WALDEN UNIVERSITY

Advanced Knowledge Area Module 5:

Leadership Development

Student: Richard E. Biehl
Program: Applied Management & Decision Sciences
Specialization: Leadership and Organizational Change
Faculty Mentor: Dr. Gary Gemmill
KAM Assessor: Dr. William D. Steeves

May 2004

Advanced KAM 5: Leadership Development

AMDS 8512 – Classical and Emerging Paradigms of Leadership

Abstract - Breadth

The breadth component outlines the core principles of leadership and leadership development, defining several disciplinary models present in the field and literature. After discussing some history and field origins, different perspectives on leadership from the older individual trait-based up to and including more complicated models involving situational management and contingency are discussed. The component closes by exploring more recent integrative models, and introducing the concept of systems theory as applied to leadership.

Advanced KAM 5: Leadership Development

AMDS 8522 – Current Research on Leadership Development

Abstract - Depth

The depth component highlights several conceptual problems in the field of leadership studies before expanding on the systems model introduced in the breadth component. The idea of emergence of leadership across and within an organization as a self-organizing response to complexity within the organization is explored and offered as a view that helps resolve many of the conceptual problems facing the field. The component closes with an overview of leadership in the quality management field, and introduces the Baldrige Award criteria used to model leadership in many organizations in the United States.

Advanced KAM 5: Leadership Development

AMDS 8532 - Professional Practice – Application of a Theory of Leadership Development

Abstract - Application

The application component develops a set of interpretive prompts for evaluating an organizational leadership model, each of three parts an expansion of traditional criteria often associated with leadership and quality in the Baldrige quality program. These prompts are then used to conduct a content analysis of the winning Baldrige award applications of Motorola and Ritz-Carlton. The component closes by discussing findings, limitations of the study grounded in the KAM process, and suggestions for further study.

Walden University   **Doctor of Philosophy Program of Study**

Name: Richard E. Biehl   Student ID Number: 062-50-5682   Enrollment Date: December 1999

Program: AMDS   Specialization: Leadership and Organizational Change

Course Number	Course Title	Quarter to Be Taken	Credits	
Core KAMs				
SBSF 8110	Theories of Societal Development	Winter 2000-2001	5 Done	
AMDS 8122	Cross-cultural Aspects of Organizational Change	Spring 2001	5 Done	
AMDS 8132	Professional Practice and Organizational Change	Spring 2001	4 Done	
SBSF 8210	Theories of Human Development	Winter 2002	5 Done	
AMDS 8222	Leadership and Human Development	Winter 2002	5 Done	
AMDS 8232	Prof. Practice in Leadership and Human Development	Spring 2002	4 Done	
SBSF 8310	Theories of Organizational and Social Systems	Summer 2000	5 Done	
AMDS 8322	Current Research in Organizational Systems	Fall 2000	5 Done	
AMDS 8332	Professional Practice and Organizational Systems	Winter 2000-2001	4 Done	
SBSF 8417	Research Seminar I: Human Inquiry & Science	Winter 1999-2000	4 Done	
AMDS 8427	Research Design in AMDS	Spring 2000	5 Done	
AMDS 8437	Data Analysis in AMDS Research	Summer 2000	5 Done	56
Advanced KAMs				
AMDS 8512	Classical and Emerging Paradigms of Leadership	Winter 2003-2004	5	**Active**
AMDS 8522	Current Research on Leadership Development	Winter 2003-2004	5	**Active**
AMDS 8532	Application of a Theory of Leadership Development	Winter 2003-2004	4	**Active**
AMDS 8612	Model of Organizational Change & Development	Spring 2004	5	**Active**
AMDS 8622	Current Research Model Org Change & Development	Transfer In	0 Done	
AMDS 8632	Application of an Organizational Change Model	Transfer In	0 Done	
AMDS 8712	The Case Study as a Research Technique	Winter 2003-2004	5	**Active**
AMDS 8722	Case Study Research in Leadership and Org. Change	Winter 2003-2004	5	**Active**
AMDS 8732	Leadership or Organizational Change Case Study	Spring 2004	4	33
Electives				

Transfer Credits

Course Number	Course Title	Quarter	Years	Institution	Grade	Credits	
ECTI Program	Walden ECTI	-	1997-1999	Walden University	4.0	9 Done	
							Total Credits
							9

Dissertation: Implications of Systems and Complexity Theory on Organizational Process Maturity	30
Minimum Quarters of Enrollment: 10 Grand Total Credits	128

Student's Signature: Richard E. Biehl   Date: Status as of May 2004

FYA/FM Signature: _____   Date:_____

Program Director's Signature:_____   Date:_____

VPAA's Signature:_____   Date:_____

Learning Agreement Approval Form

Received via e-mail on February 11, 2004…

From: <Diane.Krusemark@waldenu.edu>
To: <rbiehl@waldenu.edu>
Cc: <wsteeves@waldenu.edu>
Subject: LA 5 Approval for Richard Biehl
Date: Wednesday, February 11, 2004 1:52 PM

Richard,

I am writing to inform you that the learning agreement for KAM 5 has been
received and approved by the OAA. Please save this email for your records.
If you submit your final KAM as a hard copy, please print and attach this
entire email as proof of an approved LA.

If you have any questions, please do not hesitate to contact me.

Regards,

Diane

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Approved Learning Agreement

Learning Agreement

Advanced KAM 5: Leadership Development

Student: Richard E. Biehl
Program: Applied Management & Decision Sciences
Specialization: Leadership and Organizational Change
Faculty Mentor: Dr. Gary Gemmill
KAM Assessor: Dr. William D. Steeves

Learning Agreement Submission: January 2004
Targeted Completion for KAM: March 2004

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Learning Agreement

Advanced KAM 5: Leadership Development

Introduction

This Learning Agreement for Advanced KAM 5, Leadership Development, describes my

plan of study for the AMDS knowledge area on leadership development in which I hope to better

understand the emergence and development of leadership as a specialized area of practice and

study, in particular focusing on the thread formed by the integration of leadership and

management concepts. At times, leadership has been discussed and seen as a subset of

management, and at other times as the reverse, as a super-discipline over and above

management.

The story of leadership also entails its relationship to organizational structure; whether

leadership is seen as a top-down model across an organization, or as a bottom-up grass-roots

empowerment where any member of an organization can emerge as leader. This will be

explored with a particular focus on the emergence of leadership in the quality management

arena. I've chosen such a focus particularly because of the cross-functional and cross-

organizational nature of the quality management discipline in most organizations; where

expertise and insight do not necessarily align with management or organizational structures. It is

in these areas that emergence of leadership can be expected to diverge from traditional

management paths.

Overall Purpose

The overall purpose of this KAM are:

1. To compare and contrast the variety of theoretical areas associated with leadership

development in order to identify a framework for analyzing cross-disciplinary issues related to

leadership in organizations. (Breadth)

2. To explore and discuss the implications of this framework for developing a model for analyzing and understanding the development of leaders in the areas of organizational quality and quality management within and across organizations. (Depth)

3. To apply the resulting model to analyzing the Leadership Category criteria for the Baldrige National Quality Award (National Institutes of Standards and Technology, 2004); defining an instrument, and set of instructional guidelines, for an organization to use when completing their Baldrige application. (Application)

AMDS 8512 – Classical and Emerging Paradigms of Leadership

In the breadth component of this KAM, I will explore the large variety of theories that deal with leadership development. I'm interested in how different aspects of the history and development of leadership inhibit or support other aspects of leadership development; a kind of systems theory of leadership. By exploring leadership as a systems phenomena, I will explore, and then isolate, aspects of leadership emergence outside of an organization's traditional management structure that can be used to understand the emergence of less traditional leaders across organizations. This detail thread will be explored in detail in the depth component as it informs a discussion of leadership in the quality management arena.

Specific breadth objectives are:

1. To explore and categorize the various theories for understanding leadership emergence and development described in the literature.

2. To compare and contrast these theories to develop a framework that integrates common or shared themes that are impacted by more than one of these theoretical areas.

3. To identify components of this framework that emphasize non-traditional leadership development generally, and leadership emergence specifically, to define a set of working

propositions that can be compared and contrasted to the annotated literature review materials

reviewed in the depth component.

Reference Materials

The reference materials for this breadth component include several of the comprehensive

survey works such as Bass (1990) and Northouse (1997); historical works that lay the

groundwork for thinking about leadership, such as Cawthon (2001), Wren (1995), and

Williamson (1986); as well as recent works that describe the relationships between leadership

and management, such as Fuller (2001), Sodor (2001), and McCauley, Moxley, and Van Velsor

(1998). Additional resources are included in the Bibliography.

Learning Demonstration

The result of this analysis will be a written position paper, of not less than 30 pages, that

introduces the major categories of leadership theory before comparing and cross-classifying

aspects of each theoretical area for the purpose of identifying threads of support or inhibition that

cross theoretical boundaries and constructs. The conclusion will emphasize the systemic nature

of leadership and its relationships to other organizational roles, both formal and emergent.

AMDS 8522 – Current Research on Leadership Development

In the depth component of this KAM, I will further explore the principles and aspects of

emergent leadership introduced in the breadth component, particularly focusing on the emergent

role of leaders in business organizations. I am particularly interested in reviewing the quality

management disciplines, beginning with early ad hoc quality programs, through the years in

which Total Quality Management (TQM) was popular, and up through the more recent popular

Six Sigma quality programs. Quality initiatives have often been spearheaded by individuals

outside of traditional management structures and, in organizations that have been successful,

these individuals have often emerged as organizational and industry leaders. I am interested in

how a systems theory of leadership will inform an analysis of this leadership emergence.

Specific depth objectives are:

1. To explore and contrast the different theories of modern leadership that describe

leaders as emerging and thriving outside of traditional organizational or management structures.

2. To evaluate the extent to which various key elements of the leadership framework

developed in the breath component can be used to map aspects of such emergence to individuals

and groups within professional disciplines such as quality management.

3. To analyze and synthesize the resulting mapping to create a thought process for

analyzing and defining the role of leadership emergence in understanding the role of non-

traditional leaders in the management professions related to quality.

Reference Materials

The reference materials for this breadth component include materials that describe the

creative and emergent ways that leadership has come to be seen in the business community.

Examples include Lord and Brown (2004); Pearce and Cooper (2003); Sjöstrand, Sandberg, and

Tyrstrup (2001); Cooper (2002); Kotter (1990); Kouzes and Posner (1987); and Hesselbein,

Goldsmith, and Beckhard (1996). Additional resources are included in the Bibliography.

Learning Demonstration

The result of this analysis will be a written position paper, of not less than 30 pages,

representing a synthesis of my focused readings and research of the above general materials;

supported by an annotated bibliography of at least 15 peer-reviewed articles from the leadership-

related literature within the past 3-5 years. There is a continuing rich and diverse literature base

in this area that has grown extensively over the past decade.

AMDS 8532 - Professional Practice – Application of a Theory of Leadership Development

In the application component of this KAM, I will apply the principles of leadership development in the quality management arena to attempts to measure leadership support and interaction with other quality management issues and concerns. In particular, the Baldrige National Quality Award (National Institutes of Standards and Technology, 2004) in the United States treats leadership as one of seven systemic categories that drive quality management practices in an organization. The award application process requires organizations to define key elements of their leadership models, and to juxtapose those elements against other factors described by the six non-leadership categories.

The detail perspectives developed in the breadth and depth components of this KAM can inform an attempt to systematically predict and analyze the types of responses one can expect to see in application responses to this award category. This analysis will be used to create instruments that might guide organizations toward more effective and complete application responses.

Specific application objectives are:

1. To describe and analyze the criteria for understanding leadership embodied in the Leadership Category (Category 1) of the Baldrige National Quality Award by identifying and comparing elements of those criteria with the definition and model of leadership in the quality management arena developed in the depth component.

2. To define and describe an instrument (i.e. set of checklists and/or worksheets) that organizations can use to self-assess responses to the award criteria in order to correct possible response omissions and to identify opportunities to respond more thoroughly.

3. To pilot and evaluate the effectiveness of this instrument against a set of organizational responses to the Baldrige criteria; one drawn from an actual client application process, and another from an award application package available for review in the literature.

Reference Materials

The reference materials for this application component include numerous background and descriptive sources related to the Baldrige award criteria, as well as qualitative methodological materials related to piloting the developed instruments in my client organization. This piloting will most likely entail a small action research project; as described in Bruce and Wyman (1998), or Kemmis and McTaggart (2000). Additional resources are included in the Bibliography.

Learning Demonstration

The result of this application component will be an explanatory essay of 25 pages for the analyzed two award application scenarios. The essay will describe the development and content of the analysis instruments following the criteria laid out in the depth component. It will then briefly define and describe the organizations, their quality programs that led to their use of the award criteria, before concentrating on my analysis of how and where their application responses matched the criteria for leadership identified in the breadth component and detailed in the depth component. In particular, any gaps will be identified and discussed, with further references to the leadership literature while discussing why these two organizations either do, or do not, conform to the leadership systems framework explored in this KAM.

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Self-Evaluation: Knowledge Area Modules (KAMs)

Student Name: Richard E. Biehl   Date: May 2004

KAM: #5   Title: Leadership Development

1. What knowledge/experience did you bring to this KAM? How did you capitalize/expand on this base?

As a management consultant specializing in quality management, I have had considerable exposure to leadership concepts and materials over the course of my engagements, however this experience and knowledge were mostly anecdotal and personal observation. However, my experience in helping clients apply for Baldrige awards has exposed me to the leadership concepts of that Award's criteria, and I used that as a starting point for this KAM.

2. Describe the quality of the **Breadth** section in the light of the intellectual and communication skills demonstrated in this KAM.

The breadth section was a real exploration for me. The earlier models I present in the breadth component largely correspond to the ad hoc knowledge that I already had, and thought was well grounded. However, as I read more materials, I quickly saw how inadequate that early material was, and how powerful the more recent models on contingency and implicit leadership were. Particularly interesting for me, was how a shift toward a systems theory view of leadership actually brought back the necessity for the earlier traditional models. The individual leader plays a specific role in the emergence of organizational leadership in ways that requires a synergy between the old and new theories. I think I've captured that cyclical nature of leadership in the breadth component.

3. In the **Depth** section, what key ideas/concepts most engaged your thinking and imagination relative to your area of study?

I was fascinated by the emergence ideas, and my excitement originated mostly during my reading of Wheatley (1999). As an information technology systems analyst, I was particularly interested in understanding leadership as a systems interaction effect. This concept alone tied this KAM to my professional practice more than the nominal connection to the quality ward criteria I was exploring. It also resonated against some of the systems theory work I did back in KAM 3. I think my work on that earlier KAM is what made me so receptive to the concept here.

4. Expound on the most meaningful theoretical construct studied and applied to your professional setting in the **Application** section. What can you do differently/better as a result of this KAM?

I was most interested in the emergence of organized behaviors around a strange attractor embodied in an organization's vision. As a quality practitioner, I have always preached the value of defining one's organizational vision and mission; but I've never really appreciated why it so important prior to this KAM. Also, when I discussed quality management and statistical control in the depth component, the entire statistical foundation for understanding organization behavior became real for me in ways completely different than my 26 years of experience in the field would predict. I'll now team these concepts in new and expanded ways in my client engagements. I'm very excited about it.

5. Briefly describe the most important **Social Issue** covered in this KAM.

Quality management as a discipline has been criticized over the past few decades as a fad-driven discipline. This KAM has showed me that there are grounded theories that underlie the foundations of quality that are just becoming visible in the organizational development field. To the extent that these grounding theories become better understood, and actually impact the implementation of programs in organizations; all organizational stakeholders will benefit. With a renewed understanding of how organizational dynamics influence leadership, and so quality of organizational life, new opportunities open up for making organizations better and more effective to the benefit of the organizations and all of the humans who make them up./

WALDEN UNIVERSITY

Advanced Knowledge Area Module 5:

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AMDS 8512 – Classical and Emerging Paradigms of Leadership

Student: Richard E. Biehl
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May 2004

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Chapter 1

Introduction

Overview

This Advanced KAM 5, Leadership Development, explores leadership development, seeking to better understand the emergence and development of leadership as a specialized area of practice and study, in particular focusing on the thread formed by the integration of leadership and management concepts. At times, leadership has been discussed as a subset of management, and at other times as the reverse, as a super-discipline over and above management. A study of leadership reveals that both management and leadership play a role in organizational execution, and that those roles often coincide.

The story of leadership also entails its relationship to organizational structure; whether leadership is seen as a top-down model across an organization, or as a bottom-up grass-roots empowerment where any member of an organization can emerge as leader. This KAM seeks a particular focus on the emergence of leadership outside of the traditional positional models of organizational management, particularly in the quality management profession and arena. The cross-functional and cross-organizational nature of the quality management discipline in most organizations; where expertise and insight do not necessarily align with management or organizational structures, seems an excellent place to observe important characteristics of organizational leadership. It is in just these areas that leadership in its emergent forms can be expected to diverge from traditional management paths.

Overall Purpose

The overall purposes of this KAM are:

1. To compare and contrast the variety of theoretical areas associated with leadership development in order to identify a framework for analyzing cross-disciplinary issues related to leadership in organizations. (Breadth)

2. To explore and discuss the implications of this framework for developing a model for analyzing and understanding the development of leaders in the areas of organizational quality and quality management within and across organizations. (Depth)

3. To apply the resulting model to analyzing the Leadership Category criteria for the Baldrige National Quality Award (National Institutes of Standards and Technology, 2004); defining an instrument, and set of instructional guidelines, for an organization to use when completing their Baldrige application. (Application)

Breadth Objectives

This KAM breadth component explores the large taxonomy of theories that deal with leadership development. It looks at how different aspects of the history and development of leadership inhibit or support other aspects of leadership development; a kind of systems theory of leadership. By exploring leadership as a phenomenon of systems thinking, it explores aspects of leadership emergence outside of an organization's traditional management structure that can be used to understand the emergence of less traditional leaders across organizations. This thread begins here in the breadth component with an introduction to leadership from a systems perspective, and then is explored in further detail in the depth component as it informs a discussion of leadership in the quality management arena.

Specific breadth objectives are:

1. To explore and categorize the various theories for understanding leadership emergence and development described in the literature.

2. To compare and contrast these theories to develop a framework that integrates together common or shared themes that are impacted by more than one of these theoretical areas.

3. To identify components of this framework that emphasize non-traditional leadership development generally, and leadership emergence specifically, to define a set of working propositions that can be compared and contrasted to the annotated literature review materials reviewed in the depth component.

Theoretical Foundations

Much of the recent interest and literature on leadership centers on organizations and organizational theory. Bennis (1966) defines leadership effectiveness as determined by the ability of leadership to mediate between individual and organizational satisfaction. (p. 66) The focus of leadership need not be an institutional organization, although the literature tends to emphasize such organizations, whether in the private or public sectors. Bennis generalizes the object of leadership as the "supra-individual entity." (p. 65) The range of supra-individuals to which these discussions can apply has expanded over the years in the literature, and will be further introduced in the discussion of systems theory below, and explored deeper in the depth component of this KAM.

Bennis describes two foundational disciplines for a discussion of leadership: 1) Scientific Management, as exemplified by Weber and Taylor from 1910 to 1935, and 2) Human Relations (as exemplified by Mayo, Lewin, and Moreno from 1938 to 1950).

Scientific Management

A scientific management view of organizations tends to see them without regard to the people in them, those people making up parts of the machinery of the organization if they are seen at all. This view puts individuals into roles, in which they are expected to perform procedures that have been defined and segmented rationally without introducing subjective judgments or passions. This is the formal logical view of Weber's bureaucracy, the abstract and depersonalized mediation between objective actions and subjective actors. Fredrick Taylor added precise measurement as an additional dimensions to Weber, imposing impersonal rationality via data.

The scientific management view, according to Bennis, sees organizations as predictable machines. It views people as unpredictable and unstable. By building precise procedures to be followed, the system could scientifically convert people from active unstable individuals into passive inert instruments to be wielded in whatever way necessary by the organization. The individual-organization dyad is defined as intended for the benefit of the organization. (p. 66) The concept of *win-win* was in the future.

Human Relations

In the human relations view, Bennis describes people as existing within organizations. As a less deterministic model, organizational theories based on the human relations model usually included the need to manage any unintended consequences of individual actions in organizations. The formal organization chart of the scientific model became supplemented, but not replaced, by the informal interpersonal connections throughout the organization; the culture. Motivation theory needed to merge with organization theory in order to understand and predict the behavior of organizations. This integration built on the idea, still debated, that organizations

could be made more successful by addressing certain social and psychological needs of the individuals within the organization. The model was not unscientific, just more complex than the simpler and narrower scientific management.

Bennis describes the human relations perspective as having affiliation as a dominant need (attributed to Mayo), using participatory decision-making (Lewin), emphasizing positive feelings among members (Moreno), and moving from understanding and empathy toward self-actualization (Rogers). (p. 68-69) Where the scientific view drew a picture of the ongoing conflict between individual and organization, the human relations model doesn't describe a conflict, instead emphasizing the synergy of the two perspectives. Individuals meet social and psychological needs while organizations achieve effectiveness and productivity. The leader serves as facilitator, help both individuals and the organization toward goal achievement.

Hybrid Models

Bennis goes on to describe a variety of perspectives – that he calls *revisionist* – that attempted to bridge perceived gaps between the scientific and human relations models after 1950. These areas attempt to lesson the perceived impacts of the irrational human factors approach, without reverting completely to the impersonal scientific approach. As a precursor to much of the more recent literature on leadership and organizations, these discussions tend to bring out an emphasis on group purpose and goals. (p. 69) To the extent that organizational purpose becomes an abstraction for personal aspirations, such purpose can be incorporated into the scientifically oriented procedures. (p. 71)

Leadership then helps mediate between differences in organizational purpose and individual aspiration, still viewed as a potential conflict, yet closer in form than bureaucratic procedures and subjective emotions. Defining leadership entails delineating this mediative role,

with an exact or operational definition depending upon the perspective taken on the broader

scientific versus human relations view of what is being mediated. The definitions will vary, but

they will not wander very far from this objective-task versus subjective-individual dichotomy.

Chapter 2

Leadership Explored

Overview

Downton (1973) describes leadership as an analytic construct that has been evolving over time to identify a set of variables that seem to cluster together in relation to individuals and group dynamics. As such, he argues that the construct is not amenable to strict definition. He argues that any definition will remain an implicit picture of the structural-functionalist model identified with the construct. He's saying that as a social construct, leadership can't be readily defined, only explored. Each use of the term needs to be operationalized within the setting in which it is being used.

Historical Perspective

Cawthon (2002) offers a historical perspective on leadership that begins with Plato's *Republic*. Plato's leadership model included the traits of being appetitive, spirited, and rational. Such traits were embodied in the Philosopher King, who would provide vision and understanding for his followers. Not everyone would be called to lead, but those that were would be focused on the good of their followers. Such idealism gave way to the realism of Aristotle in the *Nicomachean Ethics* where the leader had the right to exact an obedience from others so long as such leadership was free from the tyranny of passion. Cawthon describes Aristotle's *golden mean* whereby balance is obtained through the temperance of passions. Leadership was the dyad of two types of human beings; those who were virtuous and rational leading those subject to passion and whim. Aristotle's model was elitist by modern values, but focused on the ultimate good just as Plato's model had been.

The Oxford English Dictionary (Simpson & Weiner, 1989) lists the first usage of the term *leadership* in English as occurring in 1821 in a political context. An individual is described in a correspondence as having resigned the leadership of the opposition party. Such usage is difficult to separate from a simple hierarchical headship, and so doesn't necessarily represent leadership in the sense described in this KAM. By 1859 there are references much more in line with non-hierarchical usages of the term, including the Tatars being led by their khan, and the leadership of the House being guided by a majority or opposition. (p. 750) The usage of *leader* in English dates back considerably farther, as far back as 1300. Such usage typically incorporated the concept of follower as an opposing part of the definition, and the illustrating examples in OED tend to highlight individual traits. The trait-vs-process debate seemed implicit in the use of these terms throughout their 700 year history. The debate has only become explicit in recent decades.

Definition Attempts

No single definition of leadership dominates the literature on the subject, although a clear pattern emerges as one reads the various writings of the past fifty years. Such emergence follows the pattern of many social constructs, from a focus on individual action in the early years, through a functionalist process phase in the mid-period, to a more relational post-modern view typically held today. The earlier views that focused exclusively on the individual, exemplified in the trait models discussed below, weren't wrong; they simply focused on the central characteristics that were the focus of social analysis in the period. The theories of leadership have improved along with the general broadening of the perspective of social theory in recent decades.

For example, Barnard (1948) referred to leadership as "the quality of behavior of individuals whereby they guide people or their activities in organized effect." (p. 91) He oversimplified his discussion using the triad of individual, follower, and conditions in which they interact; and then focused almost exclusively on the role and activities of the individual as leader.   He was addressing leadership during an early period where leadership needed to be defined for the reader. His focus included active personality traits, including vitality, endurance, decisiveness, persuasiveness, responsibility, and intellectual capacity; describing intellect as a capacity that was being given too much weight in contemporary analysis. (p. 102)

One of Barnard's central problems was differentiating leadership from simple *preeminence* when the term was typically used in the latter sense. (p. 89-90) It was in this discussion that his focus on traits gave way to an early version of the process view of leadership that would dominate coming decades. He described leadership as the determination of objectives, the manipulation of the means with which those objectives were pursued, the "instrumentality of action" with which those means were empowered, and the coordination of the actions required to actual obtain the objectives through the means using the instruments. (p. 92-94)

Northouse (1997) offers a working definition of leadership as "a process whereby an individual influences a group of individuals to achieve a common goal." (p. 3) Central to his analysis are that leadership is process-focused, involves exerting influence in some form, occurs within a group context, and involves attaining one or more goals.   These distinctions are important because Northouse actively avoids describing leadership as a trait or characteristic of some leader.   Leadership, for him, is a transactional event between the leader and one or more

followers. As an interactive event, he hints at a systems thinking approach when he asserts that such transactional interactions need not be linear. (p. 3)

Bass (1990) offers another interaction-oriented definition that emphasizes the affects of leadership over the role of individuals as leaders:

Leadership is an interaction between two or more members of a group that often involves a structuring or restructuring of the situation and the perceptions and expectations of the members.   Leaders are agents of change – persons whose acts affect other people more than other people's acts affect them. Leadership occurs when one group member modifies the motivation or competencies of others in the group. (p. 19-20)

While the definitions vary across time and discipline, the continuity of always falling within the continuum represented between the scientific management and human relations foundations, along with the trend away from the leader as a set of traits and toward an interaction or relationship seems consistent.

Leadership Origins

Primitive societies in which there are no large institutional organizations, both contemporary and historical, can serve as models for understanding the emergence of leadership (Diamond, 1974). Such primitive societies allocate leadership roles in communal ways, usually without regard to political or secular power networks. Diamond describes two dominant forms of leadership: a) situational, and b) generalized rank. Neither leadership form requires coercive power or institutional position. (p. 135)

With situational leadership, individuals step into leadership roles based on their perceived skills in specific contexts. Such leadership is typically limited in time to the duration of the problem to be solves or situation handled. The choice of leader is based on capacity to

fulfill the job, competence. Being a leader at one time doesn't necessarily carry over into any other leadership roles or duties. Leadership based on generalized rank describes an automatic accrual of leadership position on anyone who meets certain conditions. Leadership can be unqualified (e.g. reaching a specific age) or qualified (e.g. participating in certain experiences).

This primitive association of leadership with constantly shifting situational and expanding automatic roles would tend to reduce the frequency with which broad social hostility would arise. The breadth and opportunity for leadership service at various times would reduce the alienation that develops in modern organizations here leadership is often perceived as arbitrary and externally imposed. "Primitive systems don't squander their substance by inequalities woven into the social fabric." (p. 136) Such leadership was highly democratic, though not necessarily egalitarian. Equality typically wouldn't have been considered as part of personal identify in primitive life where survival was at greater risk than today. Leadership was simply reasonably distributed and practiced among the group.

Because leadership was not a scarce commodity under situational and generalized scenarios, accruing to many individuals over time, such leadership often would have needed to become hierarchical to manage the leadership of the growing leadership. It is this hierarchy of leadership that lays the primitive foundations for our modern conceptions of leadership in organizations, or management.

Leadership vs. Management

Leadership is not management, and management is not leadership; although teasing apart these two distinctions from what organizational leaders actual do has remained problematic in an analysis of leadership. Kotter (1990) highlighted differences between management and leadership (Table 1) that focus leadership attention on vision, alignment, and motivation;

characteristics commonly associated with leadership. Kotter sees a clear distinction between

management and leadership, even though both roles are often seen to be played by the same

people.

Table 1 – Management vs. Leadership (Kotter, 1990)

Management	Leadership
Produces order and consistency	Produces change and movement
Planning / budgeting	Vision building / strategizing
Organizing / staffing	Aligning people / communicating
Controlling / problem-solving	Motivating / inspiring

(Kotter, 1990, p. 3-8)

Yukl (1994), on the other hand, sees leadership in the context of management. His

practice dimensions seem to completely overlap Kotter's distinctions (Table 2). It isn't simply a

matter of delineating Yukl's management practices across Kotter's two categories. Upon

inspection, one can see a Kotter's management and leadership distinction within each category,

some stronger than others, making leadership and management difficult to tease apart.

Table 2 – Managerial Practices (Yukl, 1994)

Practice Dimensions
Planning and organizing
Problem-solving
Clarifying roles and objectives
Informing
Monitoring
Motivating and inspiring
Consulting
Delegating
Supporting
Developing and mentoring
Managing conflict and team building
Networking
Recognizing
Rewarding

(Yukl, 1994, p. 69)

The distinction to be drawn appears to emphasize whether or not leadership emerges or is is imposed from within. Bass (1990) draws a distinction between leadership and headship, the former being accorded by the group, and the latter imposed upon the group. (p. 19) This KAM is particularly focused on the natural emergence of leadership, independent of whether or not such leadership maps explicitly to the organization's management hierarchy.

Literature Review

Stogdill and Bass (1981) surveyed published experiments in small group settings looking for patterns in leadership expectations and behaviors. Their survey illustrates the consistency with which common themes have continually emerged in the literature on leadership over recent decades.

A study by Pigors in 1936 had found that leaders in group efforts tended to act in either a role of *master*, or a role of *educator*. The context in which they mention the role of educator might be better described as *facilitator* today since it involved helping group members achieve success through their own efforts.

Cattell and Stice, in 1954, had described four types of leaders: a) persistent momentary problem-solvers who steps into specific settings and problems, b) salient leaders who observers in the experimental settings had described as holding the most influence over the observed groups, sociometric leaders who were explicitly identified or nominated by their group peers, and elected leaders who were selected after being self or otherwise nominated to the position of leader.

Benne and Sheats described interacting roles for the leader in 1948. The group-task roles of initiator, gatekeeper, and summarizer constantly interacted with the group-builder role of harmonizer, supporter, and tension reliever. This task versus people perspective would permeate much of the leadership literature up to this day. By 1955, Bales and Slater were formalizing a functionalist perspective, defining the two major functions of leadership as enhancing the productivity of the group, and supporting socioemotional factors in group interaction.   Bales again emphasized the group-task versus group-builder roles in 1958.

In 1949, Hemphill had intertwined these roles into a process flow where leaders could be characterized by the extent to which they support different steps in the process; from helping members set goals, to coordinating efforts to help them reach goals (i.e., group-tasking) while helping individuals fit into the group, and increasing the humanness of the group by expressing interests in the group as a set of individuals (i.e., group-building).

Levine was also defining charismatic, organizational, intellectual and informal leader

types in 1949. Charismatic leaders were those who helped rally group around common themes

and ideas, often with dogmatic rigidity. Organizational leaders tended to encourage people into

organized action of themselves and their resources. The intellectual leader was described as

having an ability to attract people through ideas, and the informal leader could adapt skills to the

style and needs of the group.

From a different perspective in 1951, Clarke described popular leaders as wielding

influence because of their own unique combination of traits and abilities, group leaders as being

good at understanding the personality of members and helping them achieve satisfaction, and

indigenous leaders as arising in specific situations where needed by the group.

Hinting at a post-structuralist view of leadership in 1957, Gatzels and Guba had

described leadership as *nomothetic* or *ideographic*; the former referring to the defining of

normatively suitable group actions, and the latter to the meeting of personal needs and

dispositions of members. They also described a *synthetic* view that allowed for the reconciling

of the demand inferred by the other views. Most researchers, reports Bass, were describing some

form of task versus personal role for leadership, with most allowing for the third "other" branch

of reconciling the first two. Also in 1957, Cattell reiterated this dual-focused process view of

leadership that included upholding status stratifications, maintaining task satisfactions, keeping

ethical or normative satisfactions, selecting and clarifying goals, and finding and clarifying

means of attaining those goals.

A notable shift toward more systemic models was being described by the 1960s. In 1961,

Roby had described a functionalist view of leadership based on information loading. The

leadership function was to bring about increased congruence among group members regarding

the group's goals (a negotiating process more than a process of dictating).   This required balancing the group's available resources against the environmental demands experienced by the group. Roby described the leader as providing group structure by focusing information effectively on solving whatever problem the group was addressing, making sure that all needed information flowed through the group to the individuals needing it.

Also in 1961, Schutz was describing an interactive functionalist model of leadership that included: a) building a hierarchy of group goals and values, b) integrating the various styles of individuals who might be found in the group, c) maximizing the use of abilities found across those various individuals, and d) helping members solve problems or adapt to external contingencies while fulfilling their own personal needs. While still carrying forward the earlier threads of task and people, these more recent models were incorporating a more systemic perspective that began to remove the leader from the central task. The leader role was becoming more coordinative and specialized within the group. By 1967, Bowers and Seashore had the leader outside of the productive stream of the group, concentrating on support of the members and an emphasis on goals; serving as facilitator of group interactions.

Lieberman, Yalom, and Miles, in 1973, described leaders as charismatic energizers who stimulated the group, providers who focused on behaviors and caring, and social engineers who managed the group as a social system. The purpose and activity of the group is not even mentioned in their description of leadership, supposedly built into the group dynamic rather than the leader role. In 1976, Oliverson slightly echoed that approach with his four types of leaders, although the first of the four remained anchored in the task. Oliverson saw leaders as technical, emphasizing cognitive and task aspects; charismatic, building the group around their own

impressive attributes; caring-interpersonal, emphasizing interpersonal relations; or peer-oriented,

emphasizing personal relationships.

Chapter 3

Perspectives on Leadership

Overview

Different approaches to understanding leadership have been proposed and explored in the literature. The history of these theories has been one of growth and evolution, each building upon the previous and adding additional information and insight. This chapter follows the logic of that growth, from the simple popular view of leadership traits, through a variety of situational and contingent approaches that lead to an integrated view that sees leadership as an emergent functional system that exists and works because it successfully serves a function that groups need served in order to function and survive.

Trait Leadership Approaches

Northouse (1997) analyzed various trait-oriented leadership models to identify common themes among most of the variants, namely that a leader exhibits: a) intelligence, b) self-confidence, c) determination, d) integrity, and e) sociability. He describes strengths of the trait approach, including the fact that it is intuitively appealing, and has a grounding in the thought process of leadership that dates back more than a century. As a model that highlights the leader specifically, it provides a benchmark for aspiring leaders, allowing correlation analyses between leaders and successful or unsuccessful situations in which they have led. In this sense, traits are viewed as a relationship, or bridge, between the personality and skills of the individual, and the needed processes in the situation.

Weaknesses of the trait approach center on the reality that nobody seems able to offer the definitive list of traits, and none of the trait models seem to apply independent of the situation in which those traits are applied. Also, even where traits are seen to correlate strongly with

success, there still isn't a causation model that explicitly ties successful traits with successful outcomes. Indeed, Yukl (1994) points out that trait models are particularly poor at explaining delayed outcomes, where success follows leadership input after a considerable time delay.

Yukl also argues that the trait model, through its underlying assumption that personal endowment explains leadership success, lacks attention to any intervening variables. (p. 12) Northouse agrees, arguing that there could be many mediating variables that are not taken into account in the trait theories, and even those traits that are included are often ranked or ordered subjectively based on the situation in which they were observed.

The success in the trait approach in identifying characteristics that individuals can aspire to achieve or practice has made the trait model useful and applicable in many situations. Although many deeper models that incorporate both traits and other factors are available in the research, the popular literature still abounds with personal stories and biographies of perceived great leaders. As such a model, the trait approach offers a simple and readily deployable mechanism for understanding leadership, and offering coaching or training to individuals in need of greater leadership skills.

Style Leadership Approaches

A style approach to leadership differs from the trait approaches in its focus on the behaviors or actions of leaders over their individual or personal traits. Actions are typically seen as some combination of task-orientation or relationship-orientation, consistent with the historical perspectives on leadership outlined earlier.

Yukl (1994) points out that while the style approaches look at what a leader or manager actually does, a key variable that influences style is power. Power drives influence, which serves as a mediator between leader and followers. Viewed as a unidirection flow of influence, then

leader act and followers react. The amount and type of power will determine how and when it

can be exercised, carrying particular weight in large organizational settings and formal

leadership situations. To the extent that power relations have evolved more recently into bi-

directional influences, Yukl might today place power as a factor in situation leadership (below)

rather than among the style dimensions.

Northouse (1997) outlines strengths of the style approach in shifting the exclusive

emphasis of study away from the individual leader toward a more heuristic study of the system

of interaction between leader and task, and leader and follower. He sees the balance of these two

perspectives as being the central strength of the approach. (p. 32)   Weaknesses include the fact

that, as with the trait approach, there is no causative model that links styles with outcome

success. Also, there are no models that offer a universally applicable style; although the

expectation that there should be one can be seen as a bias built into the paradigm that actually

need not be true. Also, notes Northouse, the implication that the two dimensions of task and

relationship (exemplified in Blake and Morton's *Managerial Grid*) should together be

maximized (e.g. high-high) may also be indicative of an unnecessary bias.

The style approaches expand the model to include more variables than the narrower trait

model, and some combination is likely optimal; but neither resolve the differences of context in

selecting leaders and leadership style.

Situational Leadership Approaches

Situational leadership approaches address that context. These models look at leaders, not

in isolation, but within the situations in which leadership is exercised. Individuals leaders must

adapt to the needs of the situations in which they find themselves, or organizations need to

change leaders based on those needs if the leaders themselves are unwilling or unable to adapt.

As with style-based approaches, many situational model emphasize the two dimensions of task and relationship, or what Northouse (1997) describes as directive versus supportive dimensions.   Leadership demands will vary based on the situational demands along these two dimensions.

In situations with a low need for directive or task support (e.g. tasks are simple or well defined) and low need for supportive or relationship support (e.g. activities done alone or among well-knit groups), the dominant leadership style is delegation. As tasks become increasingly complex or abstract, leadership needs shift toward direction over delegation because of the increase demands of the task dimension. If the group is less well-formed, perhaps even new to each other, the leadership style will include more coaching or other supportive activities. As either of these dimensions varies, the demands on leadership will run the gamut through the various style approaches, with none being normative independent of the situation at hand.

To the extent that the situational approaches demand flexibility on the part of the individual leader, this model also emphasizes those aspects of the trait approaches that looked at a leader's capabilities and competencies. In this way, the situational approach to leadership provides a synergy between the trait and style approaches. It simply leaves open the fit between situation and individual leader.

Contingency Leadership Approaches

The contingency approaches to leadership look at this situational fit, trying to match the right leaders to the right situations. The effectiveness of the leader is said to be contingent on the level of fit.   Variants on the contingency approach include the leader-match theory which looks at leader-member relationships, task structure, and the leader's position power; the path-goal theory that emphasizes the relationship between leader style and the characteristics of the

followers in the situation; and expectancy theory, where follower motivation is seen as tied to

their belief that following the leader in a situation will lead to successful outcomes. (Northouse,

1997, p. 86-88) Note that each of these variants shift the approach from the simple situational

approach to increasingly take into account the characteristics and motivation of the followers,

with the expectancy version giving the most weight to such subjective factors.

Integrative Leadership

Chemers (1997) offers a theory of leadership that attempt to integrate many of the

dimensions and aspects identified in earlier models. He sees leadership as "a process of social

influence" (p. 1) that integrates the though thoughts and emotions of individuals (intrapersonal

factors); attraction, communication, and influence among groups of individuals (interpersonal

factors); and the dynamics of the external environment in which they interact.

Taking a highly functionalist perspective, his starting point is the interplay of what he

sees as the two functions of organizations: internal maintenance and external adaptability.

Internal maintenance involves standardizing activities so that a stable base of consistent

operation results. By making activities more routine over time, group integrity can be

established and maintained. Chemers' key dimensions for internal maintenance include

reliability, predictability, and accountability. External adaptability centers on a groups ability to

change in the face of new demands. Key dimensions here include sensitivity, flexibility, and

responsiveness.

Chemers acknowledges that the perspectives of internal maintenance and external

adaptability are basically aiming at opposite objectives, creating an organizational dynamic into

which the functions of leadership play. To Chemers, the role of leader in social groups has been

established and evolved to deal with these issues. Optimum leadership will balance these

factors, focusing primarily on the environmental drivers that indicate whether a stable or

dynamic environment must be navigated. In a stable and well-understood environment, the

leadership role will concentrate on general guidance and motivation to produce. In more

dynamic environments, the role will emphasize problem-solving and innovation.

Within this framework, Chemers sees the role of the leader emerging from the general

functions of bestowed status in the social group. As an emergent function of social interaction,

leadership would be inevitable in any social situation complex enough to need these functions.

(Table 3) He views these as positive functions, and then goes on to discuss possible negative

consequences.

Table 3 – Five Leadership Purposes (Chemers, 1997)

Purposes of leadership
Elevation of competence
Assignment of authority
Distribution of rewards
Modeling of normative expectancies
Facilitate innovation

(Chemers, 1997, p. 6-9)

As social groups become complex beyond dyads or trivially small groupings, the first of

the positive aspects of integrated leadership will emerge. Individuals within the grouping will

naturally differ in terms of their abilities, and the tasks that need to be accomplished will

naturally differ in relative importance to the group. As such, group success will partially depend

upon an ability within the group to assign the most capable members to the most important tasks.

While not absolute, and certainly not universal, such an organizing function bestows relative advantages on the groups in which it emerges.

The first positive function of leadership, described by Chemers, is the elevation of competence. As tasks become more complex (i.e., large, difficult, dangerous) a leader will be chosen or otherwise emerge to coordinate the task. If the task is important enough, the coordination effort by the leader will become the most important aspect of the task, eclipsing the individual contributions of members of the group participating in the activity. It becomes important that the person that emerges as leader have the capacities to successfully coordinate the task to completion, particularly as the tasks of coordinating become complex enough to require coordination of the coordinators. A leader of the leaders will emerge, and a leadership hierarchy will result.

After the elevation of competence, the second function of leadership is the assignment of authority. The emergent leadership structure will organize and direct the activity of others, with the abstraction and scope of such consolidation varying as the hierarchy of leadership grows. Each leader will need levels of authority commensurate with their activity scope in order to assure that everything happens according to the emerging structure. Without authority, the competency-based leadership breaks down because its practice becomes increasingly remote from the activities being led.

As scope and authority naturally grow, along with an increase of the interactions required in the growing hierarchy, the task of leadership becomes increasing demanding on the skills and abilities of the leaders. To maintain balance and to assure that leaders continue to emerge at the necessary higher and more difficult levels, the third function of integrative leadership is the

distribution of rewards. The rewards available to leaders must be sufficient to assure that leaders will, in fact, emerge into the more complex and important leadership positions.

With greater scope, burdens, and rewards; the label of leader begins to carry special status in the group. Leaders are assigned increased authority in the group, tying the success and self-perception of individuals to the beliefs and actions of the leader. Leaders receive greater rewards for their role, influencing the perception of their position by all in the group. In essence, the individual in the leadership role receives enhanced prominence across the group. As such, they become a role model; making the fourth positive function of integrative leadership the modeling of normative expectancies. Leader behaviors become the norms by which individuals behave and aspire to leadership. If those behaviors are dysfunctional, they will inhibit group success through their adaptation by the group as a whole. Therefore, behaviors of the leader that are not dysfunctional will become group norms, and group success will expand.

In essence, status, rewards, and preeminence become tied to past performance as leader behaviors that have been successful become norms for the group as a whole. The emergence of leadership will reinforce existing approaches to organization and activity, precisely the first internal maintenance function of organizations described by Chemers. To promote internal maintenance of the group, goals and behaviors need to be clear, distinctive, and well-understood. The emergence, authority, rewards, and preeminence of the leader will assure this occurs.

To serve the second organizational function of external adaptation, or to avoid outright failure of the group when environmental conditions change, Chemers' fifth positive function of integrative leadership is the facilitation of innovation. Leaders allocate and guide resources, and "optimum utilization of resources calls for creativity." (p. 8) Note that there is nothing in Chemers' theory that dictates that all leaders be cable of adaptation and innovation; only that

innovation is a key function of leadership. If the leaders that have emerged under the first four

purposes fail to innovate when needed, presumably new leaders who can innovate will emerge

when needed.   Far from invalidating the situational or contingency approaches to leadership,

Chemers model *explains* them. Leaders come and go, but leadership continues.

Chemers' theory of integrative leadership is an emergent model based on bestowed

status. Status identified and elevates the most competent and loyal members of a group into

leadership. This elevation provides these leaders with the authority to handle their expanding

responsibilities, and compensates them for the burdens they endure in carrying out those

responsibilities. With increased status, they become role models for the group; providing a set of

normative behaviors that drive group cohesion and, if not dysfunctional, desirable behaviors.

With increase authority and status, leaders become able to introduce change and innovation to

the group in response to external environmental pressures. As such, leadership functions to

provide both the internal maintenance and external adaptability functions needed by all social

groups.

The theory of integrative leadership has a negative side as well. Chemers points out that

the provision of rewards and prominence to leaders will result in leadership positions being

desirable in and of themselves. Individuals with ambition will seek leadership positions, and

those in leadership positions will work to keep such position, even (or particularly) when the

natural emergence function of competence would result in different leadership assignments.

Chemers describes certain resulting aberrations as predictable.

The most predictable negative affect is what Chemers refers to as *mean-end reversal*.

Integrative leadership theory predicts that status will accrue to emergent leaders who have the

competence to attain group goals through coordinative behaviors. When status becomes the goal

itself in the form of aspiring to be chosen leader, the ends and means are reversed, and dysfunctional behaviors can result.

A core group dynamic likely to be affected by this reversal is information flow. Individuals seeking leadership status begin to communicate with the group according to how they believe they will influence their own leadership status rather than according to the needs of the group or situation. The content and target of communications change as individuals interact with the underlying goals of attaining leadership status. This will usually involve increased positive messages moving up the hierarchy as individuals work to please those who hold current status, and negative messages flowing down the hierarchy as individuals attempt to create enough disruption to shift leadership patterns. Roby's leadership functions based on information load and flow (discussed in the previous chapter) are completely removed from the leadership mix when communications begin to serve purpose that may seem contradictory to organizational or group goals. This affect seems to dominate many organizational change and leadership models in the literature.

A second core negative affect noted by Chemers is _rigidification_. For the functions of leadership to emerge optimally, the structure and assignment of leadership roles needs to be fluid; as assignments shift based on the need for different competencies and external contingencies. It is important for the most competent group members to rise to the most important leadership positions. However, those in power, and who desire to stay in power, will typically work to solidify their positions relative to the group. Effort is put into protecting their status rather than into working toward the genuine important goals of the group. In fact, precisely because they are in power, leaders are in a position to reframe the group's goals to include such solidification aspects.

Chemers offers examples of royal heritage and caste systems, but obvious examples of corporate management doing the same thing abound. Powerful leaders dominate decision-making, and so can assure that decisions remain consistent with their own goals of retaining power. Such a system confers unfair rewards, acts as a demotivator to group members, and causes a downward spiral of group members working to protect their own interests at the expense of group goals and success.

In the long-run, the functions of leadership under the integrative theory are self-correcting. Even with the negative aspects, the organization functional needs for external adaptability will offer incentives to change. If local powerful leadership succeeds in maintaining power in the face of a need to change, and the organization doesn't change, then some other organization of group will step into the opportunity niche and replace the rigidified group. The five functions of leadership assure innovation, not survival. The challenge, according to Chemers, is for leadership to take advantage of the positive functions of leadership to build and expand group success while avoiding the pitfalls associated with the negative aspects. No wonder the popular perception of great leaders approach super-human status. Plato's philosopher-king still reigns.

Chapter 4

Leadership as a Systems Theory

Overview

This section introduces and explores the major writings in systems theory, focusing on

the ability of systems thinking to draw together the array of dimensions and variables needed to

discuss and understand leadership in this KAM.   Of particular interest is the development of a

framework for understanding the roles and functions of leadership as a set of interactions that

can be discussed and understood in a systems context.

General Systems Theory

Boulding (1956), describing what for him was a very contemporary problem, outlined the

growth and expansion of fields of knowledge in various sciences coupled with an increasing

need to specialize in order to be successful in the practice of any single science. He described a

growing need, felt by many across multiple disciplines, to somehow systematically identify a set

of constructs that could be used to challenge and communicate information across disciplines;

some set of descriptions "somewhere between the specific that has no meaning and the general

that has no content." (p. 11)

Bertalanffy (1956) states that "it seems legitimate to ask for a theory, not of systems of a

more or less special kind, but of universal principles applying to systems in general." (p. 1) Such

a set of constructs, or framework, would enable interested parties to identify similarities and

overlaps across multiple disciplines; allowing disciplines to benefit from the conceptual progress

made by others. Likewise, such a cross-discipline comparison might identify gaps and

opportunities in one's own discipline that might otherwise take extensive time or effort to

identify, often after pursuing countless dead-ends.

Boulding's alternative was a scientific world in which increasing specialization and detail drove practitioners farther and farther apart. "One wonders if science will not grind to a stop in an assemblage of walled-in hermits, each mumbling to himself words in a private language that only he can understand." (p. 12)

Bertalanffy (1956) describes General Systems Theory as "the formulation and derivation of those principles which are valid for 'systems' in general." (p. 1) Bertalanffy, and others at the time, were noticing certain structural and content similarities across a variety of scientific fields. They attributed many of these similarities to the fact that each distinct field was a system of knowledge, and they shared a belief that there should be common elements of structure and theory within any system. "The isomorphy we have mentioned is a consequence of the fact that, in certain aspects, corresponding abstractions and conceptual models can be applied to different phenomena." (p. 2)

Many of the aims espoused for General Systems Theory were pedagogical; tying the cross-systemization of the sciences to support and integration of fields and thus better science education. But in terms of knowledge content, the early aim was to develop unifying principles that would cut across disciplines; allowing concepts to flow across boundaries to enhance knowledge. Constructs so shared could help answer questions, as well as point to questions as yet unasked. "This theory brings us closer to the unity of science." (p. 2)

Characteristics of Systems

Ackoff (1960), taking a holistic approach, defines a system as "any entity, conceptual or physical, which consists of interdependent parts." (p. 1) He goes on to emphasize that systems theory is mostly interested in systems that can display activity; or concrete physical realities. "A physical entity is considered as a system if the outcome of its behavior is conceptualized as the

product of the interaction of its parts." (p. 2)   Ackoff later (1995) defines a system as any combination of components, the decomposition of which would remove its essential defining features.

More mathematically, Laszlo (1975) offered a means to specify a system through its parameters and relations, each of which could be described by a domain of values of a set of attributes.   Relations among those attributes constitute the functions that are available and supported by the system. The structure of any such system could be described by reference to the system itself, any of its subsystems, or to the suprasystems of which it is a part. Everything outside of these descriptions would constitute the system's environment.

Sutherland (1973) describes a categorical view of systems thinking that avoids Ackoff's holistic simplicity without resorting to Laszlo's mathematical abstraction.   Categories such as emergence, hierarchy, feedback, entropy, and equilibrium all contribute to the heuristic toolset of the systems theorist. (p. 50)

The General Systems Theory can itself, then, be described as a system that can be discussed at all of these levels of detail; whether holistically, as an endeavor to understand systems generally; categorically, as a delineation and naming of each identified isomorphy that contributes the main findings of the field; or abstractly, by formalizing the logic with which such constructs can be defined. Systems thinking can take place, and be fruitful at any of these levels.

Meta-Systems & Hierarchy

Klir (1975) describes a set of five general characteristics of systems than can be used to define and describe the invariant portions of any system definition:

1. A set of variables that describes the system and a granularity with respect to space-time organization for viewing and manipulating those variables,

2. A description of the system's activity, described in terms of time functions that describe the changes that take place in the system within the space-time frame described in (1),

3. A description of the system's behaviors in terms of time-invariant relationships between past, present, and future values for system variables at appropriate levels of granularity,

4. A state-transition structure for the system that describes the states of system variables and their next possible states within the system's specific space-time granularity, and

5. A description of the variables required for the system to interface with higher-order systems of which it is a part, or with which it carries out interactions.

Klir's characteristics describe a meta-system that describes common aspects of all systems. An interesting aspect is the inclusion of space-time granularity as a fundamental distinction within the taxonomy. It allows for multiple definitions of systems that, on the surface, might too easily be judged to be the same system.

For example, the system definition describing a human being on the scale of hours is a markedly different system than the one that defines the human being on the scale of years or decades. A social group viewed on a day-to-day basis is clearly a different system than the same social group viewed over decades. A society viewed on a scale of years will be systemically different from the same society viewed from the historical perspective of centuries.

The distinction and difference aren't only in the level of detail. The focus of the system description is entirely different at the various scales, and completely different aspects of action, behavior, and interaction are important.   Klir acknowledges the obvious need to map each of these system definitions to each other, and views the transitional rules or procedures as themselves constituting a system — actually a meta-meta-system — that can be studied. Many

fields (e.g. history, economics, anthropology, etc.) actually spend much of their effort studying

the potential time-invariance of such meta-meta-systems.

These descriptions of systems, meta-systems, and meta-meta-systems constitute a

hierarchy of systems that Klir asserts can ease the study of "such phenomena as growth,

evolution, self-reproduction, self-organization, adaptation, and learning." (p. 32) The

distinctions among phylogeny, genealogy, and ontogeny – different temporal aspects of

describing humans as systems – are an example of such a meta-system describing humans.

Types of Systems

Ackoff (1995) emphasizes the importance of systems thinking in understanding complex

systems. He offers an understanding of systems dynamics through a model of three types of

systems: mechanistic, organismic, and societal; each of which carries different meaning in an

understanding of human development.

Mechanical Systems

Mechanical instruments, devices, and machines that may contain an arbitrary number of

working components, each representing systems of their own on smaller scales, make up the

range of mechanical system. Mechanical systems are characterized by serving some function.

They have no purpose of their own, just function. The range of functions might include some

that are unintended by the designers of the system; but never does the mechanical system take on

a purpose of its own.

Most of the systems described using phylogeny and ontogeny in this KAM are examples

of mechanistic systems. Biological evolution drives naturally selected change in phylogenic

development; but such change is only described by the functions that emerge from such change.

No inherent purpose is attributed to genetic change; just function. New genetic combinations

enable new functions to emerge in individuals, who are then more or less selected by the natural

environment in which those functions are exhibited. Physiology describes function, not purpose.

Life is a mechanical system; up to a point.

Organismic Systems

Organismic systems are individual living beings, made up of myriad physiological

subsystems. Many of the component subsystems are actually mechanical systems. Ackoff's

example is the human being, a subsystem of which is the respiratory system. This subsystem has

a function; respiration. The whole human can be said to have a purpose, or mission.

Although Ackoff limits his discussion to humans, most life forms derived from biological

evolution (but not all) can be described as organismic systems.   To the extent that a living

organism demonstrates a survival instinct or will-to-live, coupled with a reproductive instinct;

the organism can be described as having a purpose. The individual physiological subsystems of

such individuals lack such purpose, providing their function instead. The system's purpose is an

emergent property of the combination of the physiological systems.

Societal Systems

Larger organizations of collections of organic individuals are societal systems. The

components of the societal system are generally smaller societal systems, or else individual

organismic systems: people.   Societal systems have purpose. Such purpose is not completely

dependent upon the individual purposes of the organismic systems that comprise it.

Ackoff describes the friction that ensues when one looks at the differences in purpose

between individual organismic systems and the societal systems of which they are a part.   A

dyad of two individuals will exhibit properties and characteristics held by neither individual.

The collective purpose will be unique relative to the personal purposes of the individuals. The

same is true of any organismic systems collective. The scope and scale of such systems affects

the dynamics of their makeup and interactions, often in interesting and unpredictable ways.

    The fact that the same organismic individual can be a component of multiple societal

systems means that at any given time, an individual is a part of multiple possible contradictory

purposes. Larger societal systems can even be seen to treat component individuals as though

they were only mechanistic systems; serving a function, but having no specific purpose of their

own. This dynamic explains many organizational behaviors where individual members

sometimes feel treated as less than human. Such conflict of purposes (e.g. personal, group,

family, state, company, church) within single individuals is an emergent property of the

leadership models being explored in this KAM. Such dynamics are created from the models, and

then further define the environment in which leadership emergence occurs.

Chapter 5

Conclusion & Implications

Overview

If leadership is an emergent property of the interaction of individual and group systems, then a theory of leadership comprises a meta-system. This observation asserts – something that is already commonly discussed in the leadership literature – that the leadership meta-system will describe an emergent set of interactions between other systems, and between those systems and their environment: leaders, followers, and organizational contexts.

Leadership Systems

Ackoff's three classifications of systems provides a taxonomy for highlighting the types of interactions that should occur in the leadership meta-system. Each system, regardless of class, can interact with any other system, regardless of class. This gives rise to the 9-fold matrix in Figure 1. Systems of any of Ackoff's classes – mechanistic, organismic, or societal – will interact with other systems as either leader or follower.

Figure 1 – Leadership System Dyads

FOLLOWER

	Mechanistic System	Organismic System	Societal System
Mechanistic System	Thing - Thing	Thing – Individual	Thing – Group
Organismic System	Individual - Thing	Individual – Individual	Individual – Group
Societal System	Group - Thing	Group – Individual	Group - Group

(Left side label, vertical: L E A D E R)

While each of the 9-matrix cells represents a logical combination of system interactions, not all are equally useful for defining a systems model for leadership. In particular, inclusion of mechanistic systems is problematic. Having function but not purpose, mechanistic systems can't follow in the *leadership* sense being discussed in this KAM. While a planet can be said to follow the gravitational path through spacetime created by the sun (a thing-thing, or mechanistic-mechanistic interaction) such followership does not rise to the level of leadership being discussed here. As such, the far left column in Figure 1 can be omitted from this discussion.

Likewise, it is problematic to place a mechanistic system in the position of leader. To infer leadership onto a mechanistic system is to give it purpose; something that is more descriptive of the individual inferring the purpose than on the thing itself. Such an inference requires either an anthropic perspective if in a scientific context, or a deistic perspective if in a religious context. Either way, any leadership in such a relationship, while a valid systems

interaction in this model, is not necessarily useful in the context of this KAM. The mechanistic

system would have to be seen to serve at least some of the functions of the leader role. More

likely, an attempt to model the thing-societal interaction (e.g. deity-church) as a leadership

interaction would result in a discussion of the organismic-societal interaction (e.g. priest-

church). In this sense, the organismic system can serve as proxy for a mechanistic systems

perceived to serve one or more leadership functions. As such, the top row in Figure 1 can also

be omitted from this discussion since the middle row will suffice for such discussion.

The resulting systems interaction model is the 4-cell matrix in Figure 2. These four cells

represent the four system interactions where both sides of the interaction can have purpose that

results in the emergence of leader-follower interactions.

Figure 2 – Purposeful Leadership Dyads

Follower

		Organismic System	Societal System
L e a d e r	Organismic System	Individual – Individual	Individual – Group
	Societal System	Group – Individual	Group – Group

Of particular interest in this model is that the leader role can be seen to be served by the

group (societal system) independent of any individual (organismic system) in the group. This

requires that the functions of leadership be able to emerge from the system interactions without

necessarily being carried out or vested in any particular individual. Group leadership without a

leader is the result, and the emergence of such leadership is the focus of the depth component of this KAM.

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WALDEN UNIVERSITY

Advanced Knowledge Area Module 5:

Leadership Development

AMDS 8522 – Current Research on Leadership Development

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Annotated Bibliography

on Leadership Emergence

Overview

The articles selected for annotation here explore leadership as a systems model, an emergent model in particular, largely oriented around cultural setting and organizational context. The intent is to look at leadership under different system dimensions that are typically used as definitional or descriptive. If leadership is emergent under various social contexts and conditions, then the fact that it has not been seen that way until very recently must itself be explained by the literature.

Drawing analogy from the sciences, Einstein's relativity didn't replace Newton's mechanics, it simply superceded it. Newton wasn't wrong; he simply looked at a narrower problem than Einstein did. Linear mechanics served perfectly well when the conditions were non-extreme. In fact, even today most engineering problems are addressed without reference to anything beyond Newton. But Einstein's relativity expanded the theory to be able to handle the extreme. In the face of high velocity or mass, relativity accurately described the world in areas where simple mechanics failed. In the simpler case, relativity yields the same answer as simple mechanics, but is much more complex to use. Hence the continued reliance on good old-fashioned Newtonian mechanics.

In organizations, accelerated change and massive systems may represent the discriminator between a leadership model that can remain traditional and a more complexity-based model that explains more at the extremes. Organizations today exist and operate more and more at the extreme, and a relativistic leadership model may be needed. These articles look at

some of those themes, and position a discussion below of emergent leadership within the

organizational sub-culture of quality management.

April, K. A.; & S. Hill (2000). The uncertainty and ambiguity of leadership in the 21st century.
South African Journal of Business Management, 31(2). 45-52.

April and Hill (2000) write of a series of paradoxes that can be seen in the study and

practice of leadership, seeing paradox as a tool for expanding the our understanding and practice

of leadership as it is actual seen to be shifting in modern organizations today.   Traditional

organizational leadership based on linearity, determinism, order, and simplicity are giving way

to nonlinear and dynamic approaches in the face of pressures for organizations to be able to act

and react in new ways that don't seem to be adequately supported by traditional leadership

means. They describe leadership theory needing to be shifted away from traditional thinking due

to the contextual changes that surround leadership in recent years; changes that are likely to

accelerate in the future. These changes include the ever-changing circumstances that

organizational leaders find themselves addressing, and changes in the way both leaders and

followers see the world.

Writing from an African perspective, April and Hill see a contrast between Western

conceptions of leadership and the newer emergent leadership models that seem to align best with

Eastern and African cultural principles. They see the concept of leadership "in its entirety or in

respect of the form it assumes, may be a particularly Western construct." (p. 46)   They contrast

Western leadership values and perspectives with examples of Chinese familism (in which group

dynamics of in-group and out-group behaviors are coupled with strong paternalistic hierarchies

within the group) and African *ubuntu* (where how one feels about oneself is tied directly to how

one feels about others, resulting in a balancing and sharing of needs) as examples that counter the simple individualism-within-hierarchy upon which much of Western leadership thinking is based.

April and Hill describe organizations in terms drawn from more recent discussions of distributed function and emergence. They see traditional mental models outside of the American management mainstream as better serving current research questions regarding leadership. They see in ancient traditional cultures the precursors to many of the leadership concepts of nonlinear self-organizing systems now appearing in the leadership literature. As self-organizing systems, organizations will tend to exhibit many of the characteristics and features currently ascribed to organizations that would currently be described as being well led. Paramount among these features would be the presence of apparently well formulated and articulated visions, and a set of behaviors that appear to have been well planned and executed for achieving that vision. The fact that such behaviors seem well coordinated around the vision, coupled with the notion that individuals throughout the system often seem to be unaware of the vision itself, only seems to support the notion that the leaders at the top are somehow responsible for both the vision and the coordinated actions to achieve it.

Complexity theory offers an alternative viewpoint, according to April and Hill. Any complex social system (as discussed earlier in the breadth component) will self-organize around its needs as it grows in complexity. The core needs will form an attractor around which behaviors will aggregate, with only limited deviation from the attractor. Under such a system collective, vision will often only be seen in hindsight as an emergent property of the collective. The attribution to single individuals or groups of key leadership functions around vision is in conflict with this emergence notion of vision. And yet, leaders do have roles to play in

organizational emergence. April and Hill don't argue for discarding the leader-follower

paradigm. Indeed, they argue that the dyad is a critical emergence in organizational thinking.

They do, however, argue for less emphasis being placed on manage-leader alignment in our

thinking, allowing for greater emergence possibilities for leadership throughout the social

system. It is this emergent perspective that will drive the discussion of leadership in quality

management in this depth component.

Berson, Y.; B. Shamir; B, J. Avolio; & M. Popper (2001). The relationship between vision
        strength, leadership style, and context. *Leadership Quarterly, 12*. 53-73.

Berson, Shamir, Avolio, and Popper (2001) investigated the relationship between

leadership style and the content of vision statements created in organizations. They noted in

their review of the literature that the use of vision statements was often taken as a given in any

discussions of transformational leadership. These authors chose to study just how such a

relationship could be measured and articulated, if indeed it existed. Specifically, they found that

the strength of the transformational leadership style of leaders does positively correlate with the

strength of the organizations that these leaders lead. They found organizational size to be a

moderating variable, with larger organizations sometimes struggling to maintain strong visions

more than their smaller counterparts in the study.

     Their study looked at 141 leaders, some of whom exhibited transformational leadership

characteristics, and some of whom did not. Those who did not were described as exhibiting

combinations of transaction or managerial styles. Berson, Shamir, Avolio, and Popper noted that

the leaderships styles often mixed, but were not bi-directional. Transformational leaders were

often seen to be exhibiting transactional or managerial behaviors in different context, but

transactional leaders were not observed to exhibit transformational behaviors in any systemic way. Consistently, the "leaders who were evaluated as being more transformational, generated vision statements that were more inspirational than leaders evaluated as less transformational, transactional, and/or passive." (p. 55)

Regarding organization size, Berson, Shamir, Avolio, and Popper suggest that as organizations grow in size, maintenance of the organizational mass becomes a burden on the optimism and excitement of the transformational leader. Such organizations increasingly rely on transactional and managerial structures to operate, and so would be expected to see less leader-vision strength than in otherwise similar small organizations. Their data supported their hypothesis in this area.   While in every organization tested, the level of transformational style in the leader served as a predictor of organizational vision strength, the relationship was consistently less pronounced as organizational size grew when viewed along te four dimensions of indealized influence, inspirational motivation, intellectual stimulation, and individualized consideration that these authors chose to measure.

This finding is significant for this depth component. If size mediates vision effectiveness in transformationally led organizations, this might suggest an upper limit to the size of organizations that can be led transformationally. The effect implies diminishing returns that might result in fewer and fewer large organizations being seen to be exceptionally well led. Under existing traditional paradigms of leadership, this could result in the leaders of such organizations being viewed as super-leaders, in that they betray the odds and lead their very large organizations to greatness. The literature abounds with such examples in recent decades. What if the difference isn't the leader personally, but the network of leadership emergence that permeates such large organizations as they grow? Could emergence help explain the ability of

some organizations to maintain vision strength as they grow, in apparent conflict with Berson, Shamir, Avolio, and Popper's findings? If so, the super-leader may be 'super' in ways currently unappreciated; in their ability to foster and support an emergent leadership network throughout the organization; one that makes them look like exceptional leaders to an outside world steeped in the traditional leadership model. This theme will be explored further below.

Brodbeck, F. C.; M. Frese; & M. Javidan (2002). Leadership made in Germany: Low on compassion, high on performance. *Academy of Management Executive, 16*(1). 16-30.

Brodbeck, Frese, and Javidan (2002) look at leadership issues and trends in Germany using data collected as part of a broader Global Leadership and Organizational Behavior Effectiveness (GLOBE) project. Their purpose is to help leaders and managers outside of Germany, particularly in the United States, better understand German cultural values and practices as they concern effective leadership. While the GLOBE study collected data about both societal and organizational values, this article observed that little difference existed in the data between these two views in Germany, and so no particular contrast was possible.

In the GLOBE data, Brodbeck, Frese, and Javidan observe that respondents typically reported desiring more in certain cultural dimensions not typically associated with German culture. (see Table 1) In particular, German respondents indicated a desire for increased group/family and institutional collectivism in their organizational and leadership practices. The authors speculated around the issue of German reunification and any effect it has had on economic and social values across post-reunified Germany.

Table 1 – Orientation to Cultural Leadership Dimensions (Brodbeck, et al; 2002)

Cultural Leadership Dimension	"Should Be" Orientation
Power distance	Much less
Uncertainty avoidance	More
Assertiveness	Less
Future orientation	Much more
Performance orientation	More
Group/family collectivism	More
Institutional collectivism	More
Humane orientation	More
Gender egalitarianism	Much more

(from Brodbeck, Frese, and Javidan, 2002, p. 18)

This issue appears important in Brodbeck, Frese, and Javidan's findings because of their attempt to understand the need for German leadership styles and practices to change as the global economy factors into the success of German organizations on a global scale. They speculate that the concurrence of societal and organizational responses in the GLOBE data may be attributable to the fact that Germany has had a significant social safety net in place for decades, protecting business, workers, and those in need. As such, the German workplace has been able to adopt a fairly strong task-orientation because social needs could be expected to be met elsewhere. Instead, organizational conflict would lead to high performance, efficiency, and quality.

The dominance of conflict within leadership interactions may be rooted in the fact that organizational conflict doesn't necessarily engender personal conflict in a society where social needs are not associated directly with the workplace. With reunification, economic demands are raising doubts about the ability of such safety nets to remain in place to the same extent. Future

organizational leaders, faced with a prospect of adapting to societal needs being met at least partially in the workplace, may need to modify typical German leadership styles to remain successful.

Of the dimensions that seem to be driving change in German leadership styles, Brodbeck, Frese, and Javidan note that the measure of low current gender egalitarianism reported in the German data, to the much higher desired levels reported in the same data, represented the largest current-to-future data gap in the study across all countries. The Germans, report Brodbeck, Frese, and Javidan, seem ready for women to play a greater role in the workplace. If this coincides with a shift in socioemotional demands on leaders in the workplace, Germany may be a working laboratory for change that will either be successful or not depending upon how such a shift is managed.

This shift, and the data that describe it, provide a model of leadership that ties together multiple dimensions in a rich interlocking model. Regardless of any particular data reported for Germany, the authors have reported a working model of constructs that will serve well as a framework for understanding the complexity of leadership as it is reported in the literature; and as it is operationalized in the quality award criteria explored in this KAM. The data shows that country specific context is likely to moderate any model for leadership, and additionally that changes taking place in a country over time may further moderate these relationships as the leadership construct being studied continues to shift and evolve.

Casimir, G. (2001). Combinative aspects of leadership style: The ordering and temporal spacing
of leadership behaviors. *Leadership Quarterly, 12*. 245-278.

Casimir (2001) studied the combinative aspects of leadership style, which he

operationalized as the fact that leaders can choose to order their leadership behaviors in different

ways, and they control the timing (e.g. immediacy versus delay) of the occurrences of certain

behaviors in that order.

Regarding leadership content, Casimir looked at two leadership functions often described

in the literature: a) task-oriented, and b) socioemotional. Task-orientation centers largely around

using resources for goal-attainment, while socioemotive leadership centers around meeting the

needs of those being led to help in achieving those goals.   A great deal of the literature on

leadership describes these two aspects of leadership content as being additive and interactive,

with various management grid-like tools proposed for measuring and monitoring leadership

activity. A high-high position in both functions is often described as a leadership practice goal

to be achieved.

Outside of Casimir's study, many have looked at variants on this high-high approach

when analyzing contextual variables that might align with successful leadership practice in other

arenas of activity. According to this line of reasoning, a low-high or high-low leadership style

might be contextually superior to the high-high pinnacle. Casimir doesn't get into such a debate,

instead suggesting that the validity of the underlying two-dimensional model needs to be

validated considering the amount of literature attention being given to its application.

In particular, Casimir focuses on the view that the two leadership functional dimensions

somehow interact as their intensity changes. He chose to look at such possible interactions in

terms of the order in which they occur in leadership interactions, and the temporality of such

occurrences. He worked with order by varying two types of leadership behaviors: 1) how

leaders pressured followers to do work (task-orientation), and 2) how they supported followers in

getting to that work (socioemotional). For order, he varied whether support was offered before

or after pressure.   For studying the temporal dimensions, he varied the time gaps between the

order pairings; from immediately before or after, to short-interval (5 minutes), to long-interval

(20 minutes). The permutations of order and temporality created the test cases under study.

Casimir added a third dimension to his studies: constancy. Constancy referred to the use

or not of multiple order-temporal combinations by individual leaders over extended time periods

with the same followers. He studied combinations of these three dimensions – order,

temporality, constancy – in three studies that he reports in this article. The first study looked at a

fairly homogenous white-collar population, the second at a mixed group that allowed analysis of

gender and education differences, and a third that focused on blue-collar experiences with white-

collar managers. Differences occurred among the studies, but Casimir reports some common

themes that support specific variations within the combinatorial view.

Casimir's general finding across all three studies was that the order, temporality, and

constancy of leadership behaviors did effect follower perceptions of leaders, and the outcomes

those behaviors were able to engender.   Followers responded most positively to situations where

socioemotional support was offered just before task-oriented pressure, and leaders were

perceived as more genuine when such behaviors were exhibited consistently over time.

Additionally, while Casimir didn't find much difference between white-collar and blue-collar

perceptions in these studies, he did find that gender and education might play a role greater than

currently acknowledged. He suggests further study in this area.

Casimir's study was complex, and contained many limitations, many of which he

acknowledged throughout the article. A few of his observations seemed less than completely

warranted by his data, although such weakness could have been a result of a tight editorial

process. Casimir generally points out his own weaknesses, and suggests further research be

done. The most pertinent limitation was the fact that his three studies were based on scenario-

interpretation by respondents on surveys, not actual field observation. He acknowledges that

field-based observation could yield very different results. Also, his studies were based on paired

combinations only, requiring further study to see the effects of letting these variables change

more dynamically. In spite of these acknowledged weaknesses, Casimir shows that the

combinative aspects of leadership style he has studied carry important implications for the

practicing leader-manager. Such benefit should not be lost within a discussion of the limitations.

Limitations are a challenge to the next researcher, not an excuse for the practitioner to wait and

see.

Day, D. V. (2001). Leadership development: A review in context. *Leadership Quarterly, 11*(4).
    581-613.

Day (2001) explores the distinction between leaders and leadership using three

contextual views of development: a) conceptual, b) practice, and c) research. He is interested

specifically in development of leadership models, and so excludes from his discuss manager and

management development models. Day describes leadership development as expanding an

organization's – as opposed to an individual's – capacity to engage in effective leadership

processes and practices. These capacities involve collectively enabled groups working together

in increasingly meaningful ways.   He sees such enablement taking place cognitively as the organization expands its capabilities for handling novel and changing situations.

Conceptually, Day describes leadership as traditionally being conceptualized in terms of individual skills. This individualistic perspective emphasizes the interpersonal skills and abilities of individuals. Day challenges this notion with the complementary view that leadership is a social process that emerges from, and engages, everyone in an organization. From this perspective, leadership development consists in developing and enabling commitments among members of a 'community of practice' (citing Wenger).

The differences Day describes between leader development and leadership development cause different aspects of the problem of leader to come to the foreground. Leader development focuses on the individual, emphasizing self-awareness and control, and self-motivation to lead. Leadership development focuses on social relationships, emphasizing social awareness and social skills across a broad range of people. This latter view requires cognitive insights, with people building up shared representations and collective meanings through development activities. Far from being opposing models, Day describes these two models as interacting, with leadership development actually fostering leader development. By helping individuals develop increased relationships and mutual understanding, individual leader skills will result along with the emergent organization leadership capabilities.

After discussing these themes conceptually, Day turns to a review of leader and leadership practices, describing a set of leader-oriented organizational practices that build along a continuum from least to most embedded in the organization (e.g. 360-degree feedback, coaching, mentoring, networking, job assignments, action learning). Less embedded practice will tend to develop individual leaders, while more embedded practices tend to focus on general

leadership and organizational capabilities. Day observes interrelationships between each type of practice described in the research. For example, 360-feedback tends to be more effective when accompanied by supportive coaching. Coaching increases an individual's connections to the social network. Mentoring relationships open opportunities for expanded assignments, which promote more active learning in real world and guided situations with appropriate social support in the mentoring relationships. In all, research seems to highlight, argues Day, that as development opportunities shift from individual leader focused toward organizational leadership focused, a broader impact on the organization is achieved. "Leadership is developed through the enactment of leadership." (p. 605)

Day argues for an integration of leader and leadership development thinking, with an emphasis on expanding the definition of leader to include the broadest array of individuals across an organization, and not simply its management hierarchy. Leader thinking develops individuals, while leadership thinking develops organizational capacity for leaders to emerge. While leaders clearly exist and can be developed, leadership is an emergent property of the social system in which development and practice occur. Leadership emerges when people in an organization grow to rely on the mutual trust and understanding built up through leadership development. Day argues that this social capital component of leadership needs to be considered a prerequisite to the effective development of leaders. As leaders recognize and implement such a model, further emergence becomes a virtuous cycle; an emergence cycle to which this KAM returns below.

Dickson, M. W.; D. N. Den Hartog; & J. K. Mitchelson (2003). Research on leadership in a cross-cultural context: Making progress, and raising new questions. *Leadership Quarterly, 14.* 729-768.

Dickson, Hartog, and Mitchelson (2003) explore the state of cross-cultural leadership research, specifically surveying relevant research and publications from 1996 to 2003. They draw three general conclusions based on their review of the research published during the period.

First, they find that during the period of their survey, the extent to which leadership literature has attempted to describe both universal and culturally context-specific factors and dimensions has grown more advanced and complex, indicating a continuing growth in the richness of the field. They highlight the importance of theory and solid research design because of the complexity and breadth of many of the issues being explored in this research. Cross-cultural leadership research looks to determine whether organizations and individuals in different countries have different characteristics, and more specifically, whether such differences are actually attributable to cultural differences among the countries. Most research today, they generalize, is focused on differentiating aspects of leadership characteristics that occur universally across cultures, and characteristics that are more cultural contingent.

A challenge discussed by Dickson, Hartog, and Mitchelson involves the on-going clarification of what is meant by *universal* in the context of identifying universal dimensions or aspects of leadership. Failure to clarify the construct of universality increases the difficulty of aligning and understanding different published research on cross-cultural leadership. The authors categorize different levels of universals, three drawn from Lonner, and two from Bass. From Lonner's work, a *simple universal* consists of phenomena that are constant across the world with no variety across cultures. *Variform universals* refer to general principles that hold true universally, and yet are enacted differently across different cultures. *Functional universals*

occur when the relationship between two cultural leadership dimensions remains stable across cultures in spite of differences across cultures in the enactment of those dimensions.

From Bass' work, *variform functional universals* combine aspects of Lonner's latter two explanations, while a *systematic behavioral universal* attempts to explain if-then observations across cultures as sequence or structural invariants. The fact that the construct of the universal requires such a depth of explanation illustrates the depth of challenges being faced by researchers in the field of cross-cultural leadership.

Dickson, Hartog, and Mitchelson's second conclusion is that the clarity of the definition of culture has been increasingly refined in recent years, particularly with respect to the various dimensions that are used to differentiate aspects of culture, along with increasing precision with which different dimensional factors are attributed to being strongly or weakly aligned with different cultures. The dimensions being articulated in the research of the past few years have grown increasingly rich and robust in predicting and understanding behaviors and attitudes across cultures. These dimensions will be explored more specifically in this depth component as inputs to the establishment of the leadership framework that will be used in the application component.

The authors' third conclusion is more an observation that cross-cultural leadership has flourished in recent years when viewed in the context of publication outlets for research, and the rise in the number of multinational (as opposed to bi-national) studies being conducted.

Ivey, J. M. (2002). Five critical components of leadership. *Leadership and Management in Engineering, X*. 26-28.

Ivey (2002) writes of what he sees as a distinct different between the practice of management and the enablement of leadership. Enabling leadership requires, according to Ivey, five critical components: a) integration, b) innovation, c) importance, d) intensity, and e) integrity. Ivey centers his discussion of integration around information, and our ability to integrate increasing modern information flows into management thinking. He goes on to describe an even greater need for the leader to be able to integrate people and their needs into organizational goals and activities.

For innovation, Ivey challenges leaders to encourage continual improvement in the face of change, a perspective that sets the stage for this depth component to explore the role of quality professionals as emergent leaders throughout an organization. Leaders, according to Ivey, must find a way to drive such continual innovation throughout an organization in order for the organization to thrive in a continually changing landscape. By internalizing the change as continuous improvement, a leader enables the organization to see the world as more static, enabling long-term planning and service delivery to continue.

Ivey also describes a good leader as being able to recognize and focus on what's important. Being able to differentiate the trivia that absorbs so much energy can be key to keeping an organization focused and thriving. No organization that appears well-led will be described as focused on the trivia. A central part of maintaining a focus on the important, is being able to let go of the past, to abandon old practices that serve little purpose in today's big picture.

Ivey's fourth component, and the one that seems to differentiate his message from other leadership-style and leadership-component articles, is intensity. A leader effects followers largely by encouraging everyone to approach their job with intensity, or what some call passion. A strong leader is typically also seen to practice such intensity. If leadership emergence is an actual component of organizational leadership – as this depth component argues – then some force is required for the exercise of leadership outside of traditional organizational power structures. The intensity with which a belief or an activity is approached could provide such force. Ivey's fifth component is integrity, or aligning values with actions. It channels intensity toward organization goals and values, and prevents chaos.

Ivey's five components are interesting in the context of this depth component because of the simplicity of their presentation, and because his notion of 'intensity' is less seen in the literature on leadership. In the absence of positional power, emergent leaders need a hook to establish legitimacy of their leadership. Intensity may serve as such a hook because it allows for work energy to serve as an attractor – in the complexity science sense – outside of normal hierarchic relationships. The emergent leader may simply be the result of such consolidated attraction in an organization. This might explain why many leaders identified as emergent, often don't see themselves as leaders.

Keller, T. (2000). Images of the familiar: Individual differences and implicit leadership theories. *Leadership Quarterly, 10*(4). 590-607.

Keller (2000) studied the relationship between individual personality characteristics and the implicit leadership theories held by individuals. With implicit leadership, individuals build prototypical leadership characters in their mind against which actual perceptions of leaders and

leadership are compared. Keller describes Offerman's work in identifying eight traits typically included in an implicit model of leadership: sensitivity, dedication, tyranny, charisma, attractiveness, masculinity, intelligence, and strength. When individuals compare people in leadership roles to these prototypical traits, their leadership schema become activated, and leader behaviors come to be viewed through the filter of the implicit theory. The individual may even be misled by an arbitrary attribution of characteristics based more on the expected schema than on the actually observed behaviors.

Keller suggests that personality traits might serve as a source of measurement error in studies looking at implicit leadership without consideration of personality. She specifically selected the five personality dimensions of agreeableness, conscientiousness, extroversion, openness, and neuroticism; citing numerous studies in the literature to support their use. She also included several other constructs in her model, including self-monitoring and self-esteem.

As potentially mediating constructs, Keller included two other considerations. First, parental traits may play a central role in developing an individual's implicit leadership theory because the parents are typically viewed as strength leaders early in life. Characteristics of one's parents might typically be associated with positive leader characteristics, suggests Keller. Second, the psychological principle that individuals tend to prefer individuals that are similar to themselves might impact our implicit leadership theories toward personality traits held by ourselves. Either of these constructs could mediate any relationship between personality and implicit leadership.

Keller's approach was to hypothesize ten correlations between the various personality traits and some of Offerman's dimensions. Dimensions that shared no apparent connection were omitted from her study. Her first five hypotheses focused on the relationship between individual

personality and leadership traits. The latter five hypotheses focused on the impact of parental characteristics on developing implicit leadership theories.

Survey data was collected from 161 individuals and used for analysis. Data collected regarding personality traits were compared to other studies to determine that the data collected was comparable to other studies of personality traits. Likewise, data relating to implicit leadership was compared to other implicit leadership studies to determine that the data was comparable to other related studies. In general , the survey results replicated prior results against related studies, and appeared reliable and valid for testing this study's hypotheses.

In general, the relationships posited between personality traits and implicit leadership theories were supported. The data regarding parental impact was less significant, but generally did point toward the posited relationships. The result is that while implicit leadership theories may impact the interactions between leaders and followers, the role that the personality traits of the follower play in that impact needs to be better understood. A match or mismatch between personality traits and organizational leadership realities may affect organizational productivity, outcomes, and staff satisfaction.

This carries significant weight for contextual leadership. If personality traits impact perceptions of followers to a considerable degree, and this study suggests that it is to a significant degree, then the personality traits of followers becomes a critical contextual variable in any leadership system. As organizations become increasingly diverse, the chances that multiple personality types will be found within them increases. A manager, attempting to lead, may have to adjust leadership styles contextually based on the personality traits exhibited by those being led. Leaders unable to alter styles will, necessarily, be perceived as a different type

of leader by those in the organization with different personality traits. Keller ends by calling for more research on this issue.

Ling, W.; R. C. Chia; & L. Fang (2001). Chinese implicit leadership theory. *The Journal of Social Psychology, 140*(6). 729-739.

Ling, Chia, and Fang (2001) conducted a study in which they used factor analysis of collected leadership perceptions data to identify implicit leadership conceptual structures in Chinese society.   Their background on implicit leadership included the notion that the expectations an individual or aggregate society has of its leaders will affect any subsequent perceptions of actual leaders and leadership skills experienced.   While many studies were available to them regarding implicit leadership models, none existed that focused on the Chinese context. Their goals, then, were to explore how the Chinese think about a leader, identify dimensions of leadership conceptually, and examine whether the resulting model differed from the general Western literature available.

The study drew data from 597 volunteers using an instrument that had been developed and scaled by the authors using a separate volunteer group of 133 individuals. The instrument included 163 unique descriptive terms that respondents identified as being strongly or weakly associated with leadership. A factor analysis of the resulting data (with .40 factor loading) identified four dimensions that accounted for just over 91% of the total variance: a) personal morality, b) goal effectiveness, c) interpersonal competency, and d) versatility.

The authors analyzed their data for differences by gender, age, occupation, and education level. No differences were seen to be gender tied. Small differences were noted among the other three differentiators, with education being the most significant. The authors attributed the higher

idealism depicted in the responses from younger participants as to be expected given the temporal boundaries of the Chinese cultural revolution and more recent challenges to Chinese authority and social structures.

Overall, the interpersonal competence factor received the highest ratings from all groups, but the personal morality factor explained the most variance. The authors focused much of their analysis on the personal morality factor, and contrasted this factor with previous factor analysis put forth by Offerman a decade ago (e.g. sensitivity, dedication, tyranny, charisma, attractiveness, masculinity, intelligence, and strength). Personal morality, as a factor, has no directly mapped counterpart in the Western model. "This finding indicates that, even today, 2,500 years after the time of Confucius, his traditional ethics continue to have tremendous influence over Chinese people."

If so, this observation is significant to an understanding of leadership globally. Ling, Chia, and Fang argue that the Western theories of leadership that dominate the academic and management literature might be wholly inappropriate to understanding leadership in Chinese settings, including working with Chinese leaders and managers operating in the West. If such differences exist with the Chinese leadership model, there is little reason to expect such differences to not be found among and between other cultures. Indeed, there may not be a single global model, except to the extent that a globally-oriented model includes key variables and dials for local cultural implicit differences. This issue will affect the analysis of quality management programs reviewed in the application component, which looks at self-reporting of leadership constructs against a western (e.g. Baldrige) model.

Lord, R. G.; & C. G. Emrich (2001). Thinking outside the box by looking inside the box: Extending the cognitive revolution in leadership research. *Leadership Quarterly, 11*(4). 551-579.

Lord and Emrich (2001) offer a survey of cognitive shifts in leadership research over the past decade, offering summarizing propositions based on their interpretation of results and trends in the literature. They begin by describing the conceptual schema within which they conducted their review. Their initial concern in their schema was whether studies in the literature looked at aspects of individual or dyadic cognition, or at broader collective cognition issues.

Their schema then categorized studies in the literature according to how they fell along three key conceptual dimensions: a) the focus of causality, whether leadership resides in the leader as individual, or in the minds of the followers; b) nature of leadership schemas, whether they are considered developmentally fixed in the minds of leaders and followers or whether they are expected to develop and evolve dynamically through the on-going and unfolding leadership process; and c) the nature of the dependent variables described, whether they appear closely attached to the leadership process being investigated (i.e., process based), or occur more proximally beyond the leadership process under study (i.e., outcome based). The combination of these three analytical perspectives coupled with their individual-collective cognitive continuum provided the framework against which over ten years of studies in the literature were mapped.

Lord and Emrich identified several emergent themes in the literature along the schema dimensions of their analysis. Studies with an emphasis on individual/dyadic cognition could be characterized in two general areas: a) those dealing with the metacognitive processes associated with either leader or follower schema, or both; and b) those dealing with the emergence and development of implicit leadership theories, either from the leader or follower side. An emerging focus area within the latter grouping includes the study of multicultural factors in the

evolution and play-out of implicit learning theories (as described in this section for Brodbeck, Frese, and Javidan (2002) for Germany; Dickson, Den Hartog, and Mitchelson (2003) globally; and Ling, Chia, and Fang (2000) for China).

Studies with an emphasis on collective cognition were characterized by Lord and Emrich in three general areas: a) charisma, or the emergence of extraordinary performance over personal expectations; b) organizational sensemaking and performance, including the development of shared values, vision, and mission; and c) transformation and change, or looking at the styles of leadership that perform well or poorly based on the dynamics of change being encountered in the leadership situations.

The authors close their analysis with a discussion of how the various research schema at the individual/dyadic cognition level and the collective cognition level can be seen to connect or mediate. They describe a connectionist level network where connections are fashioned according to two primary mechanisms: a) the shared collective experience of individuals ties the collective to the individual as each individual experiences the collective whole, even if mediated by different individual schema; and b) all participate in the same social stimuli of the moment even if interpreted through different schema. The collective experience and shared stimuli assure connectivity between individual and collective; they just don't predefine any particular or special connections.

Lord and Emrich have offered a comprehensive review, and encapsulated their findings in a series of propositions that are meant to describe the current state of knowledge in the literature. Their propositions appear warranted based on their review of the past, but may not endure if the role played by multicultural factors becomes dominant in the coming years. Their

own discussion of these factors hints at a possible upheaval in their schema in the near future,

but doesn't pursue the point directly.

Marion, R.; & M. Uhl-Bien (2002). Leadership in complex organizations. *Leadership Quarterly, 12*. 389-418.

Marion and Uhl-Bien (2002) offer complexity theory as their suggested model for

understanding leadership in organizations. In contrast to reductionist theories that they see as

overemphasizing specific observable phenomena and factors, complexity theory offers an

approach that emphasizes the often less directly observable interactive dynamic of leadership.

While Bennis (1966) described a need to look beyond scientific management and human

relations models for leadership to a set of hybrid models that would integrate the two (see

breadth component), Marion and Uhl-Bien argue that complexity theory defines a specific third

discipline for leadership and should not be seen as a simple hybrid of earlier models. (p. 390)

Traditional studies of leadership, the authors argue, remain too heavily grounded in the

view that leadership is about interpersonal influence, as an exchange of some sort between leader

and followers. A result of this view is that much research on leadership tends to focus on the

attributes of leaders and the emotions of followers. Complexity theory instead looks at

leadership more holistically, describing both leaders and followers as emergent structures within

and across organizational settings. They describe complexity theory as suggesting that a key

focus of leadership is the fostering of the emergence of distributed intelligence, echoing Chemers

(1997) discussion (in the breadth component) regarding the first function of leadership being the

emergence of leadership, even before the second function of leadership which is the attribution

of authority. Complex emergence would sustain the traditional relationships and views, except

that the role of leader could be seen to emerge dynamically at different times in different individuals based on organizational competencies and local needs.

Marion and Uhl-Bien argue that most traditional research on leadership tends to ignore the effects of aggregates, or "ensembles." (p. 393) The interaction of groupings is a likely source of considerable variance in research data. The magnitude of the residuals faced by much leadership research brought about what the authors describe as a "doom and gloom" (p. 393) perception regarding leadership in recent decades. Far from being inhibited into gloom, Marion and Uhl-Bien see such residuals as strong evidence for the reality of complexity effects in what is being measured. Complexity theory would take into account the interactions of units in aggregates, and would expect an "irreducible random effect" (p. 394) to be seen in any interactive and dynamic system. In essence, Marion and Uhl-Bien argue that, far from being troubled by such extensive residual variance, complexity theory would predict it, even *require* it.

If so, then complexity theory sets a renewed research agenda for leadership. "Effective leadership is about learning to capitalize on interactive dynamics (correlation, randomness, and interaction) among and within organizational ensembles." (p. 394, parenthetical in original) Complexity theory describes self-organizing behavioral emergence as dominating the inner dynamics of systems in which such leadership might occur. This carries implications for this depth component because it argues for a dualistic view. First, it argues that complex leadership will be seen to emerge dynamically throughout the ensemble. However, and second, it requires that a traditional leader enable such emergence to occur. Complex leadership will emerge, but not necessarily spontaneously in any useful form.

This duality, if true, might explain why effective leadership is often interpreted as driven by the traditional leader exclusively, and yet a great deal of variance can't be explained when

studying the leader as individual. Hidden behind the complexity of the situation is the

emergence of complex leadership that has been enabled by the traditional leader. Because such

emergent leadership is unlikely to emerge spontaneously, its 1:1 correlation with traditional

leadership allows it to be hidden in the background, or at least outside of the traditional

leadership paradigm. Marion and Uhl-Bien argue for expanding that paradigm to include

complexity, and this theme will be explore in the chapter below on emergence and leadership.

Osborn, R. N.; J. G. Hunt; & L. R. Jauch (2002). Toward a contextual theory of leadership.
    Leadership Quarterly, 13. 797-837.

      Osborn, Hunt, and Jauch (2002) propose a framework for discussing contextual factors in

leadership based on the notion that current leadership research is incomplete in viewing the

action and interaction of leaders and followers at the individual level. They argue for an

increased emphasis on macro factors; what Lord and Emrich (2001, above) referred to as the

collective cognitive contexts. They describe different models of context-based leadership fitting

different circumstances, and propose four organizing contexts for interpreting the macro factors

of social emergence that affect leadership effectiveness in organizations.

      Their four contexts – stability, crisis, dynamic equilibrium, and edge of chaos – are

intended to represent commonly encountered circumstances in the empirical world, providing a

tool for anticipating leadership behaviors in the context of the social realities implied by the four

common contexts.   Each provides a descriptive and predictive guide to leadership in specific

settings that correlate roughly with organizational challenges facing leaders and managers at

different levels of an organization.

Osborn, Hunt, and Jauch's first context is *stability*. Stable leadership contexts typically apply to leaders at lower levels of an organization where transactional leadership styles tend to dominate. The authors see power and rewards as dominating a lot of thinking at these organizational levels. The focus in stability is typically on making limited choices against consistent demands under expected and normal constraints. The authors suggest that increased emphasis on information flow at these levels will lead to greater insight and improved leadership outcomes.

The second context in the series is *crisis*, and typically applies in situations where middle-managers in organizations attempt to balance a status quo approach to transactional leadership below them with transformation pressures being pressed down from above. Generally, these leaders see the world as less stable than their stability counterparts. "Demands are intense with multiple time and resource constraints where the leaders need to isolate and capitalize on opportunities." (p. 802) Bureaucratic orientation is often called for in order to keep the organization static while responding to initiatives from above.

As the leadership perspective moves up the organization and becomes more strategic, the relevant leadership context becomes *dynamic equilibrium*. A balancing of different perspectives begins to dominate the leadership model, and leaders in this context are often concerned with maintaining effective networks of internal and external stakeholders. Many things are changing within this equilibrium, but are typically changing within existing boundaries and in incremental ways.

The fourth context, reserved by Osborn, Hunt, and Jauch for the highest levels of organizational leadership, is *edge of chaos*. Here, organizational leaders confront the dynamics of self-organizing complexity as they attempt to lead the organization wherever it decides to go.

Things change dramatically and quickly, but not necessarily in ways that would cause

organizational failure. Paradoxically, organizations subject to chaos, or complexity theory, will

tend to self-direct themselves organically, increasing the challenges for organizational managers

who wish to lead in particular directions or impose their own vision on events.

By specifying leadership contexts as being associated with both organizational levels and

the challenges inherent in those levels, Osborn, Hunt, and Jauch are describing leadership as part

of a greater systems model effecting the organization. They argue against leadership analysis as

a separate theory from the general theory of organizations. Their four contexts may not always

apply to organizational levels as cleanly as their discussion illustrates, and those contexts are in

need of further refinement by more research, but by attaching leadership to organizational

science explicitly, Osborn, Hunt, and Jauch attempt to elevate leadership theorizing to become

part of the on-going systems discussion of organizations. Because the Baldrige criteria explored

in the application component are a measure of organizational maturity, the leadership component

of that model can be explored as part of a systems model using these four context as a guiding

framework. This theme will be further explored there.

Podsakoff, P. M.; S. B. MacKenzie; N. P. Podaskoff; & J. Y. Lee (2003). The mismeasure of
      man(agement) and its implications for leadership research. *Leadership Quarterly, 14*.
      615-656.

Podsakoff, MacKenzie, Podaskoll, and Lee (2003) present a discussion of measurement

models available for analyzing and discussing leadership constructs, and discuss the implications

for research and practice when an incorrect or inappropriate model is used to diagnose and

understand leadership in particular settings. Researchers typically use multiple measures for the

constructs that they use to define leadership and to insure that those measures reliably and

validly represent the leadership constructs being targeted. How those measures are assembled

methodologically determines the reliability and validity of research findings and outcomes. The

authors surveyed 12 years of literature and found consistent and frequent misapplication of

measurement models in leadership research, raising questions regarding the efficacy of that

research, and of the leadership theory that evolves around the research literature.

The authors suggest four models within which measures can be related to the constructs

being measured in the research literature, defined by two differentiating perspectives: a) whether

the models are exploratory or confirmatory, and b) the direction of causation being suggested

within the model. Exploratory models are most useful in the early stages of research where little

is known or expected about the relationships between constructs and any selected measures, and

confirmatory models are used in situations where there already exist some expectations of the

measures-construct relationship. Causation might be based on an expectation that the changes in

the underlying construct result in changes in the measures; or that the nature of the construct is

somehow determined by, or defined by, the values of the collective measures.

Podsakoff, MacKenzie, Podaskoll, and Lee argue that a failure to recognize the

conceptual implications of the four models implied by these two perspective dimensions results

in a misunderstanding of management and leadership constructs in the literature, and so a

misapplication of findings in leadership practice. They find, in a broad survey of published

research, that as many as 47% of research studies misapply these measurement models based on

their criteria for determining when any of these four models should be used.

The key distinction analyzed by the authors was the causative dimension. They offer a

set of criteria for determining whether a set of measures used in a study should be considered

reflective or formative indicators: a) the direction of causality, b) interchangeability, c) level of covariance, and d) the existence of a shared nomological network.

With respect to the directionality of causation, the authors argue that a construct should be modeled as formative if changes in the value of the measures would result in a shifting definition of the underlying construct. In other words, in formative models, the basis of the construct is determined by the value of the related measures. Conversely, a construct would be modeled as reflective if changes to the construct would be expected to cause changes in the values of the related measures; if the measures are a reflection of the underlying construct.

A closely related second criterion involves whether or not different measures modeled against a construct are interchangeable. If different measures are highly interchangeable in a model, meaning that different measures can be substituted for others without altering the underlying construct, then the model used in the research should be reflective. But if altering or changing measures would impact the underlying construct, the more effective model would be formative. At issue is whether changes or substitutions among measures impact the construct being measured, making interchangeability closely related to the previous directionality criteria.

The third reflective-formative criterion looks at covariance among the group of measures related to a construct, and so is closely related to the interchangeability criterion. If measures are expected to covary with each other, the construct should be modeled as reflective because changes in the construct are reflected in the measures, resulting in the common covariance. If the measures are expected to covary separately, then a formative construct model is appropriate because the independence of the measures is an indication that the construct is formed by the measures as they vary independently.

The fourth criterion put forth by the authors relates to the consistency of the nomological network associated with each measure; a variant but unique perspective on interchangeability. Sets of measures that are expected to share common antecedents and consequences will typically be modeled as reflective of the underlying construct, which can be seen as a key causal component of the related nomological network. Measures with different antecedents and consequences will be associated with constructs modeled formatively, since the variation in measure differences can't be explained consistently by looking at the underlying constructs.

In reviewing the leadership literature, the authors found that many studies misapplied these criteria, and so misinterpreted their constructs and findings. Of the 138 studies they reviewed, all had been modeled as reflective measures of underlying leadership constructs. The leadership construct being studied was interpreted as being reflected in the studies' operational measures. When the authors reviewed those discussions and conclusions using the four criteria described above, they found that 65 of those studies, or 47%, actually treated the measures as through they reflected the underlying constructs when, in fact, they best fit the criteria for a formative interpretation.

Podsakoff, MacKenzie, Podaskoll, and Lee additionally observed other problems in the measurement-construct discussions in the literature. Many of the constructs reviewed in the literature were actually second-order constructs, being wholly built by reference to other first-order constructs in the literature. They also observed numerous constructs that were being reported by multiple studies as the same construct in spite of the fact that they were being operationalized using completely different sets of measurements. Their conclusion was that "leadership researchers need to think carefully about the dimensionality of their constructs and

the relationships between the superordinate construct, its subdimensions, and its measures."

(p. 625)

Citing research analysis by Jarvis, the authors observe that such mismeasurement of constructs, measurements, and their relationships can cause an operational bias in research data. Jarvis found several parameter estimates to be inflated (i.e. item correlations increased from .1 to .7) when constructs were modeled with reflective indicators that should have been modeled as formative. These authors suggest that many of the studies they reviewed need to be revisited and reexamined with correct measurement models redefined.

These findings are significant for this depth component. After exploring systems theory and chaotic attractors, and how they impact a discussion of leadership, the discussion that follows will look at how simple self-organizing behavioral patterns can result in emergent leadership in an organization or setting. If the research tends to treat target constructs as underlying a set of reflective measures in the field, those constructs will carry a weight that might not be justified if they were taken more as hypotheses to be validated by formative data. If leadership is emergent, as this depth component suggests, then many of the constructs described in the leadership literature are second-order constructs building on the underlying self-organizing constructs. Support for such hypotheses will be absent if the literature is misaligned on this issue. The authors suggest that, at the very least, this issue needs further study.

Sternberg, R. J.; J. C. Kaufman; & J. E. Pretz (2003). A propulsion model of creative leadership. *Leadership Quarterly, 14*. 455-473.

Sternberg, Kaufman, and Pretz (2003) offer a framework of creative leadership contexts based on how each different context works differently to move an organizations from where it

finds itself to where the leader is trying to take it.   They describe each context as *propelling* the organization in specific ways, hence the *propulsion* model.

Of the eight different contexts included in their model, four of them attempt to accept the organization's current paradigm, and to more or less extend that paradigm in the direction the leader chooses. With the *replication* context, the leader accepts where the organization is and attempts to maintain its position and momentum. Replication is a status quo leadership context, relying heavily on what others may have done in the past. The *redefinition* context accepts the current status quo view as well, but attempts to redefine it so that movement in a different direction becomes possible. Redefining leaders will tend to take credit in good times, and assign blame through redefinition in bad times.

Forward incrementation is the next successive context, and involves forward motion beyond the replicator or redefiner. Sternberg, Kaufman, and Pretz observe that most leadership is forward incrementalism precisely because it accepts the current status paradigm and yet tries to move the organization forward. Leadership expressed in this form will readily be recognized as such, and its incrementalism increases its chances of success, even if such success is destined to be modest. The fourth context in their framework is *advanced forward incrementataion*, a more extreme form of inrementalism that attempts to accelerate change beyond the rate expected. Leadership in this context often fails precisely because it tries to take the organization where it is not prepared to go, at a rate that is considered too fast. While the context accepts the status quo as a starting point, it attempts rapid or extended change and places the leader in this context at risk.

Unlike the first four contexts that accepted the organization's current position, the next three contexts generally reject that position and attempt to replace it. These leadership contexts

carry greater risks of failure, and corresponding greater opportunities for breakout improvement. The *redirection* context consists of leaders attempting to take their organizations in wholly new directions. If successful, the organization diverges from its previous paradigm and potentially emerges in a new light. The *reconstruction/redirection* construct adds a dimension of backtracking to some previous state before redirecting. Organizations led in this context have wandered from their roots or foundations and are typically in need of a return to basics before they can be redirected. A leader in the *reinitiation* context is prepared to discard where the organization is today as unworkable, establishing a new starting point from which to change and grow. Finally, the *synthesis* leadership context involves neither acceptance nor rejection of the existing paradigm. In synthesis, the leader takes hybrid approaches to combining whatever will work; sometime involving fairly radical approaches to change.

Sternberg, Kaufman, and Pretz point out that these eight contexts represent qualitative differences that clearly overlap in practice. Likewise, within each qualitative distinction there will be quantitative differences in any particular strategy developed and implemented by a leader. The application component of this KAM will use these qualitative categories to interpret some of the Balridge application data presented by several organization to see if some of those qualitative and quantitative aspects can be seen as described by Sternberg, Kaufman, and Pretz.

Zaccaro, S. J.; & Z. N, J, Horn (2003). Leadership theory and practice: Fostering an effective symbiosis. *Leadership Quarterly, 14*. 769-806.

Zaccaro and Horn (2003) lament the lack of synergy between research into, and practice of, leadership in organizations. They begin by commenting on the extensive range of research in the literature that is often conducted "without regard for the problems of leadership posed in

many organizations" (p. 770) and move on to an inverse concern; that the popular literature surrounding actual practice is "riddled with trial and error applications that are grounded more in anecdotes … than in scientific data and models." (p. 770) Zaccaro and Horn don't argue that theoretical research should take the lead in guiding emerging practice, nor do they argue that actual practice should be used to set the absolute direction of research. Rather, they argue for a symbiosis – both sides thriving through their mutual connections while remaining otherwise independent - between the two; with the issues raised in the popular literature driving core research questions, and research findings driving planned changes in actual practice.

Zaccaro and Horn provide a review of some of the impediments they see to the development of effective "leadership theory-practice symbiosis (LTPS)" (p. 770) and suggest several working principles that might strengthen the connections between the two research and practical sides. They begin with what they see as five pitfalls to integration (attributing the first four to Blair and Hunt) that arise from the research side of the dyad: a) an overemphasis on the interpersonal aspects of leadership, b) a narrow set of variables attempting to explain a complex phenomenon, c) past research that was conducted in a less than systematic way (i.e. "nonprogrammatic" [p. 771]), d) a general lack of policy relevance between research and currency of practice problems, and e) too little emphasis on the dynamic aspects of the conceptual questions being addressed in relative isolation.

They then describe several concerns that they attribute to the practical side of the potential symbiotic dyad: f) the general emphasis placed on short-term results, g) the narrow or limited focus of many organizational initiatives, h) the role of 'fads' in general management thinking about improvement and change, and i) a general distrust of theoretical results among

management practitioners. "Unfortunately, such beliefs have a disproportionate power to influence leadership practice." (p. 781)

Zaccaro and Horn close by suggesting several avenues of integration that can be made to exist between theory and practice; integration avenues that provide interconnectedness between the two sides while allowing mostly on-going independence. Their models include Lewin's action research, Blair and Hunt's proposed research agenda that has been reported in studies out of the U. S. Army, and grounded theory research where direct practice results drive theory building. Each of these suggestions will be explored further in this depth component.

What Zaccaro and Horn are suggesting is an integration of the findings and purposes of leadership research and leadership practice. The quality management example in this depth component offers an interesting example of their LTPS at work. Leadership in the quality management arena has exhibited a great deal of divergence from organizational structures, or high levels of role emergence across organizations, in recent decades. Many of the leading practices that are among the most popular today (e.g. Six Sigma, Lean Enterprise) have their roots both in past research and past practice. The role of the certified Six Sigma Black Belt as an expert with continuing study in quality theory may be an example of Lewin's action research at work in modern organizations. This alignment and synergy will be explored further in this depth component. It may be seen, upon inspection, to satisfy many of the suggestions that Zaccaro and Horn are making for the creation of a symbiosis between leadership theory and practice.

Conclusion

These articles were chosen because they depict much of the internal self-reflection that has been evident among leadership researchers in recent years. As the field of leadership studies

has matured over the past decade, the selection and integration of research topics has itself become a research topic in the field. From basic behavioral and trait model driven largely by early anecdote, the field now explores intricate and involved directions involving cognitive models, social constructions, implicit grounded theories, and even complexity.

The jury is out on what a fully mature model of leadership will look like in the next decade; but few can doubt that leadership research has turned the corner and is now making a contribution to leadership practice that is significant and firmly rooted in the research. My choice of the models selected here, particularly those involving cultural specifics and implicit factor analysis, is not meant to challenge nor accept individual models. Rather, my desire is to draw on a rich variety of constructs in order to use them in my application component analysis. The extent to which some aid my analysis more than others will simply be one additional observation in the continuing debate.

Chapter 1

Introduction

Overview

This depth component KAM further explores the principles and aspects of emergent leadership introduced in the breadth component and explored in the annotated bibliography, particularly focusing on the emergent role of leaders in business organizations.

A key focus will be on reviewing the quality management disciplines, beginning with early ad hoc quality programs, through the years in which Total Quality Management (TQM) was popular, and up through the more recent popular Six Sigma quality programs. Quality initiatives have often been spearheaded by individuals outside of traditional management structures and, in organizations that have been successful, these individuals have often emerged as organizational and industry leaders. This depth component explores how a systems theory of leadership can inform an analysis of that leadership emergence.

Specific depth objectives are:

1. To explore and contrast the different theories of modern leadership that describe leaders as emerging and thriving outside of traditional organizational or management structures.

2. To evaluate the extent to which various key elements of the leadership framework developed in the breath component can be used to map aspects of such emergence to individuals and groups within professional disciplines such as quality management.

3. To analyze and synthesize the resulting mapping to create a thought process for analyzing and defining the role of leadership emergence in understanding the role of non-traditional leaders in the management professions related to quality.

Chapter 2

Conceptual Problems of Leadership

Overview

A partial rationale for the objectives of this KAM includes the idea that traditional

leadership paradigms of individual leaders and followers are incomplete, and that supplementing

these paradigms with emergent properties drawn from systems and complexity theories will

improve the validity and efficacy of leadership studies. This chapter looks at some of the

problems currently seen in leadership studies, with the idea that the contribution of emergence

thinking will tend to impact these problems areas more than the established core areas of

traditional theories.

Leadership Systems Framework

The breadth component of this KAM concluded with a discussion of the possible

interaction of leader or follower systems of various types, and the meta-system that results from

such interactions. Excluded from that discussion were mechanistic systems that can not be

described as serving any purpose beyond their mechanical function, and so would not exist at

either end of a leader-follower dyad. The remaining interactions are illustrated in Figure 1.

Figure 1 – Purposeful Leadership Dyads

Follower

		Organismic System	Societal System
L e a d e r	Organismic System	Individual – Individual	Individual – Group
	Societal System	Group – Individual	Group – Group

The upper left quadrant of this framework includes the traditional leader-follower dyad, an individual follower being affected by an individual leader. Most of the research literature on leadership in the early years of study focused exclusively on this dyad, whether through the study of individual traits of leaders and followers, or through the study of the effects of the interaction of these two, including implicit leadership theories and the impact they have on follower perceptions of leader actions. This dyad is relevant to the interaction of two individuals, whether leadership is seen in the interaction or in the leader personally. Most of the discussion in the breadth component remained squarely in this quadrant.

The framework's upper right quadrant includes the individual leader in a dyad with the group of followers being led, focusing on the follower group as a distinct entity beyond the individuals in the group. Much of the current or traditional literature on leadership discusses effects seen in this quadrant. Indeed, much of the popular business literature focuses on the effects of so-called great leaders impacting their organizations to cause some combination of growth or change. Unclear, though, are any differences in whether the organization as a whole can be said to be following the leader (in which case the observation would be in this quadrant)

or whether the change is an emergent systems effect of the collective individuals following the leader (in which case the leadership issues would be in the previous quadrant). The deciding issue, explored in this depth component, is whether the group as a whole can be seen to be serving or filling the role of follower in a leader-follower dyad.

The lower row of the framework places leadership into the group, or what several of the articles in the annotated bibliography referred to as the collective. The lower left quadrant has the group leading the individual, and the lower right has the group leading the group. This entire row rests on the same issue just described; namely, can the collective provide the function of leader beyond that provided by the individuals within the collective? Systems theory tells us that the group can exhibit properties and characteristics that are emergent from the collective and need not be found or reside in members of the collective.

This emergence, if present in leader-follower systems, might explain a variety of leadership scenarios differently that traditional reports describe them. Much of the research literature on the subject, and virtually all of the popular management literature, has been locked implicitly in the upper left quadrant, or at least on the upper row of this framework. Expanding the perspective to include emergent leadership properties on the lower row might illuminate existing data and suggest additional avenues for research. Pearce and Conger (2003) include the emergence of shared leadership as a central dynamic interplay of the dyads envisioned between leader and follower.

Leadership Dimensions

Bass (1990) offers a scheme for classifying models of leadership along a number of dimensions. (Table 2)   His list seems to recapitulate the discussion taking place in this depth component. His earlier dimensions seem heavily rooted in the traditional leader as person

leading followers paradigm. The last few dimensions on his list begin to hint at the complexities

that might give rise to less traditional forms of leadership.

Table 2 – Leadership Dimensions (Bass, 1990)

Leadership as …
A focus of group processes
Personality and its effects
The exercise of influence
An act or behavior
A form of persuasion
A power relation
An instrument of goal achievement
An emerging effect of interaction
A differentiated role
The initiation of structure
A combination of elements

(Bass, 1990, p. 11-20)

Bass describes leadership as an "emergent effect of interaction" (p. 18) in the social

network. He goes on to describe leadership as "the initiation of structure" (p. 19) within which

an organization functions. Lastly, he described leadership as a combination of all of these

dimensions. Hidden behind the interaction of these dimensions is a central question of this

KAM, whether the exercise of leadership as influence, power, and persuasion gives rise to

organizational structures from which further leadership emerges, or whether the emergence of

leadership through organization structure gives rise to the influence, power, and persuasion later

identified as leadership. Is traditionally defined leadership a cause or effect? Systems theory tells us to answer "both" until evidence requires otherwise.

Bass (1990) also offers an analysis of a variety of theories of leadership, identifying what he sees as core commonalities that cut across most, if not all, theories. Five elements that he identified as most common among leader descriptions were that a leader may:

1. Help set and clarify the mission of the group, as well as goals and objectives consistent with that mission.

2. Inspire or energize the group to pursue those goals toward mission attainment.

3. Help build or provide the group structures and methods needed for achieving the goals and objectives.

4. Assist in resolving conflicts that may arise among members or with group outsiders.

5. Provide feedback to the group, and individuals within the group, in terms of evaluation and/or encouragement; keeping the story of the mission active and engaging for group members.

As Bass looked at other dimensions in his analysis, he found many common recurring themes that were less universal than the five elements above.   Many models describe leaders or leadership in harsh terms, such as authoritative autocratic, dominating, or directive. Many used milder terms, like democratic, participative, supportive, or considerate. He saw hybrids in terms like intellectual, expert, executive, or advocate.

His generalization of these observations notes that there seemed to be a continuum between the harsher autocratic leader styles and the milder democratic leadership styles, with the former tending to emphasize the task-oriented leader built on the scientific management approach, and the latter tending to emphasize the relationship-oriented leader built on the human relations approach. The bridge between the two is found in the executive style that must serve

both purposes. The presence of this third hybrid view is what complicates much of the literature, since each view is simply an operationalization of the original leadership construct and need not define its position within this overall model. It is up to the researcher, or reader, to identify where any particular leadership theory or discussion falls within these non-universal dimensions.

Leadership Contrarians

The leader and leadership constructs used in the literature are not universally accepted. There are some who might question the existence of the posited relationship between leaders or followers, or the power of leaders to 'lead' in any sense of propelling another individual or group to do or accomplish anything. Some might see the construct as unnecessary and discard it, others to alter it to fit some other mental configuration.

One example of someone who questions the central themes of leadership as directed power is Gardner (1984). Gardner describes many statements about leadership made in the scientific and public literature as "utter nonsense." (p. 318) He describes the capricious use of power by an individual in an organization as rare, pointing out that organizational leaders are always operating within a field of constraints that determines their ability to lead. Whether by tradition, legal rights, or organizational realities, all leaders are limited by the settings in which they lead. Leadership is enabled in the individual to the extent that the environment enables it.

Gardner's argument is a functionalist one. In any social system, certain functions need to be performed, including identifying and clarifying problems, formulating solutions, setting objectives, building support for those objectives, and coordinating actions. A leader will be someone who is good at some aspect of this functional path. Since all of these functions involve social or group action, an effective leader must understand the social networks in which these functions must be performed. Indeed, with enough ability to understand and drive the social

network, the direct leadership functions needed can be carried out by non-leaders. This

aggregation and specialization enables increasingly complex leadership actions, and resulting

social structural growth and complexity.

As social structures grow increasingly complex, specialized leadership groups develop

that understand how to implement change in the social network of other leaders. Complexity

breeds more complexity. The distance between leader and ultimate follower increases, and a

mass society disconnected from leadership results. This increased distance limits the ability for

anyone in the mass society to aspire to leadership, and so potential leaders are lost to the system.

Gardner is arguing that the complexity of our society does little to encourage potential leaders,

and as a result, less than ideal individuals rise to positions of leadership. In the meantime,

qualified leader potential remains with the mass society.

As the formal leadership is distanced from the group, and suboptimized through

recruitment of lesser qualified individuals, leadership starts to shift from the formal leaders to the

network of capabilities in the social network. The "only kind of leadership encouraged is that

which follows from the performing of purely professional tasks in a superior manner." (p. 323)

The mass group will follow the emergent trends of the mass group, and the formal leaders

operating as always under the constraints of tradition and follower willingness, will lead them

wherever they are going. Formal leadership under a system of constraints becomes guided by

the invisible hand of mass leadership emergence.

At another end of the discussion continuum, Gemmill and Oakley (1992) identify the

belief that "leaders are unquestionably necessary" (p. 113) as an "unrecognized ideology"

(p. 113) based on "deeply engrained cultural assumptions." (p. 113) They describe the

mythology of leadership as a reification of social and mental constructs that associates progress with a causal agent, or leader.

There exists a strong social bias that leaders are in control of events whenever organizational outcomes need to be explained. Gemmill and Oakley explore some of the underlying psychological constructs that seem to support the reification of leadership. Citing Bion, they describe the tendency of individuals to believe that future circumstances will always emerge that will solve existing problems without extensive effort on their part (known as the "pairing basic assumption." (p. 120)   They also describe the tendency, known as the "dependency basic assumption," (p. 120) of individuals in groups to believe they are joining together to attain security, and thus to at least partly obtain leadership and guidance.

Belief in, or reliance on, leaders "induces mass learned helplessness among members of a social system." (p. 115)   As individuals deskill themselves, and idealize the capabilities of their leaders, they come to believe or expect that only a certain exception few can actually serve as leaders. Under these belief systems, organizations seeking empowerment as a tool to promote leadership will find little fundamental change to occur. For empowerment to occur, particularly the mass open delegation discussed above, the relationship between deskilling and leadership needs to be addressed and broken.

Gemmill and Oakley question the validity of leadership studies that base their scientific analysis on the assumption of the existence of the leadership construct. They suggest that "leadership as a social process can be defined as a process of dynamic collaboration." (p. 124) Such a dynamic could effectively remove the emphasis on the individual as leader or follower, placing the social process of leadership directly in the lower right quadrant of the systems

framework established above. If so, the impacts and effects typically attributed to leaders would need to emerge from the collective dynamic, a topic specifically explored in the next chapter.

Others support this notion that the individual as leader paradigm need to be challenged. Maira and Scott-Morgan (1997) argue that traditional hierarchic views of leadership must give way today precisely because hierarchy itself is giving way to other organizational forms. The view the connotation of leadership as the behavior of very few as embodying the current problems in understanding leadership. (p. 193) They assert that leadership is the responsibility of many people across an organization, even *all* people in an organization.   Accepting that leadership qualities may indeed be special requirements for top management and executives, they argue against using these specialized qualities to define the leadership construct.

The idea that continuing to identify hierarchic control with leadership might actually be dysfunctional is present by Halal (1998). He suggests that there is a need to shift leadership thinking from the top of the organization to the bottom, to associated leadership with the enterprise rather than a few individuals at the top. "The perfect company today is almost structureless. … All that holds it together is its culture." (p. 243) He sees leadership power devolving to the operating levels, through self-managed teams, to individuals showing initiative and learning.   He's not calling for the elimination of CEOs, rather a redefinition of their role. They design and implement their organizational structures and provide integrating concepts to strategically guide the entire system. It's the perspective of traditional leaders enabling organization leadership emergence; two sides of a systems perspective coin.

Theory-vs-Practice Impediments

Even sidestepping some of these more extreme objections and perspectives, traditional leadership study also contains some issues that need to be address, and that might be address

productively by a systems and emergence perspective. Zaccaro and Horn's (2003) discussion of theory-practice symbiosis highlighted nine impediments to leadership theorists effectively impacting the thinking and practices of organizational leaders:

1) *An overemphasis on the interpersonal aspects of leadership.* Direct supervision across one or more organizational levels has been a common focus of much research literature, with a particular emphasis on the interpersonal dynamics of leaders and followers. Supervisors as leaders are described by their common traits, perspectives, and roles. The dichotomy between relationship and task focus represents a theme that "has been dominant across multiple interpersonal and social exchange theories of leadership." (p. 771) Variants on these themes occur under the guise of contingency requirements or the variations of situational demands.

Zaccaro and Horn also describe an overemphasis on interpersonal variables from the follower side of the dyad. Studies that look at the perceptions that individuals hold of their managers or leaders fall on this side of their discussion.   Numerous discussions exist in the research literature of the mediating role that such follower perceptions, and subsequent related cognitions, have on the actions of leaders in organizations. Such discussions drive much of the social exchange theorizing in the field. (p. 772)

A problem with these approaches, described by Zaccaro and Horn, is that too much emphasis is placed on the direct role of interpersonal relationships in the leader-follower roles in direct supervision. Because they've been successful in improving much local practice, there have been attempts to generalize such improvements to situations that involve indirect supervision or indirect leadership. Shifts in organizational thinking – the flattening, dispersing, and thinning of organizational structures – in recent decades has been shifting the position and roles of leadership in these organizations. Leadership is now more likely to be indirect, bi-

directional, and system-wide. Applying interpersonal direct leadership thinking to these new

scenarios may be problematic. While "not necessarily inappropriate, the fit between theoretical

concepts … and applied problems will often be less than ideal, with implications for the validity

of practical interventions." (p 772)

2) *A narrow set of variables attempting to explain a complex phenomenon.* The focus on

interpersonal aspects of leadership has resulted in a common focus on leader-follower

characteristics as "key sets of variables" (p. 773) that drives thinking.   Zaccaro and Horn

acknowledge that with shifts in the emphasis of research and practice away from simple leader-

follower studies, the list of variables being studied and reported has been expanding. Increased

attention is now being focused on situational variables as theories expand to cover contingency

and contextual situations.

While contingency research tends to focus on finding fitness between situations and

leader-follower characteristics, reinforcing the interpersonal aspects of thinking, broader

emerging contextual theories focus more on how the leader and follower are influenced and

directed by forces and dynamics in different contextual situations. As such, context mediates the

role of characteristics, necessitating research that moves well beyond interpersonal

characteristics and exchanges which tend to study such variables within any given context.

Explaining the role of context requires broadening the focus of study beyond the interpersonal

variables.

3) *Past research that was conducted in a less than systematic way.*   In addition to the

narrowness of variables already discussed above, Zaccaro and Horn describe the study of

leadership as being "nonprogrammatic." (p. 774)   They argue that advancement in science

requires a longitudinal building of knowledge, one study being built upon by another.

Collectively, these studies can be seen to be guided by common conceptual paradigms, and to show a connection across a broad range of multidisciplinary domains. Leadership studies, they conclude, represent "unconnected research programs" (p. 775) looking at not only narrow variables, but "isolated leadership variables" (p. 775) each studied "in depth, and with sophistication." (p. 775) It can't be surprising that leadership practitioners lack an interest in stepping back to connect the dots when the researchers of the field don't either.

4) *A general lack of policy relevance between research and currency of practice problems.*   While Zaccaro and Horn applaud the recent expansion of variables and theories dealing with leadership in the research literature, they lament the apparent disconnect that still exists between these recent expansions and "the concerns, problems, and changing realities of organizations and their managers." (p. 775) They aren't arguing for researchers to turn reactionary in their strategies. Recall that their discussion seeks a symbiosis between theory and practice. Instead, they suggest that a more comprehensive and integrated research agenda will not only support more valid applications of recent findings, but will provide a mechanism for theories to begin to address, and even anticipate, emerging concerns in leadership practice. Their picture of a symbiotic relationship between research and practice will, they suggest, better address current policy concerns within organizations.

5) *Too little emphasis on the dynamic aspects of conceptual questions being addressed in relative isolation.* Leadership is conceived in the management literature as a distinct and complex problem area. Zaccaro and Horn argue that, while correct in and of itself, such a view still isolates leadership from the dynamic environment in which it needs to be studied, specifically, its "cognitive, social, and behavioral complexity." (p. 776) They suggest that leadership needs to be studied as a developmental phenomenon. They cite the work of Day and

Lance in suggesting that leadership is a behavioral and social outcropping of cognitive skills developed through continual differentiation of increasing disparate concepts and integration of those concepts into higher level of abstractions. They view such development as enabling the behaviors and characteristics associated with leadership.

This view closely parallels Chemer's (1997) view (outlined in the breadth component) that the central function of leadership in social groupings is to identify, elevate, and reward competence in order to facilitate increased innovation. Under such a viewpoint, leadership can be seen as a by-product of cognitive development; offering implications for how an organization attempts to go about *developing* leaders. Developing leaders might then be facilitated, not by focusing training on leadership skills per se, but by offering prospective or current leaders increased exposure to complex situations in which they need to differentiate and integrate ever-wider and ever-deeper concepts.

Zaccaro and Horn suggest several job characteristics (drawn from work by McCauley, Eastman, and Ohlott) that encourage such development: a) transitions, or expanding functional responsibilities; b) creating change, where candidates are responsible for implementing significant changes; c) high responsibility, through being given assignments that offer significant impact against organizational outcomes; d) non-authority relationships, where personal power and influence are encouraged over simply organizational position power; and e) obstacles, where potential leaders are placed into positions to address crises or organizational failures. In this way, leadership can be expected to emerge from managers who are increasingly placed in positions where leadership is required. In these engagements, mentors and other leaders can encourage candidates to develop more sophisticated models of their world. Such leadership input to the emergence of leadership generates a continuing cycle that represents a core dynamic

of the leadership model that Zaccaro and Horn argue is missing when leadership is viewed in isolation.

6) *The general emphasis placed on short-term horizons.* Leaders deal with problems and opportunities in their organizations, guiding followers through steps required for successful outcomes. To the extent that leaders find themselves in a practical world, rather than the academic world of the researcher, solutions to problems need only be sufficient to meet the leader's needs. Sufficiency, according to Zaccaro and Horn, need only be viewed in the immediate or short-term. Researcher need to incorporate such sufficiency thinking into their research designs, and begin to study and understand the impacts and effects of short time horizons on long-term leadership outcomes. Zaccaro and Horn argue that such an emphasis in the research will lead managers and organizational leaders toward more consideration of the long-term as they address short-term problems and opportunities. They suggest that such a shift will result, not in long-term action by leaders, but in short-term sufficiency planning that is better informed by anticipatory or proactive thinking about long-term ideals and consequences.

7) *The narrow or limited focus of many organizational initiatives.* Zaccaro and Horn refer to this limited focus as *parochial* thinking. Such thinking hampers the ability of leaders to incorporate lessons learned into subsequent leadership thinking because the parochial view tends to make every situation seem unique. Researchers need to be careful not to presume that leaders are taking lessons from different situations forward into their thinking.

8) *The role of 'fads' in general management thinking about improvement and change.* Fad thinking illustrates that organizational leaders, in practice, are willing to adopt changes and processes with little grounding in empirical research and study. Zaccaro and Horn offer the Myers-Briggs Type Indicator (MBTI) as an example of such a fad. After 30 years of common

use by managers, the suggest (citing McCauley) that significant research issues still surround the validity and efficacy of the MBTI. Researchers working to build a foundation and model for particular leadership paradigms might find that the directions taken in practice run counter to their own expectations and findings. In a world driven by fad, empirical validity may still need to be sold.

This fad issue is particularly relevant to this KAM. The quality management movement in the management and organizational arenas has been characteristically fad-driven for decades. After all the experiences with Total Quality Management through the 1980's (discussed below), it's hard to find an article in the popular literature that doesn't describe the failure of the movement. As the TQM fad died out, the Six Sigma fad was born and is thriving; in spite of the fact that the Six Sigma movement is built on the same principles and tools as the previous TQM movement.

This is an indication, suggested by Zaccaro and Horn, that leadership researchers might best serve the field by staying the course. The shifting among fads may be an effect of the superficial implementation of the fad concepts by practitioners too focused on the short-term. If so, the underlying issues and themes, if valid, will continue to resurface in fad cycle after fad cycle. Understanding the underlying basis for each fad builds the foundation for eventual adoption and incorporation of the fad as part of regular management thinking. Research conducted in the TQM arena in recent decades is still useful and informative; it's just that the fad mentality has required researchers to translate their studies and findings into the language of the current quality management fads.

9) *A general distrust of theoretical results among management practitioners.* For many of the reasons outlined in the issues above, particularly short-term focus, organizational

managers don't like being told what to do. This is no less true in the case of advice garnered

from legitimate and valid leadership research. For all the work that has been done to understand

leadership, develop models based on that understanding, and incorporate those models into

recommended practices and development opportunities, managers still tend to distrust such new

procedures and perspectives.

This distrust is also evident in the quality management arena explored below. Even in

organizations that espouse quality management philosophies and practices, many organizational

managers still resist putting some of the core quality management principles into practice.   Such

findings are often perceived as applying to others, not to one's own operation. Until this distrust

is addressed adequately, leadership research impact will be limited in the world of actual

practice.

This mistrust can be exacerbated when the research is seen to contain flaws or biases.

Podsakoff, MacKenzie, Podsakoff, and Lee's (2003) reporting of mismeasurement problems in

leadership research models leading to inflated correlation of some factors (.1 to .7) represents an

example of why academics aren't always speaking to the immediate needs of practitioners.

Chapter 3

Emergence and Leadership

Overview

Emergent properties of systems are typically seen as coming from increased complexity

in those system. While arbitrarily complex systems can be defined using relatively few rules, the

diversity of forms taken on by those systems seems to increase as the scale of the system

increases. It is for this reason that many of the leadership systems problems and issues outlined

in the previous chapter seem to materialize in large organizational structures as opposed to

smaller groups. The nonlinear dynamics that result in emergence are simply more likely to

materialize as systems grow larger. This chapter looks at some of the systems theory and

complexity theory issues that might underlie a discussion of leadership emergence, and the kinds

of systems issues one might look for in trying to spot emergence at work within a leadership

structure.

Increasing Organizational Complexity

Pinchot (1996) discusses the need to create organizations with many leaders. He

describes the mechanisms through which leaders are seen to influence their organizations,

characterizing impact generally through direct intervention and manipulation, or through indirect

adjustment of the processes and systems in the organization so that individuals more naturally

gravitate toward desired steps and outcomes. Undoubtedly, individual leadership actions might

include aspects of both direct and indirect approaches. He suggests that as organizations grow

larger and more complex, direct leader actions will carry less weight, and the effects of indirect

influence will increase. "The most indirect and invisible forms of leadership focus on creating

conditions of freedom that … automatically guide people toward serving the common good."
(p. 26)

To create a situation or environment in which multiple leaders will emerge, the traditional organization leader or manager must enable empowering structures in which such emergence can occur. Pinchot describes a continuum of three approaches that increase the emergence of leadership across an organization: 1) delegation within the existing hierarchy, 2) creating communities of practice, and 3) "liberating the spirit of the enterprise." (p. 28) Pinchot describes the third option in the continuum as enabling effective processes based on shared visions, making sure everyone has access and skills in those processes, and then stepping back to allow the vision and processes to work. Each approach, to a different degree, transfers leadership potential away from the central leader into the organization.

To the extent that such transfer is to specific individuals, as in delegation, the emergence of leadership will depend upon the choice of leadership style selected by the individual to whom leadership has been delegated. This creates a systems effect where the result can vary quite dramatically based on the choices made at each step of the process. This effect might be quite pronounced even if only one of Pinchot's approaches is included in the analysis.

One can envision a cascading effect of delegation throughout the organization where each leader, in turn, chooses to maintain control through simple delegation of limited leadership to the next level in the hierarchy. Such a scenario could be expected to result in a strict hierarchy of control with limited empowerment at each level, and where individual leaders are enabled by their superiors to operate autonomously within the constraints of the limited delegation. Many modern organizations appear to operate under this kind of scenario.

An alternative in this scenario is that each leader in the hierarchy chooses to delegate work down the hierarchy without yielding any leadership authority. Such a scenario might yield an stifling organization in which maximum control is maintained at the top, and considerable effort is spent by everyone working to keep the hierarchy above them happy. Conversely, at the other extreme, one can see the delegation of leadership being put to an extreme where complete autonomy and freedom is felt by each node in the hierarchy. In such an open delegation model, individual leaders work toward their goals without concern to the organizational hierarchy above them. This stifling control to complete freedom continuum is possible using only choices of delegation style available to each leader in the hierarchy.

If the option of creating communities or enabling vision-process are included at each stage and level of the hierarchy, the permutations of leadership choice across the organization becomes arbitrarily large, particularly if increments of style are included in each choice. Scenarios range from the highly structured and controlled hierarchy to the totally free and unconstrained empowered organization. Both are guided by a sense of organizational vision, yet result in highly differentiated organizational behaviors. Organizations at each extreme would fail to understand the other.

At the controlled extreme, the CEO is the organizational leader with limited delegation of leadership and control down the hierarchy. At the empowered extreme, the CEO is a leader with a function to serve, but leadership emanates from throughout the organization. One can argue that all such leadership emanates in both cases from the CEO, but in the empowered case such emergence remains unpredictable and uncontrollable from the top. It has emerged from the implementation of very few simple leadership choices throughout the organizational hierarchy.

The resulting structure is constrained, but otherwise self-defined. It is the result of complexity in the overall system.

While organizational leadership near the controlled end of the continuum may seem quite natural, and the freedom end of the continuum a bit unnatural for modern organizations, Senge (1996) questions the legitimacy of that perception. He questions whether the traditional organizational hierarchy is capable of empowering a learning organization. "Isn't it odd that we should seek to bring about less hierarchical and authoritarian organizational cultures through recourse to hierarchical authority?" (p. 42) However, if we accept certain tenants of systems theory, even the exercise of hierarchic control will exhibit variation within limits.

While strict control leaders may dominate traditional thinking and experience, one would expect an empowering leader to occur naturally among the normal variation in the complex systems of organizational management and leadership. If so, then the occasional exceptional manager who offers freedom and empowerment to their organization would become expected, rather than unexpected. Once one views leadership from such a systems perspective, the predictions of the models change.

Vision-Process as Applied Chaos

Such complexity in the system requires a different viewpoint for understanding what is happening throughout that system. A wealth of recent publications point to the fact that the developed world is approaching a major paradigm shift in the way we think about and conduct our affairs. We see this shift in the actions around us (e.g. globalization, downsizing, outsourcing, entrepreneurs *and* intrapreneurs) and read various ideas and descriptions to explain what is happening (e.g. organizational flattening, self-managing teams). Organizational leaders face the challenge of continuing the incremental and radical organizational changes that have

been going on for the past ten to fifteen years in the face of these organizational and societal changes.

Wheatley (1999) looks at this challenge from the standpoint of emerging models being offered in the fields of complexity and chaos studies. Her purpose is not to force an alignment between business and science, rather to allow the models of science to help anticipate actions in the real world that will be helpful while all the rules-of-the-game become clear. Wheatley has interpreted her task as "presenting material to provoke and engage," (p. 7) knowing that each reader will evoke different ideas and actions based on the models presented.

Wheatley covers a broad array of scientific topics, starting with a discussion of the weakness of basing organizational ideas on outmoded models of reductionism and simple cause-and-effect. "We need to stop seeking after the universe of the seventeenth century and begin to explore what has become known to us in the twentieth century." (p. 6) She draws from quantum mechanics and cosmology in physics, self-organizing systems in chemistry and biology, and chaos theory and fractals in mathematics. In these diverse new sciences "the underlying currents are a movement toward holism, toward understanding the system as a system and giving primary value to the relationships that exist among seemingly discrete parts." (p. 9)

Wheatley's interest in these topics is not simply academic. Giving practicing leaders new perspectives on natural organizations, she argues, can provide tools that will allow them to rethink their efforts to affect the structure and processes of their organizations.   These scientific models are useful to the extent that they conjure up ideas that can be tested and applied in real organizations.

Chaos theory is an example of a science that has exploded on the scene more recently. Few science or math books written more than five years ago even mention the topic.   The

earliest business applications of chaos theory were in economics, particularly the stock market in the late 1980s.   More recently, chaos theory has begun to be used as a tool in organizational and human resource management.

Describing the variability and randomness of non-linear systems, Wheatley illustrates how chaos theory can be used to understand many of the issues seen in organizational development, explain many past failures to effectively change organizations, and imply areas for further research and action. "Until recently, we discounted the effects of non-linearity, even though it abounds in life. We had been trained to believe that small differences averaged out, that slight variances converged toward a point, and that approximations would give us a fairly accurate picture of what could happen. But chaos theory ended all that. In a dynamic, changing system, the *slightest* variation can have explosive results." (p. 125-126, author's emphasis)

Side-by-side with chaos theory, mathematicians discuss fractals; those colorful self-similar shapes often associated with computer graphics. The root of fractal geometry is the study of fractional dimensions (e.g. an infinite length line drawn in a finite space is more than a one-dimensional line, and less than a two-dimensional plane). For exxample: What is the length of the coastline of Great Britain? The answer varies based on the length of the measuring device used. An automobile wandering the coastal highways while keeping the coastline in sight will arrive at a different answer than the hiker who walks keeping the coastline within a few paces. The hiker determines that the coastline is quite a bit longer than the driver.   A dog walking along the edge of the water would measure a longer distance still. To the ant, the coastline is many orders-of-magnitude longer than for the driver. The more granular the measuring device, the longer the result achieved.   At the microscopic level, the coastline approaches an infinite length. It becomes the infinite line in finite space: a fractal.

The idea of self-similarity in fractals comes from the fact that the driver, hiker, dog, and ant would observe very similar geometry. Series of relatively straight stretches would be punctuated by rough edged dips and curves, often folding back on themselves. This geometry would remain consistent whether the point of view was the driver (a very large scale view) or the ant (a very small scale view). Self-similarity in fractals raises questions about what can and can't be objectively measured.

Managers and leaders spend a great deal of time talking about measurement and the ability (or inability) of working projects to estimate times effectively. "In organizations, we are very good at measuring activity. In fact, that is primarily what we do. Fractals suggest the futility of searching for ever finer measures of discrete parts of the system." (p. 129) How long is a project? Even for projects already completed, the answer varies based on the granularity of the calendars and clocks used to measure.

A project estimate in months will always differ from one estimated in days, which will always differ from one estimated in hours. Is it correct to assume that each of these estimates is getting more accurate? Regardless of the level of granularity in the estimate, each will include starts and stops, interruptions, and side-tracked activities; they're self-similar. "There is never a satisfying end to this reductionist search, never an end point where we know everything about even one part of the system. When we study the individual parts or try to understand the system through its quantities, we get lost in a world we can never fully measure nor appreciate." (p. 129)

Chaos theory looks at entire systems, not individual components whose individual roles aren't necessarily understood. It asks for the underlying order that remains hidden among the visible self-similar chaotic results. In business "we have started edging toward an answer to this

question in our growing focus on studying organizations as whole systems rather than our old focus on discrete tasks." (p. 129)

Wheatley is hopeful because "some of the analytic tools introduced in corporate quality programs, although relying initially on diverse and minute mathematical information, eventually prove effective because they allow people to appreciate the complex and ever-changing shape of the organization, and how multiple forces work together to form it." (p. 130)

Wheatley prescribes a significant role for chaos theory and fractals in organizational leadership. "The very best organizations have a fractal quality to them. ... There is consistency and predictability to the quality of behavior. No matter where we look in these organizations, self-similarity is found in its people, in spite of the complex range of roles and levels." (p. 132) Wheatley attributes much of these results to the presence of a clear vision within the organization.

"These ideas speak with simple clarity to issues of effective leadership. They bring us back to the importance of simple governing principles: guiding visions, strong values, organizational beliefs - the few simple rules individuals can use to shape their own behavior." (p. 133)   In the terminology of chaos theory, vision and mission are the strange attractor for organizations that are otherwise in a constant state of chaos.

A strange attractor is the pattern of underlying order to be found in a chaotic system. The term "strange" is as opposed to simpler attractors such as the point at which a pendulum comes to rest, or the elliptical orbit of a planet. The graphical pattern that emerges from Dr. Deming's famous "funnel demonstration" is an example of a strange attractor showing that each observation, while apparently random, is bound by some yet-to-be-understood set of constraints.

A clearly formed and communicated vision and mission form the strange attractor for an organization in chaos. "Fluctuations, randomness, and unpredictability at the local level, in the presence of guiding or self-referential principles, cohere over time into definite and predictable form." (p. 133)   Chaos theory tells us that, given a chance, just a few underlying concepts or themes (i.e. Deming's *profound knowledge*) can be used to explain the wide variety of chaotic results often perceived in organizations.

"If we can trust the workings of chaos, we will see that the dominant shape of our organizations can be maintained if we retain clarity about the purpose and direction of the organization. If we succeed in maintaining focus, rather than hands-on control, we also create the flexibility and responsiveness that every organization craves. What leaders are called upon to do in a chaotic world is to shape their organizations through concepts, not through elaborate rules or structures." (p. 133)

Complexity Theory

Complexity theory, somewhat counterintuitively, describes the emergence of innovation and coordination within aggregates of individuals as a direct result of the randomness and interactions seen among the individuals within those aggregates. Complex system elude control and prediction because such control and measurement interfere with the very emergence being controlled and measured.   Complex human systems can create order and innovation if left alone to do so. As such, command-oriented leadership can actually inhibit the emergence of such order and innovation.

Complexity describes a conceptual bridge between the organismic and societal system types introduced at the end of the breadth component. Both the individual – whether as leader or follower – and the organization are systems, organismic and societal respectively. The

traditional study of leaders and followers as individuals attempts to directly define their impact on the organization. Under complexity theory, leadership of the organization is an emergent property of the interactions of individuals in the organization, and doesn't necessarily rely on any individual taking the specific role of leader or follower. Normal random interactions among individuals will result in individuals, at different times, emerging as leaders or followers, and emergent leadership at the organizational level will result. Without the insight of complexity, the leadership of the organization will be attributed to the attributes of the individuals in leadership positions at the time.

Marion and Uhl-Bien (2001) describe such complexity as defining a revised research agenda for leadership, arguing that - at a micro-level – the interaction of individuals in an organizational setting will result in the necessary competencies for leadership emerging from the interactions, and – at a macro-level – traditional command-and-control leadership techniques will only inhibit such emergence, and can run directly contrary to the desired emergent effects. (p. 394-396) "Effective leadership is about learning to capitalize on interactive dynamics (correlation, randomness, and interaction) among and within organizational ensembles." (p. 394, parenthetical in original)

Complexity theory describes self-organizing behavioral emergence as dominating the inner dynamics of systems in which such leadership might occur. This carries implications here because it argues for a dualistic view. First, it argues that complex leadership will be seen to emerge dynamically throughout the ensemble. However, and second, it requires that a traditional leader enable such emergence to occur. Complex leadership will emerge, but not necessarily spontaneously in any useful form.

This duality, if true, explains why effective leadership is often interpreted as driven by the traditional leader exclusively, and yet a great deal of variance can't be explained when studying the leader as individual. Hidden behind the complexity of the situation is the emergence of complex leadership that has been enabled by the traditional leader. Because such emergent leadership is unlikely to emerge spontaneously, its 1:1 correlation with traditional leadership allows it to be hidden in the background, or at least outside of the traditional leadership paradigm.

Chapter 4

Leadership in Quality

Overview

The application component of this KAM will look at an application of the above systems and complexity issues in the field of quality leadership. To set the stage, this chapter provides some background on the quality field, and its history of leadership models and themes.

Quality Movement

The history and evolution of quality management as a discipline rests largely on the personal works and writing of only a few key players in the international business community; including W. Edwards Deming and Joseph Juran. Working first with individual companies around the world, their approaches eventually became systems of activity adopted by entire industry segments or national governments. Today, these movements are recognized and seen in national and international standards programs (e.g. ISO 9000) and awards (e.g. Baldrige National Quality Award) aimed at promoting quality.

Guru Leadership

Many individuals have contributed to the body of knowledge related to quality management. Two leading founders and major contributors to the field have been W. Edwards Deming (1900-1995) and Joseph Juran (1904-).

W. Edwards Deming. Considered by most quality management professionals as the father of modern quality management, W. Edwards Deming was an American who took his quality ideas to Japan at the end of World War II and initiated a set of actions that gave eventual rise to the Japanese quality movements of the 1970's and 1980's. Built around a set of fourteen

basic points, or management obligations, (see Table 3), Deming's ideas largely created the

quality movement that swept into the United States during the 1980's.

Table 3 - Deming's (1982) 14 Management Obligations

1. Create a constancy of purpose
2. Adopt the new philosophy
3. Cease dependence on inspection
4. End the practice of awarding business on the basis of price tag alone
5. Improve constantly and forever
6. Institute training on the job
7. Adopt and institute leadership
8. Drive out fear
9. Break down barriers between departments
10. Eliminate slogans
11. Eliminate quotas and numerical goals
12. Remove barriers that rob employees of the right to pride of workmanship
13. Institute a vigorous program of education and self-improvement
14. Involve everyone in the transformation to quality

Deming's obligations were part of a system that he described as a *System of Profound*

Knowledge. Meeting the fourteen obligations would avoid the system's seven "deadly diseases,"

the first of which is a "lack of constancy of purpose." Constancy of purpose, for Deming,

describes the overall purpose of an organization; communicated clearly to all customers and

suppliers. Failure to identify those customers and suppliers and to build an articulated purpose

with them is identified, through his deadly diseases, as the biggest quality-related problem facing

organizations.

Joseph Juran. A contemporary of Deming (and celebrating his 100th birthday this

month), Joseph Juran's work in quality over the decades has resulted in what is known as *The*

Juran Trilogy (Juran, 1989) of Quality Planning, Quality Control, and Quality Improvement.

Most quality initiatives in industry are adaptations of Juran's basic framework for quality management. His "Handbook" (Juran & Godfrey, 1998) represents an encyclopedic reference work that serves as a virtual bible for the entire quality management profession around the world.

The heart of Juran's method for quality is Quality Planning; and the first step in his process for planning is to "determine who the customers are." (Juran, 1989, p. 20) It is from this beginning that Juran's methods explore the needs of each of the customers and the product and service features that will meet those needs. An absence of knowledge of the customer precludes, according to Juran, effective planning, controlling, and improving of quality.

Both Demind and Juran are consider paramount leaders in the quality management field, and serve as a microcosm thought experiment on the subject. Both leaders were rejected by American industrial leaders of their age, and found themselves embraced by Japan. While acknowledged as leaders of the field, each had to find a group of followers in order to succeed. While the differences raises interesting cultural and economic issues for comparing the American and Japanese landscapes of the period, it is simply noteworthy to point out here that leadership was ultimately defined by followership. This theme has been common in the recent leadership materials on implicit leadership theories and contingency leadership.

Types of Quality Programs

Today, Six Sigma concepts are increasingly penetrating software engineering literature and practice. However, much remains unclear about exactly what Six Sigma is, and how to apply its concepts to the variety of products and services offered by organizations that do more than simply manufacture tangible products. To make sense of the Six Sigma movement one must look back to the origins and implications of its dominant predecessor, Total Quality

Management (TQM).

Brute Force Quality

Historically, quality improvement was carried out as a management-dictated process of applying brute force effort to particular quality problems. For example, management might set a goal of reducing backorders in an order processing environment by 50%, from a current state of 24% to some target of 12% or less. This goal would drive an all out effort to attack the problem, making changes throughout the problem area and observing the impact of those changes on the targeted measures. After a time, the backorder rate would be seen to have been lowered to some value at or below the targeted 12%, and the improvement process would be declared a success based on that result. (Figure 2) However, the actual process behavior would still vary considerably. During some time periods, there would be more backorders; other times, there would be far fewer. The process itself would be likely to remain highly unpredictable into the future, and yet management would be happy because the overall backorder rate would remain considerably below the original 24% rate for some foreseeable future.

Figure 2 – Goal-based metric target with unpredictable process behaviors
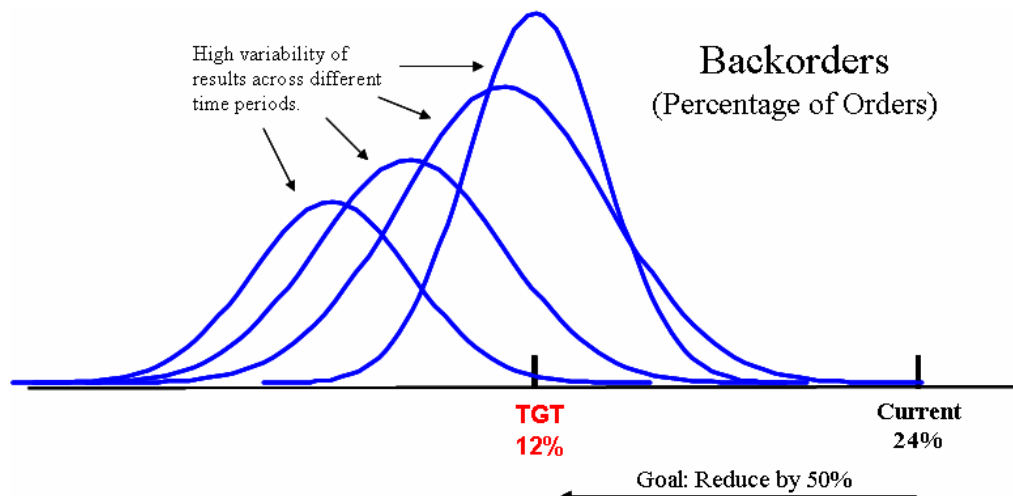
Problems with the brute force approach are numerous, but center on the fact that such efforts often focus on incorrect or inappropriate solutions, and the solutions themselves aren't usually sustainable. Virtually any quality problem can be solved in the short-term by altering existing controls, special expediting, or off-cycle planning. Backorders can be reduced by planning extra manufacturing of common backordered products, by running special reports in order to expedite problem orders, or by overriding control policies that might prevent certain product substitutions from being made. The result will be more orders out the door, but at the potential cost of a sub-optimized system as other products get into scheduling problems, loss of profitability as the cost of expediting is added to the standard cost, and decreased customer satisfaction as ill-advised last minute substitutions push orders onto unwary customers. As these problems work themselves out over time through customer complaints and revised production planning, the original problem will resurface and management will find itself right back where it started with high backorder rates.

Total Quality Management

Recognition of the weaknesses of the brute force approach to quality caused a shift toward more systematic approaches to quality improvement, grounded firmly in process improvement as the key to satisfying the customer's perception of quality, while using a fact-based approach to monitoring and decision-making. Collectively, these approaches came to be known as Total Quality Management (TQM), with numerous variations popular in the literature throughout the 1980s and into the mid-1990s. Many quality tools that had already been in use for decades in some fields became popular as the quality movement caught on with management, and penetrated product and process design in many fields and disciplines.

The quantitative impact of TQM occurred with the pinnacle TQM tool, Statistical

Process Control (SPC), that drove analysis and decision-making across the quality improvement

landscape. The affects of SPC could be seen in two key areas: 1) processes were expected to

exhibit variation around an average value, but the variation attributable to the process could be

expected to remain within certain expected ranges (the control limits), and 2) what a customer

wanted from a process (the specification limits) weren't necessarily the same thing as what a

process would actually be observed to do. When a process is operating outside of its

specification limits, it is said to be producing defectives. When a process is operating outside of

its control limits, it is said to be out-of-control.

An out-of-control process is a signal that something is wrong with the underlying

process, and that it should be addressed using the methods and tools of TQM. In this way, the

SPC analysis tells us both where the problems are (producing defectives outside the specification

limits) and whether or not we could cost-effectively fix them (out-of-control process behaviors

indicating special causes that can be identified and corrected). Defects produced by in-control

processes are much more difficult to isolate and correct, and require a different approach to the
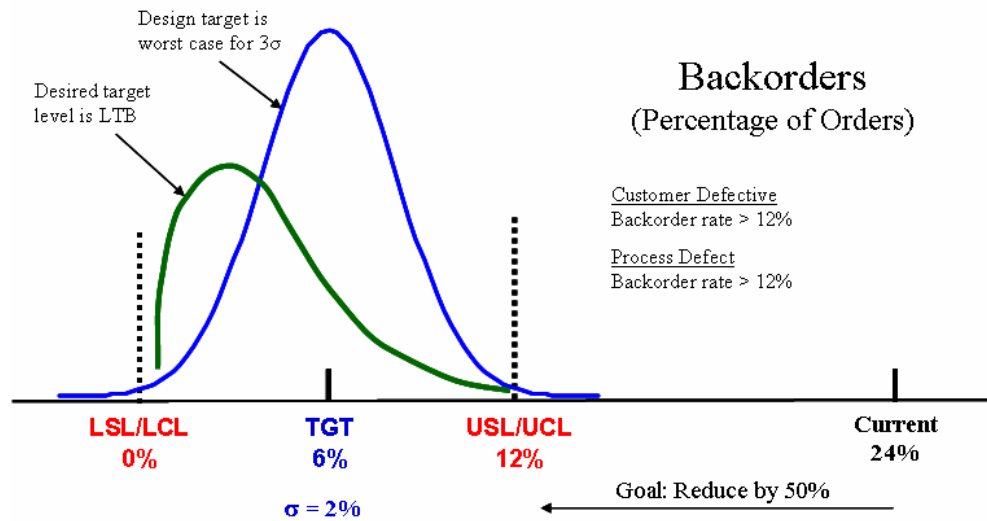
systematic use of the TQM toolset.

Figure 3 – TQM improvement metric based on 3σ control limits in SPC

Figure 3 illustrates the backorder problem using basic SPC thinking. The target set by

management as the goal of the brute force effort becomes the upper specification limit (USL) of

the desired new process. The objective of the improvement effort will be to build a process that

doesn't result in a backorder rate higher than this value, making the design target upper control

limit (UCL) also 12%. (Note that actual control limits can't be calculated until the process is in

place, and so control limits are discussed as design targets.)   Presumably management would

actually like the backorder rate reduced as much as possible (the lower-the-better, or LTB), and

so the lower specification limit (LSL) and lower control limit (LCL) are both set to 0%.   By

convention in SPC, the target value for the process redesign is the mid-point between the two

specification limits, or 6%. The new process is intended to deliver a backorder rate of 6%, with

enough minimal fluctuation that any variation within three standard deviations (or 3σ) from the

mean will still be within the 12% USL. In this way, SPC guides improvement toward a process

that will exhibit the expected natural range of process variation while still producing products or

services within the customer's perception of quality.   The resulting process will be said to exhibit a 3σ quality level, and the SPC data will identify opportunities for quality improvement by monitoring defectives and process variability.

Six Sigma

What makes the newer Six Sigma movement different from TQM is its emphasis on raising the bar on quality. The processes designed in TQM initiatives became very sensitive to 3σ control exceptions in SPC, with on-going improvement occurring incrementally at these margins. The Six Sigma movement uses all of the tools and techniques of these TQM initiatives, and adds an emphasis on long-term process variability and shift. Processes that were in-control in the short-term (typically operating within 3σ of their mean), would typically appear out-of-control in the long-term as greater variability was seen in human factors and error, equipment wear-and-tear, and gradual deterioration of process conditions.

With this increased variability included, TQM models failed to deliver adequate quality, even at short-term 3σ levels. The short-term expected defect rate of less than 1% for 3σ processes could be seen to rise above 5% as a result of the long-term shifting of the process. With expectations expanded to 6σ quality, new processes could be defined that provided acceptable levels of quality even while including the implications of long-term process shift.

SPC is still used to monitor and evaluate process performance at 3σ levels. However, the identified exceptions are now occurring well within the 6σ specification limits. In TQM, process defects and customer defectives were both defined at 3σ, and so process improvement was required while dealing with customer defectives outside the process. Six Sigma separates the discussion of process defects (outside 3σ) from the recognition of customer defectives (outside 6σ) to allow processes and systems to self-correct and adjust to results in the 3σ to 6σ range.

Figure 4 – Six Sigma metric with zone between 3σ control and 6σ spec limits
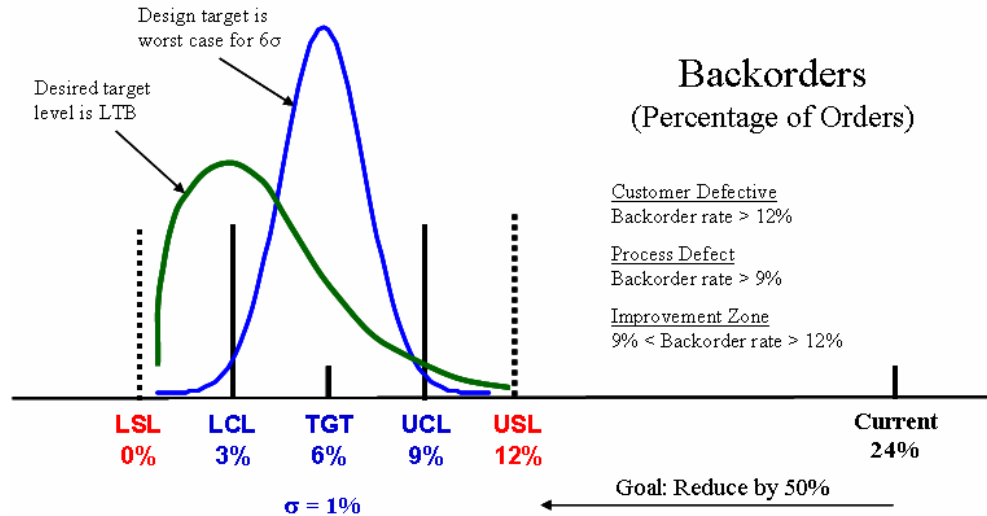

Figure 4 illustrates this difference using the backorder rate example. The specification limits haven't changed because they represent what the customer wants, which doesn't change based on how quality is being measured. But the control limits do change. Design target SPC control limits are still 3σ above and below the target, although the specification limits are now 12σ apart in this new Six Sigma view. This means that the revised UCL is now 9%, or the midpoint between the target value of 6% and the USL of 12%. There is now an improvement zone available between the UCL and the USL. Values above the control limit are process defects that SPC tells us can be economically corrected. If they can be corrected before they rise to the USL, the customer need never see a defective.

Implications for Leaders

As processes are redesigned to align with Six Sigma thinking, leadership has an opportunity to implement controls that take advantage of the improvement zone between 3σ and

6σ process performance. By building critical customer metrics into services, solutions can be made self-correcting by enabling specific actions to be taken when process defects are seen in the improvement zone. These actions need not always involve sophisticated technical solutions to be beneficial. Controls can be as simple as an e-mail notifying personnel of defects above the 3σ level, or a periodic management report highlighting activity in the 3σ to 6σ zone. The point isn't to build services without defects, but to build service solutions that can be kept from producing defectives in spite of their defects. That is the essence of Six Sigma.

Quality Control and Chaos

Zaccaro and Horn's (2003) discussion of the gaps between leadership study and practice included the warning that the coming and going of fads in management practice makes it difficult for systematic research gains to be applied in the field of leadership. The above evolution of the quality field is a representative example of that effect at work. The earliest literature on quality management already included the seeds of what has become the centerpiece of quality control, Statistical Quality Control (SQC). (Juran, 1995)

Originally a comprehensive tool for measuring the quality capability of any product or service, it became popular during the brute force era of quality, yet eventually fell into disfavor in all but the most progressive manufacturing settings (mostly in Japan). The practice received acclaim during the fad days of TQM, only to fall again into disfavor among the majority.   More recently, statistical control is embedded in the definition of the Six Sigma movement, and yet even organizations proclaiming the value of those programs often fail to properly or completely implement the concept or tool. Statistical control is hard work, and requires a long-term commitment to process definition and improvement. It is difficult to implement in a fad-driven short time horizon environment like organizational management.

A wealth of background material exists on the history of SQC, as well as technical sources telling how to conduct SQC through building and using control charts (see Juran & Godfrey, 1998).   Any statistical textbook can be used to explain the underlying principles that make SQC effective. Volumes of case studies and anecdotal evidence demonstrate that SQC does indeed work. However, very little has been written to explain just *why* SQC works.

Linear systems can be described as being in one of three possible states: static, convergent, or oscillatory.   Real-world processes are best described using the oscillatory state model. They tend to exhibit variability along virtually any dimension studied.   In SQC, this variability is demonstrated through the creation of control charts that plot inherent, or systemic, variability against a calculated mean. In the absence of variation, the mean would represent the process in a static state. Implementation of process improvement efforts, geared toward reducing process variation, move the process from the initial oscillatory state into a state of convergence.

As any organizational leader or quality professional can testify, some improvement efforts not only fail to change the process state from oscillatory to convergent, they can actually make the behavior of the system worse. Changes that have worked well in the past, or in different organizations, suddenly and unexpectedly result in worsened process performance. Often the degradation is dramatic, and results in new and overwhelming complexity.

This unexpected result occurs because business processes are not linear systems, they are non-linear. Non-linear systems exhibit a discontinuity between inputs and outputs - changing inputs a little can have a variety of impacts upon the output, ranging from nothing to enormous. Non-linear systems can be described by four possible states: static, convergent, oscillatory, and chaotic.

The increased complexity that occurs as the result of some process changes is unexpected because the system being changed is presumed to be linear. Under a non-linear model, an oscillatory system described by a process control chart is always balanced between moving toward convergence, or into chaos. Most real-life systems are non-linear, and non-linear systems can be chaotic. Chaos theory helps to explain the behavior of non-linear systems by describing an inherent order that underlies the surface complexity.

Statistical Quality Control is an attempt to move a system from an oscillatory state to a convergent state *without allowing it to slip into a chaotic state*. The continuous movement of a process through convergent states to a static state at some optimum level is an implicit goal of SQC. However, the goal of dropping process variability to zero is elusive. SQC exhibits fractal geometry over time. Regardless of the level of improvement seen in a process, a control chart describing that process always looks the same. Over time, the only part of a control chart that changes is the scale of variability. Variability, once measured as days or centimeters, later is measured in hours or millimeters. The scale reduces, but the inherent variability exhibits the same repeating fractal patterns over time.

Extending SQC to include various models and ideas from chaos theory provides benefit by allowing insights gained in the study of chaos to be applied to process improvement efforts almost immediately. Gordon and Greenspan (1994) offer some insights into the implications of chaos theory as it might be applied to business leadership for process improvement:

1. *Be sensitive to possibilities of chaos*. Recognize that the interaction of factors within processes are complex and that simple changes can have dramatic, and unplanned, results.

2. *Search for feedback*. Chaos is often brought about because feedback within a process becomes overwhelming. As a example of their observation; longer projects tend to conduct

more status meetings and produce more status reports. Projects with more meetings and reporting tend to become longer.   Longer projects often increase staff to shorten time frames. Increasing staff increases overhead, lengthening projects. These feedback loops result in an explosion of project estimates if left unchecked.

3. *Develop strategies for dealing with potentially chaotic non-linear processes*. Learning more about chaotic systems will guide better behaviors and more research is needed in applying chaos theory to information technology organizations.

Gordon and Greenspan offer four generic strategies for addressing chaotic systems. Two of their recommended strategies are already an inherent part of the discipline of SQC:

1. *Slow things down*. Non-linear systems that slip into chaos often do so when internal feedback loops become overwhelmed by the pace of activity or change. Until the appropriate feedback loops in a process are properly identified and understood, the best strategy for avoiding chaos is to slow down the rate of activity and change. SQC does this by focusing the activity of change agents on trends in any underlying variability. Reactionary changes targeting individual variations - the change most likely to trigger a chaotic increase in complexity - are specifically precluded by SQC.

2. *Kick in the pants*. Non-linear systems in an oscillatory state tend to remain in that state indefinitely. They are unlikely to shift to a convergent state on their own. In fact, they are more likely to slip into a chaotic state through the accumulation of feedback over time. For this reason change needs to be introduced periodically in order to inhibit chaos and move toward convergence. SQC supports this concept by constantly monitoring statistical outliers for improvement opportunities and by attending to trends in process variability that might signal an imminent process state change. Trends signaling increased variability, even before they reach a

state that could be described as chaotic, are addressed with process changes to reduce variability or to restore the original oscillation.

Their other two strategies are not yet integral components of SQC. It is from these SQC-extending strategies that leadership theorists can gain immediate benefits from chaos theory:

3. *Change the attractor*. By altering the underlying relationship that drives the chaos in a system - the strange attractor - the leader can extend the flexibility of the system in the oscillatory state and delay the onset of chaos. This strategy offers considerable benefit under scenarios where slowing down the rate of action and change is not an option. Many modern processes operating on internet-time fall in this category. Because leadership theory is not a discipline in which much chaos theory research has been accomplished, research will be needed to identify the strange attractors that drive process complexity.

4. *Change the rules*. By changing the definition of certain portions of IT processes, feedback loops that possibly contribute to increased complexity can be broken, or decoupled from the portions of the process that are driven into chaos. Known feedback loops (e.g. cycle time, overhead ratio, staff size) can be managed more carefully to avoid chaotic results typically achieved in the past.

As Zaccaro and Horn (2003) pointed out in highlighting the lack of trust between practitioners and academics, chaos theory must be more than academic to be of use to the organizational leader. It must illuminate unexplained historical observations and it must predict behaviors that will help improve process performance in the future. Chaos theory offers a framework for conducting SQC that goes beyond traditional practice. More research is required to formalize new and extended quality practices. Enough is evident now, however, for the

quality professional to immediately tie SQC to leadership in order to benefit from this emerging field of study.

The quality management example in this depth component offers an interesting example of Zaccaro and Horn's (2003) leadership theory and practice symbiosis (LTPS) at work. Leadership in the quality management arena has exhibited a great deal of divergence from organizational structures, or high levels of role emergence across organizations, in recent decades. Many of the leading practices that are among the most popular today (e.g. Six Sigma, Lean Enterprise) have their roots both in past research and past practice. The role of the certified quality leader (e.g. Six Sigma Black Belt) as an expert with continuing study in quality theory may be an example of Lewin's action research at work in modern organizations. This alignment and synergy might be characteristic of emergent leadership in a field or discipline, and will be included in the analysis criteria to follow. It may be seen, upon inspection, to satisfy many of the suggestions that Zaccaro and Horn are making for the creation of a symbiosis between leadership theory and practice.

Chapter 5

Analyzing Leadership Emergence

Overview

Leadership emergence as a construct is slippery and hard to see. In contrast to the traditional and formal leader-follower constructs, emergence is hard to see by nature. Even as the literature seeks to pin down the concept and operationalize it into dimensions that can be studied and discussed, the dominance of the traditional views makes hearing such discussion difficult.

When Burrell and Morgan (1979) sought to understand social systems best described by their radical structuralist, radical humanist, and interpretative paradigms; they found themselves overwhelmed by the traditional functionalist paradigms. Boundaries between paradigmatic viewpoints are arbitrary, and Burrell and Morgan described significant cross-paradigm influences; although they concluded that the boundaries were actually too permeable because of the conceptual dominance of the functionalist paradigm. (p. 397-8) They advocated less short-term interaction among the paradigms in order to provide each an ability to mature ideas and establish themselves as independent "alternate realities." (p. 398)

Discussion of the opposing paradigms of traditional versus emergent leadership struggles with the same issues. Undoubtedly, research will show that the two paradigms entail interactions that mutually support one another, with traditional leaders being an outcropping of social emergence, and individual leaders enabling the organizational and social conditions under which collective leadership can emerge. But, for now, discussion of the emergent aspects of leadership can be overwhelmed by the breadth, depth, and bias seen in the literature (particularly the popular management literature) surrounding leadership.

An Application Filter

The application component of this KAM that follows will use a filtering framework to analyze and review emergent properties of leadership, while more-or-less ignoring aspects of traditional leadership. Such a filter is not meant to downplay the role of traditional leadership constructs in organizations, rather, to allow an analysis of potential emergence issues and concerns to be viewed without the noise and cacophony of the traditional messages.

The filter to be used will focus on dimensions highlighted in this depth component as particularly relevant to discussing emergent or non-traditional leadership. The dimensions reviewed will highlight only certain aspects of the scenarios reviewed:

1. *Systems framework*. Descriptions of leadership that emphasize aspects of the systems framework involving the collective roles of follower and leader can serve as indicators that traditional leadership is yielding to emergent leadership pressures.

2. *Leadership functions*. Organizational descriptions in which roles traditionally ascribed to individuals in leadership positions become less defined as the responsibility of particular individuals can serve as indicators that leadership is spreading across a collective, enabling emergent extensions to come forward.

3. *Complexity*. Any indications of increased organizational complexity in organizational descriptions will represent opportunities for emergent activities to self-organize around available attractors.

4. *Multiculturalism*. Organizational descriptions of leadership that indicate cultural sensitivity and diversity represent a spreading of leadership functions beyond individuals to the organizational collective, and may enable additional attractors for emergence.

The scenarios used will be taken from organization self-descriptions in applications for the Baldrige National Quality Award in the United States. The award criteria include a Leadership category that requires applicants to discuss and describe their leadership capabilities as an organization, and to tie those leadership capabilities to other functional dimensions of the organization. These self-descriptions provide data for applying the filter described here.

Details of the filters, and their application to several Baldrige application packages, will comprise the body of the application component that follows.

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WALDEN UNIVERSITY

Advanced Knowledge Area Module 5:

Leadership Development

AMDS 8532 - Professional Practice – Application of a Theory of Leadership Development

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Chapter 1

Introduction

Overview

The depth component raised issues of leadership emergence as a systems phenomenon within the broader arena of leadership in organizations. This application component explores the implications of certain leadership emergence factors in the evaluation of leadership quality in an organization using the Baldrige National Quality Award (National Institutes of Standards and Technology, 2004) criteria to either self-assess capabilities or to actually apply for the award itself.

The criteria for the Baldrige Award in the United States treat leadership as one of seven systemic categories that drive quality management practices in an organization. The award application process requires organizations to define key elements of their leadership models, and to juxtapose those elements against other factors described by the six non-leadership categories.

The detail perspectives developed in the breadth and depth components of this KAM can inform an attempt to systematically predict and analyze the types of responses one can expect to see in application responses to this award category. This analysis defines a checklist instrument that can help guide an organization toward more effective and complete application responses that include a broader range of leadership issues, including emergent leadership dimensions.

Specific application objectives are:

1. To describe and analyze the criteria for understanding leadership embodied in the Leadership Category (Category 1) of the Baldrige National Quality Award by identifying and comparing elements of those criteria with the definition and model of leadership in the quality management arena developed in the depth component.

2. To define and describe an instrument (i.e. set of checklists and/or worksheets) that organizations can use to self-assess responses to the award criteria in order to correct possible response omissions and to identify opportunities to respond more thoroughly.

3. To pilot and evaluate the effectiveness of this instrument against a set of organizational responses to the Baldrige criteria; one drawn from an actual client application process, and another from an award application package available for review in the literature.

Quality Awards

There are many public and private awards for quality around the world. Each follows along a similar paradigm; the provision of criteria developed by the award community that must be modeled and adhered to by award applicants in order to be considered for award status. Te paramount quality award in the Units States is the Baldrige National Quality Award administered by the National Institute of Standards and Technology. The Baldrige award is used in this application component as a basis for analyzing leadership issues is a small organizational sample. Conceptually, the discussed developed below could be expanded to include any other quality award built on a similar model, including popular quality awards in Europe and Japan. Such an expansion was not feasible during the development of a single KAM, and will be pursued at a later date.

Baldrige National Quality Award

The Baldrige National Quality Award provides organizations with a reference framework for discussing quality and a benchmark against which to compare themselves. Within an organization, those managers charged with quality management responsibilities face the challenge of translating the national standard for quality into policies and procedures that will

promote quality within the business; at the same time, these managers must continue to fulfill the purposes traditionally associated with quality management.

An organization need not formally apply for the award to use the award criteria to improve its operations. The award criteria define a model that can be applied at the individual employee, work group, departmental, or enterprise levels. Involvement from executive-level management is essential for the organization's long-term success; however, the organization can achieve significant short-term gains readily, with the quality manager acting as the top-level leader in the quality improvement effort.

Companies or organizations choosing to apply for the National Quality Award must complete and submit a comprehensive written application that response to a series of discussion points in the seven categories of the Criteria for Performance Excellence (Table 1).

Table 1 – 2004 Baldrige Criteria for Performance Excellence

Category	Criteria
1 Leadership	The Leadership Category examines HOW your organization's SENIOR LEADERS address VALUES, directions, and PERFORMANCE expectations, as well as a focus on CUSTOMERS and other STAKEHOLDERS, EMPOWERMENT, INNOVATION, and LEARNING. Also examined are your organization's GOVERNANCE and HOW your organization addresses its public and community responsibilities.
2 Strategic Planning	The Strategic Planning Category examines HOW your organization develops STRATEGIC OBJECTIVES and ACTION PLANS. Also examined are HOW your chosen STRATEGIC OBJECTIVES and ACTION PLANS are deployed and HOW progress is measured.
3 Customer and Market Focus	The Customer and Market Focus Category examines HOW your organization determines requirements, expectations, and preferences of CUSTOMERS and markets. Also examined is HOW your organization builds relationships with CUSTOMERS and determines the KEY factors that lead to CUSTOMER acquisition, satisfaction, loyalty and retention, and to business expansion.
4 Measurement, Analysis, and Knowledge Management	The Measurement, Analysis, and Knowledge Management Category examines HOW your organization selects, gathers, analyzes, manages, and improves its data, information, and KNOWLEDGE ASSETS.
5 Human Resource Focus	The Human Resource Focus Category examines HOW your organization's WORK SYSTEMS and employee LEARNING and motivation enable employees to develop and utilize their full potential in ALIGNMENT with your organization's overall objectives and ACTION PLANS. Also examined are your organization's efforts to build and maintain a work environment and employee support climate conducive to PERFORMANCE EXCELLENCE and to personal and organizational growth.
6 Process Management	The Management Category examines the KEY aspects of your organization's PROCESS management, including KEY product, service, and business PROCESSES for creating CUSTOMER and organizational VALUE and KEY support PROCESSES. This Category encompasses all KEY PROCESSES and all work units.
7 Business Results	The Business Category examines your organization's PERFORMANCE and improvement in KEY business areas — CUSTOMER satisfaction, product and service PERFORMANCE, financial and marketplace PERFORMANCE, human resource RESULTS, operational PERFORMANCE, and GOVERNANCE and social responsibility. Also examined are PERFORMANCE LEVELS relative to those of competitors.

(National Institute of Standards and Technology, 2004)

The criteria for the award requires applicants to repeatedly identify and discuss components of the "leadership system." That term is operationalized within the criteria as follows:

> The term "leadership system" refers to how leadership is exercised, formally and informally, throughout the organization – the basis for the way key decisions are made, communicated, and carried out. It includes structures and mechanisms for decision making; selection and development of leaders and managers; and reinforcement of values, directions, and performance expectations.
>
> An effective leadership system respects the capabilities and requirements of employees and other stakeholders, and it sets high expectations for performance and performance improvement. It builds loyalties and teamwork based on the organization's values and the pursuit of shared goals. It encourages and supports initiative and appropriate risk taking, subordinates organization structure to purpose and function, and avoids chains of command that require long decision paths. An effective leadership system includes mechanisms for the leaders to conduct self-examination, receive feedback, and improve." (p. 33)

Initially launch in 1988, the Award program is a primary source of self-assessment criteria across United States commercial, educational, and health sectors. Emphasis on self-assessment is found in the fact that millions of application packets containing the criteria are requested by businesses every year, and yet only several hundred organizations actually apply for the Award. The vast majority of documents requested are being used for educational or self-assessment purposes outside of the official Award program. Numerous other international and state-level quality award programs have been modeled and operate on the Baldrige model. Understanding how to better fit the emergent leadership dimensions defined in the depth component into the Award criteria will enhance the value of the criteria for organizations using it for self-assessment and self-improvement, even if these dimensions don't become part of the official Award guidelines.

Chapter 2

Pilot Guidance Instruments

Overview

This chapter provides the instrumentation that I use in the following chapters to review a

variety of award application materials to look for leadership emergence content and issues. I

begin by trying to see where emergence issues might show an affinity for existing traditional

measures, and then I use that affinity to help brainstorm possible instrument items.

This was not a scientific study. Client input was sought from my current organizational

development client, Honeywell International, and they had knowledge of my work contributing

to this KAM. However, no particular methodological rigor was assured. My KAM outputs were

always incidental and secondary to my client assignments. Regarding the instrument

development in this chapter, I practiced the item scaling techniques proposed by Trochim (2001)

to the extent practical within the engagement limitations.

Traditional Leadership Issues

The National Institute of Standards and Technology encourages the use of self-

assessments and checklists in preparing an organization for the award application process. They

supply many such checklists in their large library of materials. In my consulting practice, I have

a set of preparatory prompts that I use, primarily as educational tools when explaining the award

criteria to organizations that are less familiar with them.

The set of prompts that I use when exploring the leadership category are listed in Table 2.

When I typically use the items, I ask the management team with which I am working to respond

to each item using a 10-point Likert scale, where a "10" indicates complete agreement with the

prompt, and a "1" would indicate complete disagreement. Text comments are also elicited for

each item. The entire snapshot provides me with a set of data regarding how the management

team thinks about the core items that will be evaluated in the award assessment of their

application. The actual award assessment criteria are such that I typically need to work with the

management team to expand their thinking about any low scoring items, since these prompts

roughly correspond to the assessment items being evaluated by the award assessment team.

Table 2 – Leadership Exploratory Prompts (Traditional)

Leadership Exploratory Prompts	Emergence Impact
1. Our employees know and understand our organization's vision and mission.	High
2. Our leadership team uses our organization's values to guide projects and work assignments.	Medium
3. Our leadership team creates a work environment that helps everyone do their jobs effectively.	Low
4. Our leadership team shares information about the organization and its environment.	High
5. Our leadership team encourages learning that will help everyone advance toward their career goals.	Medium
6. Our leadership team lets everyone know what the company thinks is most important.	High
7. Our leadership team asks employees what they think about issues and events of concern.	Medium

In a recent meeting with a division management team at Honeywell International, I took

the team through this checklist as I usually do as a normal course of my engagement. In

addition, we had an extensive discussion of emergent leadership, particularly with respect to the

extent that certified Black Belts in the company Six Sigma program were expected to initiate

leadership behaviors beyond their job assignments. The managers in the discussion commented

that emergent leadership was indeed part of their thinking about leadership, and they would want

to have that focus come through in their award application responses. To further aid discussion,

I asked them to respond again to the exploratory prompts, but rather than the 10-point scale, to

respond to each item based on the following question: "Would you rate the potential for a

response to the item to elicit information about emergent leadership as High, Medium, or Low?"

We discussed their answers as a group, and Table 2 includes the group consensus in the right

column.

Leadership Emergence Domains

The focus of the application of emergent leadership to an application award was centered

on the three traditional prompts rated as "High" with respect to potential for emergent leadership

to be uncovered or highlighted (Prompts 1, 4, & 6 in Table 2). Additional, more detailed,

prompts would be developed to probe for characteristics that might be representative of an

organization more likely to experience the phenomenon of leadership emergence. In seeking

addition detail prompts, the issues and dimensions identified in the depth component were used.

Systems Framework

The systems framework dimension identified in the depth component involves looking

for descriptions of leadership that emphasize aspects of the systems framework involving the

collective roles of followers and leaders. An emphasis on the collective over the individual,

particularly if it breaks from hierarchy, can serve as an indicator that traditional leadership is

yielding to emergent leadership pressures.

A particular focus of this dimension is the identification of opportunities to observe the

collective group in emergent leader and follower roles; the group-group dyad defined in the

systems model introduced in the breadth component. Also of interest in this dimension is the bi-

directionality of leadership; or being able to recognize situations where the role of a particular

individual as leader is actually derived from the collective behavior of the follows. IN essence, this dimensions looks for breaks from the traditional leader-follower dyad organized into hierarchic relationships across the organization.

Leadership Functions

The leadership functions dimension identified in the depth component involves looking for organizational descriptions in which roles traditionally ascribed to individuals in leadership positions become less defined as the responsibility of particular individuals. Such spreading of responsibilities can serve as an indicator that leadership is spreading across a collective, enabling emergent extensions to come forward.

Of interest in this dimension is the association of leadership authority with the demonstration of competence, and the modeling of competency-derived behaviors that establish norms. Such norms can become part of the organizational cultural, and so may not be recognized as leader-derived.

Complexity

The complexity dimension identified in the depth component involves looking for any indications of increased organizational complexity in organizational descriptions. Increased complexity represents an opportunity for emergent activities to self-organize around available attractors.

Of interest in this dimension is the possibility that organizational behavior can emerge from relatively simple attractors, and that such behaviors can evolve nonlinearly. Because we're not inclined to observe nonlinear cause-effect chains, we traditionally don't see connections between simple actions and complex reactions. In the absence of such explanations, it often makes sense to attribute organizational development and growth to those in charge at the time,

and sometimes to view these individuals as superior leaders. The instrument developed here must offer an opportunity to visualize those effects in action.

Multiculturalism

The multiculturalism dimension identified in the depth component involves looking for organizational descriptions of leadership that indicate cultural sensitivity and diversity. Such descriptions represent a spreading of leadership functions beyond individuals to the organizational collective, and may enable additional attractors for emergence.

Of interest in this dimension is an ability to delineate differences in organizational development and behavior brought about as a result of different cultural or social characteristics of the people or settings involved. The Baldrige Award used in this analysis is a United States model that may not apply in different settings; either in organizations that are global, or in non-global organizations not based in the Units States.

Emergent Leadership Prompts

As part of the analysis for this application component, and in conjunction with my focus groups at Honeywell, I've developed several additional and more specific prompts within the three prompt categories previously identified as highly likely to show emergent leadership dimensions at work in an organization. For each of the three prompts, two additional sub-prompts have been provided in each of the emergence domains identified above; making eight additional sub-prompts for each original prompt. These prompts are listed in Table 3, Table 4, and Table 5 below with the emergence domain for each item indicated in parentheses.

Table 3 – Vision & Mission Emergent Leadership Prompts

1. Our employees know and understand our organization's vision and mission.

   a. Mission statements and goals are defined for each level of the organization down to the work-group level. (Systems Framework)

   b. Individual employees have some form of personal mission or goal set that extends beyond individual project or work assignments. (Systems Framework)

   c. Individuals with demonstrated competencies are encouraged to direct effort anywhere needed to pursue the vision or mission. (Leadership Functions)

   d. Managers throughout the organization model the behaviors that are expected of individuals in addressing mission-related opportunities. (Leadership Functions)

   e. Employees are expected to be guided by the organization vision or mission without direct intervention by management authority. (Complexity)

   f. Planning and other responses to the mission cross internal and external organizational boundaries at multiple levels of depth and detail. (Complexity)

   g. The organization's vision and mission are defined using multiple perspectives that can be meaningful across a diversity of stakeholders. (Multiculturalism)

   h. Different stakeholders are free and expected to interpret the vision and mission within their own local and functional context. (Multiculturalism)

Table 4 – Information Sharing Emergent Leadership Prompts

4. Our leadership team shares information about the organization and its environment.

    a. Information is available to employees through a variety of traditional and non-traditional channels and mechanisms. (Systems Framework)

    b. Information flows among management and employees in multiple directions, styles, and levels of formality. (Systems Framework)

    c. Individuals have access to and can obtain information in support of their competencies, knowledge, and interests. (Leadership Functions)

    d. Information dissemination is expected to result in both planned and unexpected change and innovation across organizational functions. (Leadership Functions)

    e. Information can be sensed and used at any level of the organization, and can flow in any direction up and down the organizational structure. (Complexity)

    f. The smallest piece of organizational or environmental information can result in significant activity and change in plans across the organization. (Complexity)

    g. Information shared across the organization is interpreted by employees within their own local and environmental context. (Multiculturalism)

    h. Local differences in the way information is collected and interpreted can positively impact the way it is perceived by the organization. (Multiculturalism)

Table 5 – Company Priorities Emergent Leadership Prompts

6. Our leadership team lets everyone know what the company thinks is most important.

    a. Priorities are established and monitored at multiple levels of the organization, including for each individual employee. (Systems Framework)

    b. Priorities within the organization are heavily influenced by stakeholders outside of the organization. (Systems Framework)

    c. Individual employee competencies are key criteria for deciding how and when to interpret organizational priorities. (Leadership Functions)

    d. What the company thinks is important includes both outcome objectives and expected process behaviors. (Leadership Functions)

    e. Company priorities focus on the underlying precursors of success, and expect successful outcomes to result as a by-product. (Complexity)

    f. What is considered important can shift quickly as a result of changes in the organization or its environment. (Complexity)

    g. Priorities are derived and balanced across a broad spectrum of individual and organizational interests. (Multiculturalism)

    h. Importance of different priorities is filtered among and within regional and local operations and facilities. (Multiculturalism)

Award Application Guidance

An objective of this KAM was to build and pilot an instrument that could be used to self-assess Award applications, looking for leadership issues and themes that might indicate richer and deeper thinking about leadership than might otherwise be encountered using only the base traditional leadership criteria.

Instrument Definition & Testing

By combining the prompts in the tables above, a self-assessment sheet with two columns was created. Each prompt was provided individually in the first column, along with a second column for recording the observations made during content analysis of the study documents.

A focus group of nine managers at Honeywell reviewed and discussed the resulting instrument, and several of the prompts were revised as a result of the discussion. Generally, the focus group found the prompts helpful in expanding their thinking about leadership, particularly in the primary study area of the effects of emergence on the role that their quality program mentors played across the organization. Six Sigma Black Belts are important leaders in an organization committed to implementing a Six Sigma quality program, and yet those leaders typically exist outside of traditional management hierarchies, and build credibility by demonstrating competence rather than power. These criteria of leaders are highlighted by the prompts in this KAM, and so successfully served the purposes for which they were intended.

The next two chapters further test the instrument prompts by applying them to two actual Baldrige applications as filters for analysis, Motorola, and Ritz-Carlton.

Chapter 3

Case 1: Motorola 2002

Overview

The first external test of the leadership instrument developed above was against an

Award application from a 2002 award winner in the manufacturing category, Motorola. As a test

case, Motorola was interesting because they originated the Six Sigma conceptual quality

program currently being deployed and practiced at my current organizational client, Honeywell.

Their quality award self-assessment might represent a snapshot of where Honeywell will find

itself in another ten years.

This test assessment was conducted with materials publicly available from Motorola at

their Baldrige web site (see http://www.motorola.com/cgiss/malcolmbaldrige/). The on-line site

provides copies of all award application and descriptive materials. Agreeing to make such

materials available after winning the award is actually a requirement for applying for the award.

The materials have been *sanitized* to remove proprietary information under guidelines provided

by the award program. Quotations in this chapter are taken from those materials unless

otherwise noted.

Company Background

Motorola Commercial, Government, and Industrial Solutions Sector is a global provider

of communications and information technology network solutions to large customers in the

private and public sectors. They are headquartered in Schaumburg, Illinois, and have annual

sales of approximately $4 billion. The company has 14,000 employees at manufacturing and

service facilities throughout North America, Africa, Asia, Europe, Latin America, and the

Middle East.

While their products and services are high-tech, the most frequently sighted example provided in their company literature is a two-way radio network facility sold to large police departments or industrial operations locations.   That example translates into a focus on public safety as the central core of the company mission.

Application Overview

By 2001, when Motorola was ready to apply for the Baldrige award, the company already had years of experience with successful quality programs. Company president, Bob Barnett, described the application process as an opportunity to identify remaining gaps in an otherwise highly successful quality management system, stating that "the assessment process provides an excellent opportunity to benchmark performance and identify opportunities to continue to do better."

To a certain extent, all Baldrige applications look the same. The internal structure of the seven award criteria categories, coupled with fairly strict specifications regarding how many pages an application package is allowed to contain, make the application output of the process very predictable. Conducting a content analysis of the application is made much easier by such precision of specification.

The Motorola application runs 61 pages with accompanying data figures. This limited document structure requires that an applicant choose words very carefully, editing out all non-essential content.   Text that remains in the final application should represent the core agreed-upon concepts that actually describe the company and its programs. This allows the text in the award package to be taken at face-value, with assurance that the text was heavily scrutinized by the company management team for accuracy and representation of management policies.

Application Analysis

The Motorola application offers a comprehensive picture of an organization that embodies leadership at multiple levels and across organization settings. The application mentions leadership in some form in 72 different places, and articulates something about the role of a leader an additional 30 times. There is also a clear and evident contrast drawn between these leadership references and management structures. Management disciplines are described 70 times, usually in dealing with company governance and structure, and a role is attributed to a manager 53 times. The context of the management/leadership and manager/leader discussions is quite distinct. Managers are usually discussed as being high in the organizational structure, and leaders are described as being virtually anywhere there's an opportunity to express leadership.

The content analysis prompts developed in the previous chapter were used to identify additional specific details with respect to leadership in the application. Discussions in the application text that seemed indicative of an item prompt were noted. Not all prompts resulted in data findings, although there was extensive coverage found.

The results of the vision and mission prompt analysis developed in Table 3 are included in Table 6.

Table 6 – Vision & Mission Emergent Leadership (Motorola)

1. Our employees know and understand our organization's vision and mission.	Content analysis notes
a. Mission statements and goals are defined for each level of the organization down to the work-group level.	Managers at every level are expected to develop goals and communicate them to staff.
b. Individual employees have some form of personal mission or goal set that extends beyond individual project or work assignments.	Employees develop their own goals through a "Personal Commitment" goal-setting toolset.
c. Individuals with demonstrated competencies are encouraged to direct effort anywhere needed to pursue the vision or mission.	Planning approaches are meant to "enable employees to become more innovative"
d. Managers throughout the organization model the behaviors that are expected of individuals in addressing mission-related opportunities.	"leaders are held accountable to monitor these results and learn from them to drive continuous improvement."
e. Employees are expected to be guided by the organization vision or mission without direct intervention by management authority.	Deployment "allows the organization to manage with minimal supervision." … "set clear performance expectations." "individuals focus on the actions needed to satisfy customers."
f. Planning and other responses to the mission cross internal and external organizational boundaries at multiple levels of depth and detail.	n.a.
g. The organization's vision and mission are defined using multiple perspectives that can be meaningful across a diversity of stakeholders.	n.a.
h. Different stakeholders are free and expected to interpret the vision and mission within their own local and functional context.	All employees contribute to the planning cycles through the "Your Ideas Emails" program.

n.a. – Not Apparent in application materials.

The results of the information sharing prompt analysis developed in Table 4 are included in Table 7.

Table 7 – Information Sharing Emergent Leadership (Motorola)

4. Our leadership team shares information about the organization and its environment.	Content analysis notes
a. Information is available to employees through a variety of traditional and non-traditional channels and mechanisms.	Information flows are referred to as "cascading of information" across the organization.
b. Information flows among management and employees in multiple directions, styles, and levels of formality.	"Expanded Staff Net Meetings" are bi-direction communication forums.
c. Individuals have access to and can obtain information in support of their competencies, knowledge, and interests.	Organization supports and encourages "functionally-specific learning curriculum training" for all employees.
	Comprehensive use of internal surveys, town hall meetings, "Let's Chat" management sessions, and open door policies throughout the organization.
d. Information dissemination is expected to result in both planned and unexpected change and innovation across organizational functions.	Individuals are expected to drive continuous improvement based on a data-centric approach to identifying problems, even when unanticipated.
e. Information can be sensed and used at any level of the organization, and can flow in any direction up and down the organizational structure.	Information is entered into general customer processes through any of "15 gates" that have been defined for that purpose.
f. The smallest piece of organizational or environmental information can result in significant activity and change in plans across the organization.	n.a.
g. Information shared across the organization is interpreted by employees within their own local and environmental context.	n.a.
h. Local differences in the way information is collected and interpreted can positively impact the way it is perceived by the organization.	n.a.

n.a. – Not Apparent in application materials.

The results of the company priorities prompt analysis developed in Table 5 are included

in Table 8.

Table 8 – Company Priorities Emergent Leadership (Motorola)

6. Our leadership team lets everyone know what the company thinks is most important.	Content analysis notes
a. Priorities are established and monitored at multiple levels of the organization, including for each individual employee.	Personal Commitment sheets are signed-off and tracked by organizational managers.
b. Priorities within the organization are heavily influenced by stakeholders outside of the organization.	"Services delivered through an integrated structure" that includes both customers and suppliers.
c. Individual employee competencies are key criteria for deciding how and when to interpret organizational priorities.	Planning process focuses on maintaining and taking advantage of their "bench strength" of competent employee potential across the organization.
d. What the company thinks is important includes both outcome objectives and expected process behaviors.	n.a.
e. Company priorities focus on the underlying precursors of success, and expect successful outcomes to result as a by-product.	More discussion of the Vision and the Code of Conduct than on any procedural or management matters. Emphasis seems to be on making sure the right people focus on the right things, and effectives is expected to result.
f. What is considered important can shift quickly as a result of changes in the organization or its environment.	n.a.
g. Priorities are derived and balanced across a broad spectrum of individual and organizational interests.	Many events and processes are described as focusing on "leadership diversity."
h. Importance of different priorities is filtered among and within regional and local operations and facilities.	n.a.

n.a. – Not Apparent in application materials.

Conclusion

The data uncovered in this content analysis of Motorola's application document clearly

shows an organization that is experiencing emergent leadership, and seems to indicate that such

emergence is an intended outcome of its leadership programs (even if the construct of emergence

is not part of the organization's leadership planning).

Chapter 4

Case 2: Ritz-Carlton

Overview

The second external test of the leadership instrument prompts was conducted using an

Award application completed by Ritz-Carlton. As a test case, Ritz-Carlton was of interest

because they are the only organization in the service category to have won a Baldrige award

twice; first in 1992 and again in 1999. Such prominence in the field makes them a powerful

benchmark for a successful quality program, making their approach to leadership relevant to the

application of this KAM's approach to emergent leadership.

Company Background

Atlanta based Ritz-Carlton Hotel Company is a management company that develops and

operates luxury hotels for W.B. Johnson Properties, also based in Atlanta. In 1983, W.B.

Johnson acquired exclusive U.S. rights to the Ritz-Carlton trademark, a name associated with

luxury hotels for over 100 years. The Ritz-Carlton Hotel Company operates over 60 business

and resort hotels in the United States and two hotels in Australia.   It also has nine international

sales offices and employs 17,000 people.

Application Overview

The Ritz-Carlton first won a Baldrige Award in 1992. At the time, the chain operated 23

properties, and employees 11,000 people.   It had taken over 100 years for the company to grow

to that point. As a result of its quality program that enabled it to win the award in 1992, the

company launched an aggressive growth strategy. By 1999, properties had more than doubled,

staff grew by 75%, and new properties were under active construction to continue growth at that

pace.

Part of the company rationale for applying for the award again was a concern that the company quality program that had driven such growth would continue to be assessed and received positively by the public. Indeed, winning the Award again demonstrated to stakeholders that the overall focus on quality had not been sacrificed in order to fuel growth. The Ritz-Carlton brand still stands for quality among its customer base, and the Baldrige Award testifies to the reality of its quality program in its operations.

The actual Ritz-Carlton application runs only 24 pages, and was obtained from the National Institute of Standards web site (http://www.quality.nist.gov/).

Pilot Instrument Application

Analysis of the Ritz-Carlton application materials finds an organization that only seems to describe leadership in very traditional terms. Leadership or leaders were discussed in the application only 34 times, and the vast majority was in the context of describing a role or activity of Senior Leadership; in each case in a context that implied upper organizational management. No references to employee-emergent leadership were evident. In one case, collecting data from leaders was actually contrasted with conducting employee surveys. April and Hill (2000) had predicted that emergent leadership would be less likely to be seen in organizations that didn't differentiate strongly between leaders and managers, and this analysis of Ritz-Carlton seems to bear out their prediction.

The content analysis prompts developed in the chapter two were used to identify additional specific details with respect to leadership in the application. Discussions in the application text that seemed indicative of an item prompt were noted. Not all prompts resulted in data findings, although many descriptions in the application could be mapped well to the original traditional prompts described in chapter two.

The results of the vision and mission prompt analysis developed in Table 3 are included

in Table 9.

Table 9 – Vision & Mission Emergent Leadership (Ritz-Carlton)

1. Our employees know and understand our organization's vision and mission.	Content analysis notes
a. Mission statements and goals are defined for each level of the organization down to the work-group level.	n.a.
b. Individual employees have some form of personal mission or goal set that extends beyond individual project or work assignments.	n.a.
c. Individuals with demonstrated competencies are encouraged to direct effort anywhere needed to pursue the vision or mission.	n.a.
d. Managers throughout the organization model the behaviors that are expected of individuals in addressing mission-related opportunities.	n.a.
e. Employees are expected to be guided by the organization vision or mission without direct intervention by management authority.	The ability to react to customer needs under the company Credo is an expectation of every staff member.
f. Planning and other responses to the mission cross internal and external organizational boundaries at multiple levels of depth and detail.	n.a.
g. The organization's vision and mission are defined using multiple perspectives that can be meaningful across a diversity of stakeholders.	All staff at new hotels are required to attend the initial vision and mission statements to help craft local versions of the company documents.
h. Different stakeholders are free and expected to interpret the vision and mission within their own local and functional context.	n.a.

n.a. – Not Apparent in application materials.

The results of the information sharing prompt analysis developed in Table 4 are included

in Table 10.

Table 10 – Information Sharing Emergent Leadership (Ritz-Carlton)

4. Our leadership team shares information about the organization and its environment.	Content analysis notes
a. Information is available to employees through a variety of traditional and non-traditional channels and mechanisms.	Information displays are present in and around all staff areas. Staff carry "Credo Cards" to continually remind them of the vision and mission.
b. Information flows among management and employees in multiple directions, styles, and levels of formality.	The culture and tools include a "Guest Memory System" that is meant to allow anyone in the process to contribute knowledge about guests for use by the entire organization.
c. Individuals have access to and can obtain information in support of their competencies, knowledge, and interests.	n.a.
d. Information dissemination is expected to result in both planned and unexpected change and innovation across organizational functions.	n.a.
e. Information can be sensed and used at any level of the organization, and can flow in any direction up and down the organizational structure.	n.a.
f. The smallest piece of organizational or environmental information can result in significant activity and change in plans across the organization.	The empowerment process for dealing with customer issues contains an explicit activity for communicating incidents to the staff as lessons learned.
g. Information shared across the organization is interpreted by employees within their own local and environmental context.	n.a.
h. Local differences in the way information is collected and interpreted can positively impact the way it is perceived by the organization.	n.a.

n.a. – <u>N</u>ot <u>A</u>pparent in application materials.

The results of the company priorities prompt analysis developed in Table 5 are included in Table 11.

Table 11 – Company Priorities Emergent Leadership (Ritz-Carlton)

6. Our leadership team lets everyone know what the company thinks is most important.	Content analysis notes
a. Priorities are established and monitored at multiple levels of the organization, including for each individual employee.	n.a.
b. Priorities within the organization are heavily influenced by stakeholders outside of the organization.	Top stated priority is the customer, with individual customer needs having an immediate impact upon moment-to-moment actions.
c. Individual employee competencies are key criteria for deciding how and when to interpret organizational priorities.	n.a.
d. What the company thinks is important includes both outcome objectives and expected process behaviors.	n.a.
e. Company priorities focus on the underlying precursors of success, and expect successful outcomes to result as a by-product.	n.a.
f. What is considered important can shift quickly as a result of changes in the organization or its environment.	The companies "Basic Empowerment Process" is specifically designed to cause employees to sense and react to the slightest change in their perception of customer needs, and includes guidance on resuming "routine duties" afterward.
g. Priorities are derived and balanced across a broad spectrum of individual and organizational interests.	n.a.
h. Importance of different priorities is filtered among and within regional and local operations and facilities.	n.a.

n.a. – Not Apparent in application materials.

Conclusion

The data uncovered in this content analysis of Ritz-Carlton's application document

clearly shows an organization that is not experiencing emergent leadership, and seems to indicate

that very traditional management-leadership structures are intended and encouraged. The results

of the analysis seem very consistent with the notions of empowerment raised in the breadth

component, but not with the emergence of leadership accountability across the organization.

The application overview characterized Ritz-Carlton as "Managers Plan / Workers Do" throughout most of the twentieth century, and shifting to a culture of "involving people in the planning of the work that affects them" during the 1990s. If so, little evidence of employee participation in planning was put into the company's Baldrige award. Analysis of the content of the application seemed to place the definition of the culture, Credo, and plans in the hands of Senior Leaders, or managers. Employees seemed highly empowered within the organization, and information is made available to them to support that empowerment. None of this seems to result in leadership emerging across the organization.

Chapter 5

Conclusion

Overview

The two cases selected for use in this application component presented a considerable

contrast. Motorola is an organization with considerable emergence within its leadership model,

and Ritz-Carlton uses an extremely traditional leadership model supported by extensive

employee empowerment. The instrument developed and tested here were based on an attempt to

embody specific criteria drawn from the literature regarding emergent leadership. The near

completeness of the use of the instruments in the analysis of Motorola data, coupled with the

preponderance of "n.a." entries associated with the Ritz-Carlton analysis seems to indicate that

the instruments measure what they were intended to measure.

Both Motorola and Ritz-Carlton are winners of a Baldrige Award, indicating excellence

in their quality management systems. Both organizations are clearly successful. The fact that

this analysis demonstrates emergent leadership in one and not the other seems to indicate that

emergent leadership is certainly not a prerequisite for organizational success. As such, there is

nothing prescriptive in the design and use of these instrument prompts. They were simply

designed to attempt to measure the presence or absence of certain key factors that might be

indicative of leadership emergence. The prompts are not intended as any form of normative

reference, or what an organization *ought* to do. They are descriptive only.

Limitations of Pilot

The development and use of a content analysis tool as part of a KAM carries obvious

methodological weaknesses. At best, this pilot offers an opportunity to suggest a more thorough

and systematic development of such an instrument in the future. As a practical assessment tool,

it will be useful in my consulting practice, but further work is required to assure its systematic

reliability and validity.

Another limitation of this study is the selection of the two cases for review. The choice

of cases was both opportunistic – they were available – and biased – I was looking for

particularly contrasting cases, at least one of which would include descriptions of Six Sigma

programs useful to my current client. A more random sample of organizations with appropriate

controls is needed in the future.

Lastly, my aim to help my immediate client at Honeywell led me to include their

participation in a largely ad hoc and less controlled way. No particular reliability or validity can

be assigned to their contribution, although they reported benefits from participating.

Suggestions for Further Study

The findings of this study, coupled with the limitations described above, indicate that

additional formal study of this emergent leadership phenomenon using self-assessment

instruments built around the key constructs could be valuable. A future attempt must begin with

more systematic analysis of the underlying constructs, and a more rigorous item definition and

scaling. The resulting instrument must then be field tested under more controlled conditions.

In particular, Berson, Shamir; Avolio, and M. Popper (2001) described a correlation

between strong transformational leadership and the inspirational aspect of the visions within

organization. These two cases may demonstrate that correlation. The Ritz-Carlton vision of

"ladies and gentlemen serving ladies and gentlemen" is a vision focused on service at the

transactional level. It is powerful, but not necessarily inspirational for engaging individuals

toward expressing emergent leadership. Motorola's vision of "public safety" is more

inspirational because it opens up a broadening array of possible actions in support of the vision.

Far from transactions, it can serve a transformational purpose, and seems to result in empowering actions and behaviors beyond those seen at Ritz-Carlton.

This KAM application suggests that some organizations include emergent leadership in their leadership models. These concepts, coupled with the interactionist organizational constructs offered by the post-structuralists, need to be further explored.

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