inconsistent body of existing research regarding EQ and leadership effectiveness.

Part two is the descriptive examination of demographic variables on EQ and leadership effectiveness using analysis of variance (ANOVA). The results will reveal any differences in both EQ and leadership effectiveness, and how they relate to the CO's demographics. Significant findings should be examined by the Navy and changes to training made as necessary.

Part three is an in-depth examination of the relationship between the four EQ pillars and the 22 skills that comprise TalentSmart's Core and Adaptive Leadership Model using structural equation modeling (SEM). SEM refers to a family of statistical techniques for testing and estimating causal relations (Kline, 2005; Cohen, Cohen, West, & Aiken, 2003).

The online quantitative study was completed by U.S. Navy surface ship COs and their

respective XOs. COs were asked to complete the Self-Assessment survey on EQ. Each XO was asked to complete the Rater-Assessment survey assessing the leadership effectiveness of his or her own CO.

Demographics were solicited that included: ship type, commissioning source, education level, rank, and gender.

This study focuses on the COs of the following ship classes: cruisers, destroyers, frigates, and amphibious ships. Cruisers are multi-mission warships capable of engaging multiple simultaneous targets; they are employed in force support or independent action. Destroyers are fast warships providing multi-mission offensive and defensive capability, independently or in fleet support. Frigates are warships designed to protect other ships and as anti-submarine combatants. Amphibious ships deploy and support U.S. ground forces in remote locations. A number of ship classes comprise the amphibious fleet: amphibious assault ships, general (LHA) and multi-purpose (LHD), landing platform helicopters (LPH), landing platform docks (LPD), and landing ship docks (LSD) (Holland, 2000).

There are three primary paths towards a commission in the U.S. Navy: Officer Candidate School (OCS), Navy Reserve Officer Training Corps (NROTC), and the U.S. Naval Academy (USNA). OCS is a path for officers who have already completed a college degree and attend OCS to receive Navy officer training. The indoctrination takes approximately four months. NROTC is a path embedded in various college campuses throughout the United States. The path to graduation and commissioning can be via a two-year or four-year scholarship or a non-scholarship program. Once they graduate, the students, previously known as midshipmen, are commissioned into the naval service (U.S. Navy Recruiting, 2014). Admission to USNA, located in Annapolis, Maryland, is a competitive and congressionally nominative appointment process,

for the four-year degree program. Upon graduation, USNA graduates are also commissioned into the naval service (U.S. Naval Academy, 2014).

The COs' education level was collected for this study to ascertain the highest degree obtained: bachelor's, master's, or doctorate.

As officers establish careers and exhibit proven excellence, they earn promotions and selections by the Navy to assume greater responsibilities. Officers who successfully continue this process will eventually be designated to assume command of a Navy ship as CO. The focus of this study includes COs in the ranks of captain and commander.

COs are male or female in gender.

Measures

Research of the varying leadership theories shows that the most comprehensive explanation for leadership is found in a model that represents both foundational leadership actions that are applicable to all leaders and those contingency efforts that require leaders to make adjustments according to varying situations and/or events. The model that best represents this overall leadership theory is TalentSmart's 360° Refined Core and Adaptive Leadership Model developed by Dr. Travis Bradberry and Dr. Jean Greaves. While the Multifactor Leadership Questionnaire (MLQ) is an excellent instrument to measure transformational leadership, the instrument needed to measure the more robust core and adaptive leadership is TalentSmart's 360° Refined instrument. This instrument includes both EQ and leadership effectiveness measures and was selected for use in this research study for its proven high validity, reliability, brevity, and accuracy after years of successful application in the business sector (Bradberry & Greaves, 2013). Additionally, this selection was made to alleviate a concern that the Mayer, Salovey, and Caruso Emotional Intelligence Test's (MSCEIT)'s length of time to

complete may influence reliability (Vartanian, 2007). The TalentSmart EQ measures were developed to identify competencies and maintain the face validity for leaders and raters, and to provide relevant feedback identifying EQ strengths and weaknesses (J. Greaves, personal communication, February 21, 2014). The instrument is a 75-question, six-item Likert scale assessment that was developed, validated, and tested in many organizations. More than seventy thousand leaders have taken the assessment and the database yields outstanding validity data: Cronbach Alpha reliability coefficients range from .85 to .95 (Bradberry & Greaves, 2012).

Demographic questionnaire. The demographic questionnaire is a five-item measure. COs were asked about their assigned ship type and hull number, commissioning source (OCS, NROTC, USNA), education level (bachelors, master's, doctorate), rank (captain, commander), and gender (male, female).

Emotional intelligence survey. COs were asked to complete a Self-Assessment survey to accurately determine their overall EQ score. The questions are embedded in TalentSmart's 360° Refined instrument.

Leadership effectiveness survey. Each ship's number two in command, the XO, was asked to complete TalentSmart's 360° Refined Rater-Assessment survey describing the leadership effectiveness of his or her CO. This instrument is derived from the Core and Adaptive Leadership Model that characterizes leadership skills.

Procedures

COs and XOs from the fleet of approximately 125 U.S. Navy surface ships worldwide were invited to participate in the study. These ships include cruisers, destroyers, frigates, and amphibious ships.

COs and XOs were sent an e-mail explaining the research and purpose of the study; the

approval to conduct the study from Commander, U.S. Navy Surface Forces Pacific; general information on EQ and the Core and Adaptive Leadership Model; and consent forms. The COs were asked to provide the demographic information: ship class and hull number, commissioning source, education level, rank, and gender.

COs and XOs agreeing to participate in the research study were then sent an e-mail from TalentSmart, with the website link and access code to complete TalentSmart's 360° Refined instrument. COs were asked to complete the Self-Assessment survey on EQ. XOs were asked to complete the Rater-Assessment survey assessing his or her CO's leadership effectiveness.

Research Questions and Hypotheses

1. Will there be a positive correlation between CO EQ and leadership effectiveness?

H1: There will be a positive correlation between CO EQ and leadership effectiveness.

H1o: There will be no correlation between CO EQ and leadership effectiveness.

2. Will there be any differences in CO EQ based on the CO's ship type, commissioning source, education level, rank, or gender?

H2: There will be differences in CO EQ based on the CO's ship type, commissioning source, education level, rank, and gender.

H2a: There will be a difference in CO EQ based on ship type.

H2ao: There will be no difference in CO EQ based on ship type.

H2b: There will be a difference in CO EQ based on commissioning source.

H2bo: There will be no difference in CO EQ based on commissioning source.

H2c: There will be a difference in CO EQ based on education level.

H2co: There will be no difference in CO EQ based on education level.

H2d: There will be a difference in CO EQ based on rank.

H2do: There will be no difference in CO EQ based on rank.

H2e: There will be a difference in CO EQ based on gender.

H2eo: There will be no difference in CO EQ based on gender.

3. Will there be any differences in the executive officer's assessment of CO leadership effectiveness based on the CO's ship type, commissioning source, education level, rank, or gender?

H3: There will be differences in the executive officer's assessment of CO leadership effectiveness based on the CO's ship type, commissioning source, education level, rank, and gender.

H3a: There will be a difference in CO leadership effectiveness based on ship type.

H3ao: There will be no difference in CO leadership effectiveness based on ship type.

H3b: There will be a difference in CO leadership effectiveness based on commissioning source.

H3bo: There will be no difference in CO leadership effectiveness based on commissioning source.

H3c: There will be a difference in CO leadership effectiveness based on education level.

H3co: There will be no difference in CO leadership effectiveness based on education level.

H3d: There will be a difference in CO leadership effectiveness based on rank.

H3do: There will be no difference in CO leadership effectiveness based on rank.

H3e: There will be a difference in CO leadership effectiveness based on gender.

H3eo: There will be no difference in CO leadership effectiveness based on gender.

4. Will there be any significant relationships between the four pillars of EQ and the 22 skills of

core and adaptive leadership?

H4: There will be significant relationships between the four pillars of EQ (self-awareness, self-management, social awareness, and social management) and the 22 skills of core and adaptive leadership (vision, acumen, planning, courage, decisive, communications, mobilization, risk taking, results, agility, self-aware, self-manage, social aware, relations manage, fair, sharing, outcome, integrity, credible, diverse, learner, and developer).

H4o: There will be no significant relationships between the four pillars of EQ (self-awareness, self-management, social awareness, and social management) and the 22 skills of core and adaptive leadership (vision, acumen, planning, courage, decisive, communications, mobilization, risk taking, results, agility, self-aware, self-manage, social aware, relations manage, fair, sharing, outcome, integrity, credible, diverse, learner, and developer).

Data analysis. Approximately 125 COs and XOs were chosen from the U.S. Navy fleet, in part to ensure adequate power of at least .8 for statistical analysis. Using G*Power 3.0.10, it was determined that for a medium effect size (.3) and $\alpha = .05$ significance, 90 samples are required to maintain a .8 power. The software support used to conduct the statistical analysis is Statistical Package for the Social Sciences (SPSS) version 21.

Research question 1. Will there be a positive correlation between CO EQ and leadership effectiveness?

When examining the relationship between CO EQ and leadership effectiveness, correlation coefficients are used to measure the strength and the direction of the linear relationships between a pair of variables. These correlation coefficients are expressed using the letter r . The specific correlation coefficient that was used in this study was the Pearson product moment correlation, r (a simple coefficient r between x and y). The independent variables EQ

and leadership effectiveness are both continuous variables and assumed to be normally distributed; they have a linear relationship. Spearman correlations were also obtained to confirm the results. Random sampling was not necessary because the entire population was attempted. Additionally, a scatterplot was used to visually represent data in this relational design.

Research questions 2 and 3. Will there be any differences in CO EQ and leadership effectiveness by ship type, commissioning source, education level, rank, or gender?

A series of ANOVAs were conducted to measure categorical independent variables and continuous dependent variables. The independent categorical variables are: ship type (cruiser, destroyer, frigate, amphibious), commissioning source (OCS, NROTC, USNA), highest education level (bachelors, master's, doctorate), rank (captain, commander), and gender (male, female). The dependent variables are the EQ and leadership effectiveness scores.

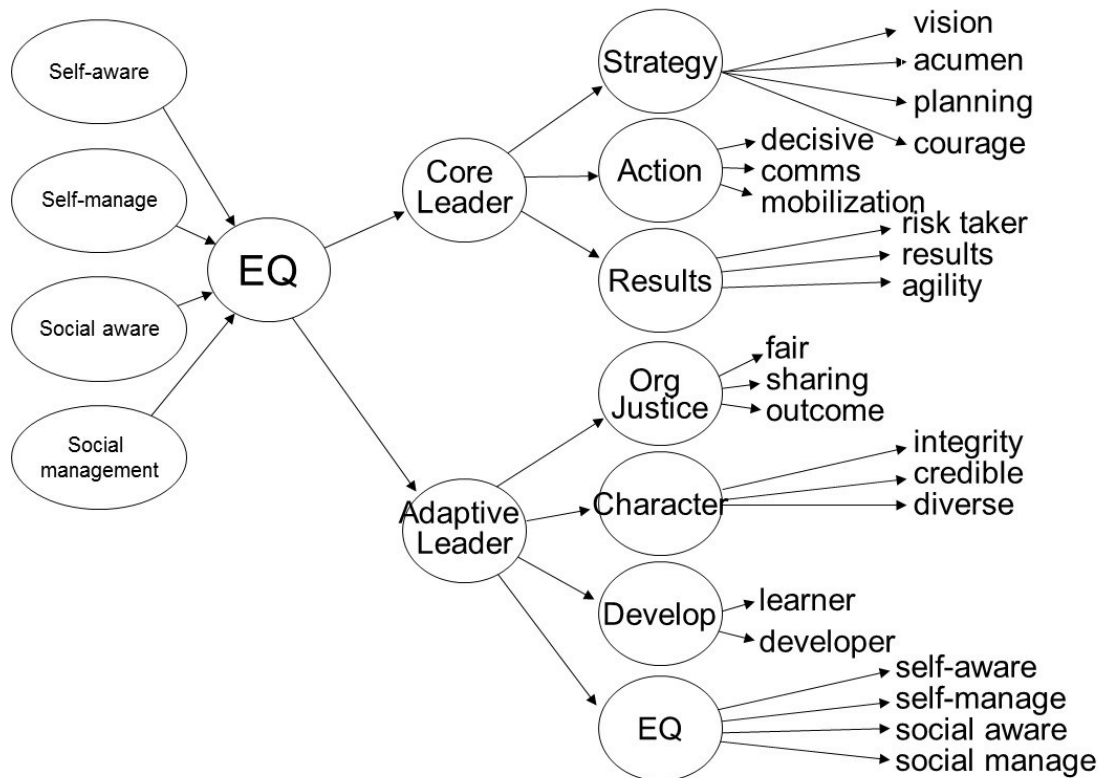
Research question 4. Will there be any significant relationships between the four pillars of EQ (self-aware, self-manage, social aware, and social management) and the 22 skills of core and adaptive leadership (vision, acumen, planning, courage, decisive, communications, mobilization, risk taking, results, agility, self-aware, self-manage, social aware, relations manage, fair, sharing, outcome, integrity, credible, diverse, learner, and developer)?

The relationships between these variables are complex and necessitate powerful statistical techniques to effectively conduct the analysis. SEM was chosen due to the robustness over other techniques such as partial least squares (PLS). A confirmatory factor analysis and full structural model test of the relationship was conducted between the four pillars of EQ (self-aware, self-manage, social aware, and social management), and the 22 skills of core and adaptive leadership (vision, acumen, planning, courage, decisive, communications, mobilization, risk taking, results, agility, self-aware, self-manage, social aware, relations manage, fair, sharing, outcome, integrity,

credible, diverse, learner, and developer); see Figure 1. All factor analysis was conducted using MPlus version 7.11. Using SEM, it is assumed that the data is normally distributed and measured at the interval level and that homoscedasticity applies (Kline, 2005).

Using SEM, the hypothesis is represented in a causal model and then tested against measured data to determine how well the model fits the data. Several statistics and goodness-of-fit indices were used to evaluate overall model fit. According to Hu and Bentler (1998) and Kline (2005), Comparative Fit Index (CFI) values of .95 and above indicate good model fit. Root Mean Square Error of Approximation (RMSEA) values of less than .05 indicate good model fit, values less than .08 indicate reasonable fit, and values less than .10 indicate poor fit. In addition, Standardized Root Mean Square Residual (SRMR) values of less than .08 indicate good model fit.

Figure 1: Structural Equation Model Depicting Emotional Intelligence and Core and Adaptive Leadership Skills



CHAPTER III

Results

This quantitative research study had several purposes: to examine the relationship of EQ (predictor variable) and leadership effectiveness (criterion variable) among COs of U.S. Navy warships; to examine any differences in EQ scores by the COs' ship type, commissioning source, education level, rank, and gender; to examine any differences in COs' leadership effectiveness as assessed by the XO's and the COs' ship type, commissioning source, education level, rank, and gender; and finally, to examine the specific relationship between the four pillars of EQ and the 22 Core and Adaptive Leadership Model skills. Four research questions guided this study:

1. Will there be a positive correlation between CO EQ and leadership effectiveness?
2. Will there be any differences in CO EQ based on the CO's ship type, commissioning source, education level, rank, or gender?
3. Will there be any differences in CO leadership effectiveness and the CO's ship type, commissioning source, education level, rank, or gender?
4. Will there be any significant relationships between the four pillars of EQ and the 22 skills of core and adaptive leadership?

Demographic Profile of Participants

E-mail invitations were sent to all 125 U.S. Navy surface fleet COs and XO's to participate in the research study. Responses were received from 75 COs and 71 XO's for response percentages of 60% and 57% respectively. Of that mix, however, there were 62 complete matches of COs and their respective XO's (50%). There were 13 COs who participated in the study whose XO's chose not to participate. Further, there were 9 XO's who participated in the study whose COs chose not to participate.

As shown in Table 1, of the 75 COs, the demographics by ship type were: Cruiser ($n = 15$, 20%), Destroyer ($n = 30$, 40%), Frigate ($n = 10$, 13.3%), and Amphibious ($n = 20$, 26.7%).

Table 1: CO Demographics by Ship Type

<i>Ship_type</i>		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Cruiser	15	20.0	20.0	20.0
	Destroyer	30	40.0	40.0	60.0
	Frigate	10	13.3	13.3	73.3
	AMPHIB	20	26.7	26.7	100.0
	Total	75	100.0	100.0	

Table 2 shows that the CO demographics by commissioning source were: USNA ($n = 33$, 44%), NROTC ($n = 29$, 38.7%), and OCS ($n = 13$, 17.3%).

Table 2: CO Demographics by Commissioning Source

<i>Comm_Source</i>		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	USNA	33	44.0	44.0	44.0
	ROTC	29	38.7	38.7	82.7
	OCS/Other	13	17.3	17.3	100.0
	Total	75	100.0	100.0	

As shown in Table 3, CO demographics by rank were as follows: Captain ($n = 25$, 33.3%) and Commander ($n = 50$, 66.7%).

Table 3: CO Demographics by Rank

<i>Rank</i>		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Captain	25	33.3	33.3	33.3
	Commander	50	66.7	66.7	100.0
	Total	75	100.0	100.0	

Table 4 illustrates the COs' demographics by education level: no degree ($n = 1$, 1.3%), bachelor's degree ($n = 1$, 1.3%), and master's degree ($n = 73$, 97.3%).

Table 4: CO Demographics by Education Level

<i>Education</i>		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	None	1	1.3	1.3	1.3
	Bachelor	1	1.3	1.3	2.7
	Master	73	97.3	97.3	100.0
	Total	75	100.0	100.0	

CO demographics by gender are illustrated in Table 5: male ($n = 66$, 88%) and female ($n = 9$, 12%).

Table 5: CO Demographics by Gender

<i>Gender</i>		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Male	66	88.0	88.0	88.0
	Female	9	12.0	12.0	100.0
	Total	75	100.0	100.0	

Descriptive Statistics

COs completed TalentSmart's 360° Refined Self-Assessment survey to measure their EQ. An individual score was calculated for each of the four EQ pillars (self-aware, self-manage, social aware, and social management), and an overall score was calculated. XO's completed TalentSmart's 360° Refined Rater-Assessment survey of their CO's leadership to measure the 22 skills of core and adaptive leadership.

Testing of Hypotheses

Research question 1. The first research question sought to find out what, if any, correlation exists between a CO's self-assessed EQ and his or her XO-assessed leadership effectiveness. The null hypothesis tested was no correlation exists between the EQ and leadership effectiveness of COs. To test the null hypothesis and research question, a Pearson correlation was conducted.

As shown in Table 6, overall CO EQ scores and leadership effectiveness scores are not significantly correlated, $r = (60) = .073, p = .572$. Figure 2 depicts the sample results and correlation results between EQ and leadership effectiveness. The test failed to reject the null hypothesis at the .05 level.

Table 6: Correlation Results

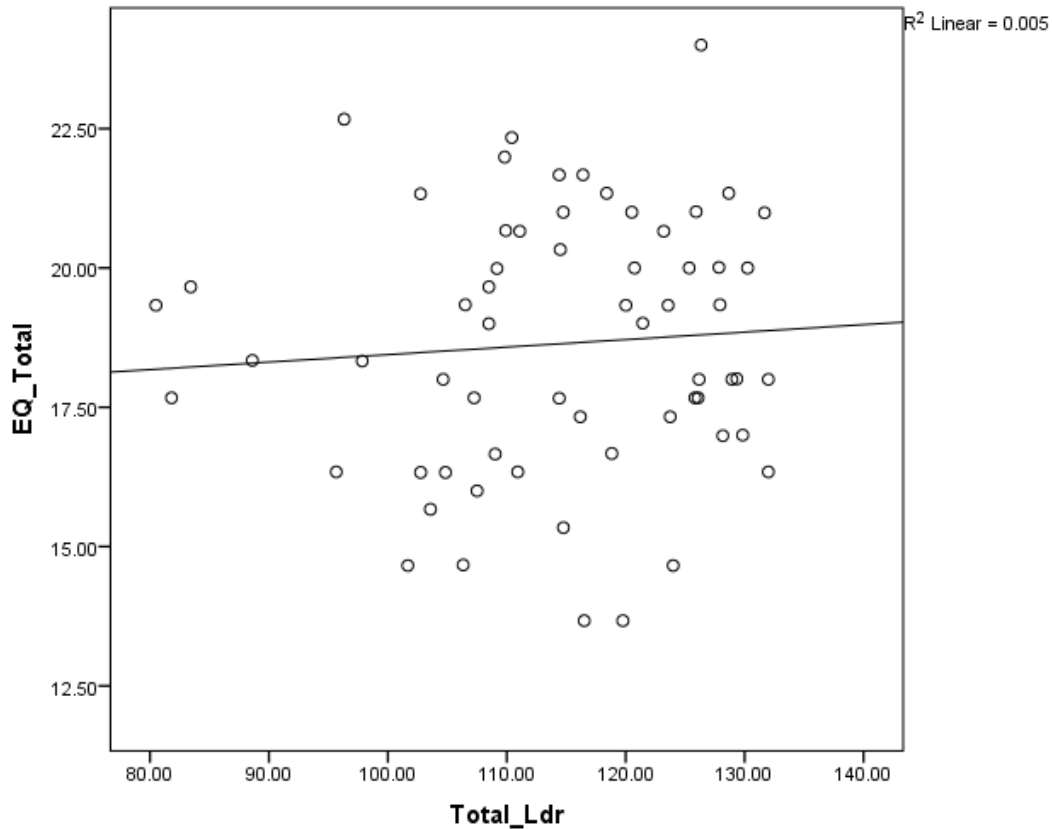
Model Summary^b

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics			Sig. F Change	
					R Square Change	F Change	df1		df2
1	.073 ^a	.005	-.011	12.83203	.005	.324	1	60	.572

a. Predictors: (Constant), EQ_Total

b. Dependent Variable: Total_Ldr

Figure 2: Correlation Scatterplot



Research question 2. The second research question asked, are there any differences in CO self-assessed EQ scores based on ship type, commissioning source, education level, rank, or gender? The null hypothesis tested was there are no differences between CO self-assessed EQ scores and ship type, commissioning source, education level, rank, or gender. To test the null hypothesis and research question, a series of ANOVAs were conducted.

Table 7 shows that the difference between EQ and ship type is not significant, $F(3, 71) = 2.04, p = .116$.

Table 7: EQ and Ship Type Results

Univariate Tests

Dependent Variable: EQ_Total

	Sum of Squares	df	Mean Square	F	Sig.	Partial Eta Squared
Contrast	29.019	3	9.673	2.038	.116	.079
Error	336.939	71	4.746			

The F tests the effect of Ship_type. This test is based on the linearly independent pairwise comparisons among the estimated marginal means.

Table 8 shows that the difference between EQ and commissioning source is not significant, $F(2, 72) = .93, p = .399$.

Table 8: EQ and Commissioning Source Results

Univariate Tests

Dependent Variable: EQ_Total

	Sum of Squares	df	Mean Square	F	Sig.	Partial Eta Squared
Contrast	9.219	2	4.610	.930	.399	.025
Error	356.739	72	4.955			

The F tests the effect of Comm_Source. This test is based on the linearly independent pairwise comparisons among the estimated marginal means.

The ANOVA for education level was not conducted because 73 of the 75 COs earned master's degrees.

As shown in Table 9, the difference between EQ and rank is not significant, $F(1, 73) = .193, p = .169$.

Table 9: EQ and Rank Results

Univariate Tests

Dependent Variable: EQ_Total

	Sum of Squares	df	Mean Square	F	Sig.	Partial Eta Squared
Contrast	9.435	1	9.435	1.932	.169	.026
Error	356.523	73	4.884			

The F tests the effect of Rank. This test is based on the linearly independent pairwise comparisons among the estimated marginal means.

Finally, Table 10 shows that the difference between EQ and gender is not significant, $F(1, 73) = 1.815, p = .182$.

Table 10: EQ and Gender Results

Univariate Tests

Dependent Variable: EQ_Total

	Sum of Squares	df	Mean Square	F	Sig.	Partial Eta Squared
Contrast	8.876	1	8.876	1.815	.182	.024
Error	357.082	73	4.892			

The F tests the effect of Gender. This test is based on the linearly independent pairwise comparisons among the estimated marginal means.

Overall, there are no significant differences between CO EQ scores and ship type, commissioning source, education level, rank, or gender. The tests failed to reject the null hypotheses at the .05 level.

Research question 3. The third research question asked, are there any differences in COs' XO-assessed leadership effectiveness and ship type, commissioning source, education level, rank, or gender? A series of ANOVAs were conducted.

The null hypothesis tested was there are no differences between COs' XO-assessed

leadership effectiveness and ship type, commissioning source, education level, rank, or gender. To test the null hypothesis and research question, a series of ANOVAs was conducted.

As shown in Table 11, the difference between leadership effectiveness and ship type is not significant, $F(3, 58) = .234, p = .872$.

Table 11: Leadership Effectiveness and Ship Type Results

Univariate Tests

Dependent Variable: Total_Ldr

	Sum of Squares	df	Mean Square	F	Sig.	Partial Eta Squared
Contrast	118.843	3	39.614	.234	.872	.012
Error	9814.094	58	169.209			

The F tests the effect of Ship_type. This test is based on the linearly independent pairwise comparisons among the estimated marginal means.

Table 12 and Table 13 show that the difference between leadership effectiveness and commissioning source was significant, $F(2, 59) = 3.579, p = .034$. COs commissioned via NROTC scored lower on leadership effectiveness than COs commissioned via the USNA and OCS.

Table 12: Leadership Effectiveness and Commissioning Source Results

Univariate Tests

Dependent Variable: Total_Ldr

	Sum of Squares	df	Mean Square	F	Sig.	Partial Eta Squared
Contrast	1074.616	2	537.308	3.579	.034	.108
Error	8858.322	59	150.141			

The F tests the effect of Comm_Source. This test is based on the linearly independent pairwise comparisons among the estimated marginal means.

Table 13: Commissioning Source Differences Results

Pairwise Comparisons

Dependent Variable: Total_Ldr

(I) Comm_Source	(J) Comm_Source	Mean Difference (I-J)	Std. Error	Sig. ^b	95% Confidence Interval for Difference ^b	
					Lower Bound	Upper Bound
USNA	ROTC	8.140*	3.421	.021	1.294	14.986
	OCS/Other	-1.575	4.493	.727	-10.567	7.416
ROTC	USNA	-8.140*	3.421	.021	-14.986	-1.294
	OCS/Other	-9.715*	4.641	.041	-19.003	-.428
OCS/Other	USNA	1.575	4.493	.727	-7.416	10.567
	ROTC	9.715*	4.641	.041	.428	19.003

Based on estimated marginal means

*. The mean difference is significant at the .05 level.

b. Adjustment for multiple comparisons: Least Significant Difference (equivalent to no adjustments).

The ANOVA for leadership effectiveness and education level was not conducted because 73 of the 75 COs earned master's degrees.

Table 14 shows that the difference between leadership effectiveness and rank was not significant, $F(1, 60) = .747, p = .391$.

Table 14: Leadership Effectiveness and Rank Results

Univariate Tests

Dependent Variable: Total_Ldr

	Sum of Squares	df	Mean Square	F	Sig.	Partial Eta Squared
Contrast	122.185	1	122.185	.747	.391	.012
Error	9810.752	60	163.513			

The F tests the effect of Rank. This test is based on the linearly independent pairwise comparisons among the estimated marginal means.

The difference between leadership effectiveness and gender is not significant, $F(1, 60) = .001, p = .982$ (see Table 15).

Table 15: Leadership Effectiveness and Gender Results

Univariate Tests

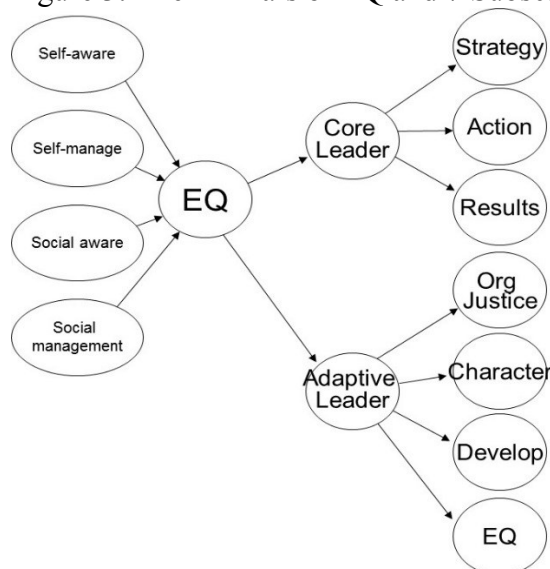
Dependent Variable: Total_Ldr

	Sum of Squares	df	Mean Square	F	Sig.	Partial Eta Squared
Contrast	.083	1	.083	.001	.982	.000
Error	9932.854	60	165.548			

The F tests the effect of Gender. This test is based on the linearly independent pairwise comparisons among the estimated marginal means.

Research question 4. The final research question asked, will there be any significant relationships between the four pillars of EQ and the 22 skills of core and adaptive leadership? This study attempted to use SEM to examine the relationships between EQ and leadership effectiveness. However, the sample size of those participating in the research study was too small to use the SEM statistical analysis technique. Instead, the 22 leadership effectiveness skills were consolidated into the seven higher-order subscales in TalentSmart's 360° Refined Core and Adaptive Leadership Model: the three core leadership categories of *strategy*, *action*, and *results*, and the four adaptive leadership categories of *organizational justice*, *character*, *development*, and *EQ* (see Figure 3).

Figure 3: The 4 Pillars of EQ and 7 Subscales of Core and Adaptive Leadership



The results of the complex relationship test between the four pillars of EQ and the seven subscales of core and adaptive leadership skills are not significant: EQ_self $F(4, 1) = .619, p = .738$, EQ_control $F(4, 1) = .950, p = .477$, EQ_others $F(4, 1) = .342, p = .931$, EQ_MGMT $F(4, 1) = 1.53, p = .178$.

Table 16 and Table 17 present the results of the multivariate regression performed.

Although the overall relationship between EQ and leadership effectiveness subscales were not significant, it is noted that this multiple-group one-way ANOVA between-group comparison reveals three significant relationships: CO EQ emotions self-management or control is significantly related to the XO's overall EQ assessment of the CO $F(4, 1) = 4.259, p = .044$; CO EQ relationship or social management is significantly related to the XO's leadership effectiveness assessment of the CO in the core leadership *action* subscale, which includes decision making, communications, and mobilizing others, $F(4, 1) = 4.615, p = .036$; and the CO EQ relationship or social management is significantly related to the XO's leadership effectiveness assessment of the CO in the adaptive leadership *organizational justice* subscale, which includes decision fairness, information sharing, and outcome concern, $F(4, 1) = 4.603, p = .036$. Type one error (effect or relationship exists when in fact it does not) sensitivity must be considered with these result outcomes.

Table 16: Overall EQ and Leadership Effectiveness Regression Analysis

Multivariate Tests^a

Effect		Value	F	Hypothesis df	Error df	Sig.	Partial Eta Squared
Intercept	Pillai's Trace	.683	15.715 ^b	7.000	51.000	.000	.683
	Wilks' Lambda	.317	15.715 ^b	7.000	51.000	.000	.683
	Hotelling's Trace	2.157	15.715 ^b	7.000	51.000	.000	.683
	Roy's Largest Root	2.157	15.715 ^b	7.000	51.000	.000	.683
EQ_self	Pillai's Trace	.078	.619 ^b	7.000	51.000	.738	.078
	Wilks' Lambda	.922	.619 ^b	7.000	51.000	.738	.078
	Hotelling's Trace	.085	.619 ^b	7.000	51.000	.738	.078
	Roy's Largest Root	.085	.619 ^b	7.000	51.000	.738	.078
EQ_Control	Pillai's Trace	.115	.950 ^b	7.000	51.000	.477	.115
	Wilks' Lambda	.885	.950 ^b	7.000	51.000	.477	.115
	Hotelling's Trace	.130	.950 ^b	7.000	51.000	.477	.115
	Roy's Largest Root	.130	.950 ^b	7.000	51.000	.477	.115
EQ_Others	Pillai's Trace	.045	.342 ^b	7.000	51.000	.931	.045
	Wilks' Lambda	.955	.342 ^b	7.000	51.000	.931	.045
	Hotelling's Trace	.047	.342 ^b	7.000	51.000	.931	.045
	Roy's Largest Root	.047	.342 ^b	7.000	51.000	.931	.045
EQ_MGMT	Pillai's Trace	.174	1.530 ^b	7.000	51.000	.178	.174
	Wilks' Lambda	.826	1.530 ^b	7.000	51.000	.178	.174
	Hotelling's Trace	.210	1.530 ^b	7.000	51.000	.178	.174
	Roy's Largest Root	.210	1.530 ^b	7.000	51.000	.178	.174

a. Design: Intercept + EQ_self + EQ_Control + EQ_Others + EQ_MGMT

b. Exact statistic

Table 17: EQ Pillars and Leadership Subscales Comparison Results

Tests of Between-Subjects Effects							
Source	Dependent Variable	Type III Sum of Squares	df	Mean Square	F	Sig.	Partial Eta Squared
Corrected Model	Strategy	.738 ^a	4	.184	.559	.693	.038
	action	2.867 ^b	4	.717	1.695	.164	.106
	results	.325 ^c	4	.081	.264	.900	.018
	Adap_EQ	3.723 ^d	4	.931	1.426	.237	.091
	Adap_OJ	4.271 ^e	4	1.068	1.803	.141	.112
	Adap_ch	.635 ^f	4	.159	.571	.685	.039
	Adap_dev	2.527 ^g	4	.632	1.166	.335	.076
Intercept	Strategy	21.630	1	21.630	65.591	.000	.535
	action	20.141	1	20.141	47.622	.000	.455
	results	17.919	1	17.919	58.104	.000	.505
	Adap_EQ	13.240	1	13.240	20.285	.000	.262
	Adap_OJ	21.404	1	21.404	36.146	.000	.388
	Adap_ch	19.348	1	19.348	69.578	.000	.550
	Adap_dev	19.126	1	19.126	35.311	.000	.383
EQ_self	Strategy	.008	1	.008	.026	.873	.000
	action	.367	1	.367	.869	.355	.015
	results	.050	1	.050	.162	.689	.003
	Adap_EQ	.147	1	.147	.225	.637	.004
	Adap_OJ	1.350	1	1.350	2.280	.137	.038
	Adap_ch	.029	1	.029	.105	.747	.002
	Adap_dev	.229	1	.229	.423	.518	.007
EQ_Control	Strategy	.331	1	.331	1.003	.321	.017
	action	.766	1	.766	1.812	.184	.031
	results	.196	1	.196	.634	.429	.011
	Adap_EQ	2.780	1	2.780	4.259	.044	.070
	Adap_OJ	.195	1	.195	.329	.568	.006
	Adap_ch	.498	1	.498	1.790	.186	.030
	Adap_dev	1.450	1	1.450	2.677	.107	.045
EQ_Others	Strategy	.008	1	.008	.023	.879	.000
	action	.000	1	.000	.001	.980	.000
	results	.092	1	.092	.299	.587	.005
	Adap_EQ	.211	1	.211	.324	.571	.006
	Adap_OJ	.005	1	.005	.009	.925	.000
	Adap_ch	.070	1	.070	.251	.618	.004
	Adap_dev	.248	1	.248	.459	.501	.008
EQ_MGMT	Strategy	.564	1	.564	1.709	.196	.029
	action	1.952	1	1.952	4.615	.036	.075
	results	.091	1	.091	.294	.590	.005
	Adap_EQ	1.103	1	1.103	1.689	.199	.029
	Adap_OJ	2.726	1	2.726	4.603	.036	.075
	Adap_ch	.157	1	.157	.566	.455	.010
	Adap_dev	1.225	1	1.225	2.261	.138	.038
Error	Strategy	18.797	57	.330			
	action	24.107	57	.423			
	results	17.579	57	.308			
	Adap_EQ	37.206	57	.653			
	Adap_OJ	33.753	57	.592			
	Adap_ch	15.851	57	.278			
	Adap_dev	30.875	57	.542			
Total	Strategy	1778.728	62				
	action	1732.981	62				
	results	1638.694	62				
	Adap_EQ	1571.043	62				
	Adap_OJ	1632.809	62				
	Adap_ch	1909.185	62				
	Adap_dev	1721.445	62				
Corrected Total	Strategy	19.534	61				
	action	26.975	61				
	results	17.904	61				
	Adap_EQ	40.929	61				
	Adap_OJ	38.024	61				
	Adap_ch	16.486	61				
	Adap_dev	33.401	61				

a. R Squared = .038 (Adjusted R Squared = -.030)

b. R Squared = .106 (Adjusted R Squared = -.044)

c. R Squared = .018 (Adjusted R Squared = -.051)

d. R Squared = .091 (Adjusted R Squared = -.027)

e. R Squared = .112 (Adjusted R Squared = -.050)

f. R Squared = .039 (Adjusted R Squared = -.029)

g. R Squared = .076 (Adjusted R Squared = -.011)

Other Findings

Overall commanding officer emotional intelligence and leadership. Additional tests to compare CO EQ and leadership effectiveness were compared with the TalentSmart database means to determine any differences between the COs and their civilian counterparts (Table 18). CO EQ ($n = 75$) obtained means measured significantly higher than average on TalentSmart's 360° Refined ($n = 500$) overall EQ and each of the four EQ pillars ($\alpha < .05$). Effect sizes (η^2) were established as small (2%), medium (15%), and large (35%) (Cohen et al., 2003). The results were medium effect size with the exception of EQ social awareness of 8.5%. Additionally, to account for possible inflated type I error (multiplicity problem), a Bonferonni inequality adjustment ($\alpha < .001$) resulted in all findings significant $p = .000$ (Cohen et al., 2003).

Table 18: CO EQ and TalentSmart EQ Database Comparison

EQ	TalentSmart Mean	TalentSmart Standard Deviation	COs Mean	COs Standard Deviation	<i>F</i>	<i>p</i>	η^2
EQ self	3.55	.79	4.56	.87	103.748	.000	.153
EQ manage	3.85	.78	4.91	.64	125.751	.000	.180
EQ aware	3.71	.84	4.46	.74	53.539	.000	.085
EQ relations	3.93	.66	4.77	.53	110.720	.000	.162
Overall EQ	3.88	.61	4.67	.56	111.652	.000	.163

Secondly, CO leadership effectiveness as assessed by the XOs was also compared with the TalentSmart database (Table 19). The XOs ($n = 71$) assessed means of CO leadership effectiveness measured significantly higher than TalentSmart's 360° Refined core and adaptive leadership database mean averages. Effect sizes (η^2) of small (2%), medium (15%), and large (35%) (Cohen et al., 2003) were again used. The findings were all medium to large effect size. Again, to account for possible inflated type I error (multiplicity problem), a Bonferonni

inequality adjustment ($\alpha < .001$) resulted in all findings significant $p = .000$ (Cohen et al., 2003).

Table 19: XO-Assessed CO Leadership Effectiveness and TalentSmart Leadership Effectiveness Database

Leadership Effectiveness	TalentSmart Mean	TalentSmart Standard Deviation	XO-Assessed Mean	XO-Assessed Standard Deviation	<i>F</i>	<i>p</i>	η^2
Core leadership	3.90	.54	5.22	.56	368.078	.000	.393
Core strategy	3.86	.57	5.31	.58	400.582	.000	.413
Core action	3.95	.58	5.21	.69	279.150	.000	.329
Core results	3.93	.58	5.11	.56	259.500	.000	.329
Adaptive leadership	3.90	.59	5.17	.69	275.601	.000	.33
Adaptive organization justice	3.74	.61	5.06	.80	267.438	.000	.32
Org. justice decision fairness	3.77	.63	5.11	.76	266.350	.000	.32
Org. justice info sharing	3.68	.71	5.16	.88	253.429	.000	.31
Org. justice outcome concern	3.78	.72	4.9	1.04	132.704	.000	.189
Adaptive EQ	3.88	.61	4.98	.82	183.911	.000	.244
EQ self-awareness	3.55	.79	4.69	1.12	115.156	.000	.168
EQ self-manage	3.85	.78	5.16	.76	176.465	.000	.237
EQ social aware	3.71	.84	4.80	1.02	98.912	.000	.148
EQ relation manage	3.93	.66	5.25	.72	243.004	.000	.299
Adaptive character	4.09	.59	5.52	.56	369.733	.000	.394
Adaptive development	3.89	.66	5.22	.78	240.721	.000	.297

Qualitative Analysis

The literature review revealed an inconsistent relationship between EQ and leadership effectiveness. The findings of this study reveal that there is no significant overall relationship between CO EQ and leadership effectiveness. However, in light of the paucity of research available on active duty COs, a modified thematic (qualitative) analysis was conducted to explore the results and to provide further possible insights, and explanations, of the obtained results and identify areas for additional research study.

A team of five retired Naval officers who commanded Navy ships while on active duty were assembled and presented with the study purpose and design and the four research questions. The qualitative findings represent the results of data from the ensuing conversation that was collected, transcribed, and analyzed for themes to help understand the relationship between CO EQ and leadership effectiveness, and the EQ and leadership effectiveness results by ship type, commissioning source, education level, rank, and gender were examined by the former officers. These officers provided valuable feedback and insights on the study's results. Discussion questions presented to the officers dealt with the perceived applicability of EQ and leadership effectiveness research theory to COs commanding Navy ships in various stages of Navy operations. The examination of the EQ and leadership effectiveness results focused on ship type, commissioning source, education level, rank, and gender. Lastly, the relationships of the four CO EQ scores (self-awareness, self-management or -control, social awareness, and relationship management) and the COs' leadership effectiveness as assessed on the core and adaptive leadership subscales by XO's were also examined by these officers.

To maintain the confidentiality of these former Navy officers, their responses were consolidated. Interview questions 1 through 8 (Appendix F) directly elicited these former Navy

officers' perceptions of EQ and leadership effectiveness in the Navy.

Question 1: What do you perceive to be the applicability of emotional intelligence and leadership effectiveness research theory to commanding officers of Navy ships?

Responses: EQ is an important aspect of being a CO. While technical skills diminish and EQ assumes a more prominent role as leaders ascend the corporate ladder in the civilian sector, the panel of officers agreed that Navy COs must continue to possess professional technical skills in addition to improved EQ to effectively command ships.

Question 2: Why do you think there was essentially no correlation predictability of commanding officer emotional intelligence and executive officer assessed leadership effectiveness?

Responses: COs of ships are unique in that they are inescapably responsible and accountable for all aspects of a warship, including naval operations, readiness, performance, and even behavior of the crew. With that responsibility and accountability comes great authority. Therefore, the lack of a relationship between EQ and leadership effectiveness may be attributable to the extensive responsibility, accountability, and authority given to COs. As a result, the CO's authority and direction to the officers and crew to achieve successful results may not necessarily illustrate leadership effectiveness nor EQ.

Question 3: What reasons can you ascribe to the fact that there were no significant differences in commanding officer emotional intelligence scores and ship type, commissioning source, rank, and gender?

Responses: Overall, this is a good-news story. The Navy goes to great lengths to ensure COs are well trained and have the requisite experience to assume the duties of command regardless of their diverse backgrounds.

Question 4: What are your perceptions of the executive officer assessed leadership effectiveness

of the commanding officers by ship type, commissioning source, rank, and gender?

4b. What about the significant finding identifying a higher effectiveness of US Naval Academy (USNA) and Officer Candidate School (OCS) graduates than Reserve Officer Training Corps (ROTC) graduates?

Responses: Similar to Question 3, the lack of difference in ship type, rank, and gender happily indicates consistent leadership effectiveness regardless of the CO's background. However, the finding that ROTC graduates scored significantly lower in leadership effectiveness than USNA and OCS graduates was puzzling to the panel. They opined that there may be a bias towards ROTC COs by XOs who are USNA or OCS alumni. Further, the affiliation of USNA and OCS graduates to the Navy at large may be an influence in how these officers perceive the leadership effectiveness of ROTC-graduate COs. Perhaps the ROTC units across the nation may also vary in their ability to affiliate aspiring officers with the Navy. Additional research would need to be done that includes both CO and XO commissioning sources to help pinpoint these differences. Finally, there are other intangibles that may influence results, such as the current assignment of the ship in the operational cycle (in a shipyard maintenance period, a long deployment away from home, or arduous workup training), the length of time the CO has been in command, the length of time the XO has been in the job, and the overall length of time the CO and XO have served together.

Question 5: What are your perceptions of the relationship between CO's 4 EQ pillars and the XO's assessment of CO leadership effectiveness using the seven core and adaptive leadership subscales?

5b. What are your thoughts on the significant relationship between the CO EQ pillar of emotions self-control and the XO's assessed CO overall emotional intelligence? Why not the

other pillars?

Responses: The finding of the CO's EQ self-control, or self-management, score being related to the XO's overall *EQ* subscale is believed to be intuitively obvious. What piques interest is that there are no significant findings between the other pillars of the CO's EQ (self-awareness, social awareness, and relationship management) and the XO's assessed overall *EQ* subscale. No additional feedback was provided.

Question 6: What are your thoughts on the significant relationship between the CO's emotional intelligence relationship management and the XO-assessed CO core leadership *action* subscale (decision making, communications, and mobilization)?

Responses: The CO's EQ relationship management and the significant findings with the XO's assessment in the core leadership *action* subscale (which includes decision making, communications, and mobilizing others) indicates the EQ skill social management has important impacts with the core leadership *action* subscale when dealing with subordinates. Understanding these relationships and personal interactions are the foundation of effective leadership.

Question 7: What are your thoughts on the significant findings between the CO's EQ relationship management and the XO's assessed CO adaptive leadership *organizational justice* subscale (decision fairness, information sharing, and outcome concern)?

Responses: The adaptive leadership *organizational justice* subscale points to the importance of the CO's EQ relationship management ability and the CO's leadership in achieving successful results. Navy crews look closely to the CO's leadership for perceived justice, fairness, and consistency within a command. As with Question 6 herein, understanding personal relationships again is affirmed as an important tenet of leadership.

Question 8: What topics should be examined in future studies?

Responses: The lack of a significant correlation between overall EQ and leadership effectiveness warrants additional study. Because the lack of correlation may have been caused, in part, by possible biases between the CO and XO, replicating the study using another important leader in the command triad team—the command master chief (CMC)—as the leadership effectiveness rater may help eliminate any bias. The CMC is the highest-ranking enlisted member on board the ship and represents the interests of the crew and provides feedback and recommendations to the CO. This senior non-commissioned officer may be a better source for unbiased leadership effectiveness feedback.

ROTC graduates scoring lower than their USNA and OCS counterparts should be studied. This finding should be researched to determine if specific reasons can be identified and efforts implemented to allay those differences throughout the college and university system in the United States.

CHAPTER IV

Discussion

Summary of Key Findings

There were four research questions related to EQ and leadership effectiveness. The literature review indicates an inconsistent relationship between EQ and leadership effectiveness. This study confirms that CO EQ is not significantly related to CO leadership effectiveness as assessed by the XO. Although causation should never be associated with correlation, there can be some predictive conclusions that can be inferred with a significant finding. In this case, EQ does not predict leadership effectiveness of COs of ships in the Navy.

This study identifies insignificant differences between CO-assessed EQ scores by the demographics of ship type, commissioning source, rank, and gender. Education level was not tested due to the fact that 73 of 75 COs possessed master's degrees. These results indicate that Navy training and years of experience combine to develop COs that are consistently trained and prepared as COs despite the wide range of diverse backgrounds. This can be classified as a good-news story.

Furthermore, this study examines XO-assessed leadership effectiveness of COs for differences by demographics of ship type, commissioning source, rank, and gender. Education level was not tested for the reason stated above. Despite insignificant differences by ship type, rank, and gender, leadership effectiveness by commissioning source was significant. COs commissioned via NROTC scored significantly lower than COs commissioned via USNA and OCS. Because there is very little research information available, a qualitative examination of the results was conducted by interviewing five retired Navy officers who had at least one previous command tour while on active duty. Questions were posited to these retired officers and their

responses point to the possible degree of affiliation to the Navy during the commissioning process. They opined that USNA and OCS prospective officers attend Navy facilities and become more inculcated into the Navy culture, whereas ROTC prospective officers may not be inculcated into the Navy culture to the same degree while they are being educated on university campuses. Further, the ROTC units throughout the country may vary widely in their ability to develop an affiliation with Navy and military life. Despite their lower leadership effectiveness scores, the ROTC graduate COs performed well enough throughout their careers to achieve selection for appointment as a CO. Additionally, perhaps biases of XO's from differing commissioning sources may also influence lower leadership scores.

CO EQ self-management is significantly related to the XO-assessed overall CO EQ, and CO EQ relationship management is significantly related to the XO-assessed CO core leadership *action* subscale (decision making, communications, and mobilizing others) and the adaptive leadership *organizational justice* subscale (decision fairness, information sharing, and outcome concern). These relationships confirm that EQ is an essential component in the relationship aspects of leadership that are based on human interactions.

The examination of CO EQ and XO-assessed CO leadership effectiveness scores reveals that CO EQ and leadership effectiveness means were significantly higher than TalentSmart's database means compiled from hundreds of assessed business managers and executives. These results may indicate that COs are provided ample opportunities to develop and exercise EQ and leadership during years of demanding and arduous Navy operations.

In a review of the current literature for possible additional explanations on the EQ and leadership effectiveness findings, a recently published meta-analysis by Ybarra et al. (2014) was discovered that proffers that:

The predictive validity of emotional intelligence can be enhanced by refining the construct through the incorporation of three well-established principles of psychological processing: (a) dual-process principles that capture automatic and deliberate processing, (b) motivational principles that highlight the importance of goals for processing social-emotional information, and (c) person X situation principles that delineate how context influences the way people think, feel, and behave. (p. 93)

Essentially, Ybarra et al. (2014) suggest a more adaptive model for measuring EQ to improve its predictive utility. EQ elements may align and interact differently based on other factors, rendering EQ as adaptive and not necessarily linear. This may help explain why some thought to have high EQ may not exhibit high-EQ behaviors in every situation. By capturing more comprehensive factors that may moderate EQ behavior, improved EQ predictive ability may occur (Ybarra et al., 2014, p. 103). The meta-analysis conclusions will likely be an important contribution in the study of EQ and may create the ability to obtain better EQ measurement and consistency.

Discussion and Conclusions

The study failing to find an overall significant relationship between EQ and leadership effectiveness of U.S. Navy COs indicates that, as tested, higher EQ does not have a predictive effect on higher leadership effectiveness. However, some aspects of EQ, particularly EQ self-control and social relations management, do have significant relationships with leadership's core *action* subscale and adaptive *organizational justice* subscale. The results indicate an important link between EQ and leadership and provide evidence to support EQ's contribution to improved personal and professional relationships.

The results of this study must consider overall sample size. While data was obtained from

50% of the entire population of U.S. Navy COs, the total sample size examining the EQ and leadership effectiveness relationships was only 62.

Implications

The lack of significant findings associated with overall EQ and leadership effectiveness, and by the demographics of ship type, commissioning source, education level, rank, and gender, is indicative of Navy's unbiased officer career path policies. Regardless of the approach taken, sustained superior performance provides an equal path to attain selection as a CO.

The results that identify COs commissioned via USNA and OCS as scoring higher than CO ROTC graduates should be examined more closely. Ideally, all COs should score similarly, regardless of the commissioning source.

Future Research

This researcher is an advocate for EQ training in the military and especially for U.S. Navy officers. Understanding the emotional aspects of oneself and having an appreciation of other's emotions in an operational command is a worthy pursuit and undoubtedly contributes to better leadership effectiveness.

EQ and leadership effectiveness understanding, in this researcher's opinion, is still in its infancy and much remains to be learned and implemented. The Navy is a prime target for additional effort in this area. Better EQ understanding and training may make lasting contributions to improved interpersonal relations among officers and crews of U.S. Navy ships.

This study should be replicated utilizing a command master chief (CMC) as the leadership effectiveness rater in order to dispel possible underlying biases between the CO and XO that may have adversely affected this study's results.

Furthermore, additional research must be conducted to confirm or refute the findings of

ROTC-commissioned COs scoring lower than COs commissioned via USNA and OCS.

Recommendations

EQ ability in this study has been shown to contribute to leadership effectiveness, although not in the resounding fashion hypothesized. EQ self-management and social (relationship) management was significantly linked to those skills of core and adaptive leadership dealing with taking action and organizational justice. These subscales involve relationships, communications, and perceived fairness and they resonate strongly with subordinates. Higher EQ of COs, officers, and crew benefits all and contributes to mission effectiveness. “By being aware of their own emotions and the emotions of others, leaders can gain control of their emotions instead of becoming victims of them” (Ingram & Cangemi, 2012, p. 777). It is highly recommended that Navy institute EQ training in officer and senior enlisted training programs.

Epilogue

Achieving Navy success on the high seas has been ensured by effectively leading men and women, not only through using technological sophistication. Commodore John Paul Jones said, “Men [and women] mean more than guns in the rating of a ship” (Dalton, 1998), reaffirming the time-tested leadership tenets: leadership in its basic form is cultivated through human relationships and the foundation of leadership and human relationships is found in EQ.

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Appendix A

Permission from the U.S. Navy to Conduct the Leadership Study



DEPARTMENT OF THE NAVY
COMMANDER, NAVAL SURFACE FORCE
UNITED STATES PACIFIC FLEET
2841 RENDOVA ROAD
SAN DIEGO, CALIFORNIA 92155-5490

IN REPLY REFER TO
1000
Ser N01/115
31 Jan 13

From: Commander, Naval Surface Force, U.S. Pacific Fleet
To: CDR Jerome Provencher, Jr., USN, (ret)

Subj: REQUEST TO CONDUCT A DISSERTATION LEADERSHIP
RESEARCH STUDY

1. Your request to conduct a dissertation leadership research study by surveying commanding officers (CO) and executive officers (XO) of Commander, Naval Surface Force, U.S. Pacific Fleet ships is approved. Participation of Surface Force CO's and XO's remains optional.

2. Upon completion of the dissertation, I ask for a briefing on the results.

A handwritten signature in black ink, appearing to read "F. J. Olmo".

F. J. OLMO
Chief of Staff

Appendix B

Permission to Use an Existing TalentSmart Survey



PERMISSION TO USE AN EXISTING TALENTSMART SURVEY

Date: 02/07/2014

Jerome Provencher, Doctoral Student
Alliant International University
California

Thank you for your request for permission to use the *360 Refined*® survey in your research study. We are willing to allow you to use the instrument, on-line, as indicated in our conversation for a reduced charge of \$ per assessment, with the following understanding:

- You will use these assessments only for your research study and will not sell or use them with any compensated management/curriculum development activities.
- You will purchase one assessment per survey participant. The assessment, scoring, and report will not be reproduced in any way, as in agreement with intellectual property laws. A copy of assessment items may be provided to the IRB committee at your university.
- You will send your completed research study and one copy of reports, articles, and the like that make use of this assessment data promptly to our attention, once complete.
- You will include no more than five sample items in the written copy.

If these are acceptable terms and conditions, please indicate so by signing one copy of this letter and returning it to us.

Best wishes with your study.

Sincerely,

Melissa Oates
Director of Programs and Assessments, TalentSmart
858-509-0582 x115
mjo@talentsmart.com

I understand these conditions and agree to abide by these terms and conditions.

Signed  Date: 2/13/2014

Expected date of completion:

Appendix C

TalentSmart 360° Refined Self-Assessment and Rater-Assessment Examples (Proprietary)



Self-Assessment

360 REFINED

20% completed

Survey Page 1

PLEASE SAVE YOUR RESPONSES OFTEN. Your online session will "time-out" approximately 60 minutes after the last save, and all responses that have not been saved will be lost.

How often do you...

	Never	Rarely	Sometimes	Usually	Almost Always	Always
See possibilities where others typically don't.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Describe an image for the future that is easy for others to see.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Inspire in others a sense of purpose behind their work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Demonstrates a comprehensive understanding of how to get the job done.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Adequately account for implications across functions when taking action.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Rater-Assessment

360 REFINED

20% completed

Survey Page 1

PLEASE SAVE YOUR RESPONSES OFTEN. Your online session will "time-out" approximately 60 minutes after the last save, and all responses that have not been saved will be lost.

Please answer how often you see the following.

First Name Last Name...

	Never	Rarely	Sometimes	Usually	Almost Always	Always
Sees possibilities where others typically don't.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Describes an image for the future that is easy for others to see.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Inspire in others a sense of purpose behind their work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Demonstrates a comprehensive understanding of how to get the job done.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Adequately accounts for implications across functions when taking action.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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Appendix D

Invitation to Participate in the Research Study

Invitation to Participate in the Survey

Captains and Executive Officers,

I am a retired SWO and former CO of USS ELLIOT (DD 967). I currently support Ballistic Missile Defense at COMTHIRDFLT, and I am also a student at Alliant University in San Diego working on a PhD in Global Leadership. I have received permission from VADM Thomas Copeman, COMNAVSURFPAC to conduct a leadership study of Force commanding officers.

The title of my dissertation is: The Relationship of Emotional Intelligence and Navy Commanding Officer Leadership Effectiveness.

An invitation is being sent to all cruiser, destroyer, frigate and amphibious ship COs and XO's to participate in this research. The results of this study may make a meaningful contribution to the Navy's leadership training curriculum.

The study is anonymous and no names will be used. I will, however, need to use hull numbers to track responses by ship class but they will be confidentially held by me and never released.

This study has been reviewed and approved by Alliant International University Institutional Review Board (IRB). The IRB has determined that this study meets the ethical obligations required by federal law and University policies.

Please review the attached informed consent form and if you agree to participate please respond to this email with a yes to the question below.

I agree to participate in the research study: (Yes or No).

For COs, if yes, please complete the following:

Hull number: (ie. CG 47)
Rank: (O-5 or O-6)
Commissioning source: (USNA, ROTC, OCS)
Highest Education level: (bachelor, master or doctorate)
Gender: (M or F)

Soon you will receive an email from TalentSmart, Inc. with a web link and access code to complete the on-line survey instrument.

I very much appreciate your support.

Jerry

Jerome R. Provencher, Jr.
COMTHIRDFLT, Ballistic Missile Defense
(619) 524-9582

Appendix E

Navy Research Study Informed Consent

NAVY LEADERSHIP SURVEY

INFORMED CONSENT

This is a very important form, please read it very carefully before proceeding to the survey. This consent form is an agreement on your part to participate in a research study about leadership and emotional intelligence conducted by Jerome Provencher, M.A., a doctoral student at Alliant International University, San Diego, CA. This study attempts to collect information about emotional intelligence and leadership of U.S. Navy commanding officers. The purpose of this study is to explore the relationship of emotional intelligence as a predictor of leadership effectiveness. The results of this study will be used to provide feedback to the Navy Leadership Training for future prospective commanding officers and executive officers.

I have been asked to participate in this study because I am a commanding officer or an executive officer of a U.S. Navy ship. I am aware that my involvement in this study will take approximately 20 minutes of my time. If you do not meet this survey criterion, I appreciate your time but you do not need to proceed.

Procedures: Commanding officers are asked to complete a self-assessment questionnaire by TalentSmart, Inc about emotional intelligence and leadership, and provide some demographic information that includes: hull number, rank, commissioning source, education level and gender. Executive officers are asked to complete a rater questionnaire by TalentSmart, Inc of the commanding officers leadership. The questionnaires consist of 75 questions and will take approximately 20 minutes to complete. Questions are specifically designed to measure emotional intelligence and leadership effectiveness.

Benefits: There are no direct benefits for participants. However, it is hoped that through your participation, researchers will gain expand the body of leadership knowledge and potentially improve Navy's leadership training.

Confidentiality: All data obtained from participants will be kept confidential and anonymous, and will only be reported in an aggregate format (by reporting only combined results and never reporting individual ones). All questionnaire data will be gathered by TalentsSmart, Inc and provided to the primary investigator and the committee members. There will be no identifiable personal information used with the exception of the hull number of the ship which will be used for tracking information only.

Participation: Participation in this research study is completely voluntary. You have the right to withdraw or refuse to participate at any time without penalty. Questions about the Research: As a participant, you may request a summary of the aggregate results of the study once the study has been completed. If you have questions regarding this study, you may contact the researcher for this study, Jerome Provencher, at (619) 524-9582, or by email at Jerome.Provencher@navy.mil. If you have any other general questions about rights of research participants, you can contact the Alliant International University (San Diego Campus) Institutional Review Board at (858) 635-4741.

I understand that I will have the option to receive a copy of this consent form. I have read and understood the above consent form and agree of my own free will to participate in this study by typing "yes" on the email and returning the email with the demographic data.

Appendix F
Qualitative Discussion Questions

1. What do you perceive to be the applicability of emotional intelligence and leadership effectiveness research theory to commanding officers of Navy ships?
2. Why do you think there was essentially no correlation predictability of commanding officer emotional intelligence and executive officer assessed leadership effectiveness?
3. What reasons can you ascribe to the fact that there were no significant differences in commanding officer emotional intelligence scores and ship type, commissioning source, rank, and gender?
4. What are your perceptions of the executive officer assessed leadership effectiveness of the commanding officers by ship type, commissioning source, rank and gender?
 - 4b. What about the significant finding identifying a higher effectiveness of US Naval Academy (USNA) and Officer Candidate School (OCS) graduates than Reserve Officer Training Corps (ROTC) graduates?
5. What are your perceptions of the relationship between CO's 4 EQ pillars and the XO's assessment of CO leadership effectiveness using the seven core and adaptive leadership subscales?
 - 5b. What are your thoughts on the significant relationship between the CO EQ pillar of emotions self-control and the XO's assessed CO overall emotional intelligence? Why not the other pillars?
6. What are your thoughts on the significant relationship between the CO's EQ relationship management and the XO-assessed CO core leadership *action* subscale (decision making, communications, and mobilization)?

7. What are your thoughts on the significant relationship between the CO's EQ relationship management and the XO's assessed CO adaptive leadership *organizational justice* subscale (decision fairness, information sharing, and outcome concern)?
8. What topics should be examined in future studies?