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A Communicative Theory of Leadership Practice

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A COMMUNICATIVE THEORY OF LEADERSHIP PRACTICE

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ABSTRACT

Addressing three problems in the field of leadership studies – fragmentation across disciplines; emphasis on individual leaders in titled positions; failure to identify a coherent set of actions for performing leadership – this study develops a framework of core communicative leadership practices. It is premised on a philosophical analysis of 'leadership' as a social strategy for securing action in service of interests claimed by or for a community – an action performed intentionally via symbolic behavior accessible to any and all members of a community. This definition serves as a heuristic for the development of a systematic theory of leadership practice. The primary guiding question is "How do we participate in leadership?" Eight core practices that are fundamental to initiating and participating in leadership are identified and analyzed. The core practices include: reporting and inquiring - to build dialogue and facilitation; directing and pledging - to build commitment and obligation; envisioning and advocating - to inspire and motivate; and declaring and constituting - to create or change social reality. Practices are derived from four functional categories abstracted from the leadership literature, analyzed pragmatically using speech act theory, integrated with multi-disciplinary research, including communication, rhetoric, social psychology, and philosophy, and illustrated through practice-based scenarios. Ultimately, a thoroughly analyzed theory of leadership practice – grounded solidly in the field and integrated with scholarship from other disciplines – is provided with a set of implications and suggestions for the practice, development, and empirical study of leadership.

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CHAPTER I: INTRODUCTION

Statement of Purpose

Leadership is a social strategy for securing action in service of interests claimed by or for a community (see, e.g., Burns, 1978; Gardner, 1990; Heifetz, 1994; Kouzes & Posner, 1995; Rost, 1991). It is not a position that one holds. It is not a trait or characteristic that one possesses. It is not a perception or attribution. Leadership is a social practice constituted through our language and communication behavior. This conceptualization of leadership is a result of both an extensive review of the literature and my own experiences as a leadership development practitioner. Sometimes leadership comes from an individual leader, whether formally, informally, directly, or indirectly. On other occasions it arises through a series of acts from different individuals or the collective act(s) of a group. Leadership occurs through our interactions and symbolic behavior.

As a practitioner, I have sought fruitlessly for a theory or framework that supports concretely the practice and development of leadership. Many theories of leadership exist, and some of these address elements of the practice and development of leadership. Much research and study has been conducted in many disciplines over several decades. None of this scholarship has led to an integrated theory that accounts for the core acts of leadership. I am interested in actions, in the doing of leadership. How do we initiate and participate in the process of leadership? What are the behaviors and practices required for leadership? This study develops a communicative framework of leadership practice that is meant to both complement and serve as a bridge across the vast amount of leadership research, translating abstract theories into practice. Understanding the core practices of leadership from a communicative perspective enhances knowledge and practice regarding the performance and development of leadership. The purpose

of this study is to build a communicative framework of leadership practice that will contribute to the empirical study, as well as to the practice and development, of leadership. To be specific, this study:

- presents a set of core communicative practices of leadership;
- identifies the necessary and sufficient linguistic, social, and cultural conditions for each core practice to be performed;
- describes and exemplifies how each practice is performed;
- provides leadership scenarios depicting how the theory would operate in practice;
- suggests implications for both empirical study and integrative scholarship informing the performance and development of core practices, and the development of leadership as both an individual capability and an organizational resource.

Statement of Problem

This communicative framework for the practice and development of leadership offers a new lens on leadership that can help to address three issues of the field in need of resolution. First, better integration of knowledge is required. Leadership is not consistently defined nor clearly understood. Research is fragmented across and within many different disciplines, including psychology, business management, organizational behavior, sociology, anthropology, communication, and political science. Interdisciplinarity is a strength. Isolated silos are not. Leadership studies cannot cohere solidly as a field until these different approaches and disciplines inform one another and integrate around unifying concepts. Similar to the proverbial blind men describing the elephant, each perspective is either incomplete, overlooking crucial elements, or too vague and unclear to be practical. An integrated, multidisciplinary understanding of leadership is needed. This fragmentation is pointed out by many, including

Bennis and Nanus (1985), Gardner (1990), Kellerman, (1984), and Rost (1991). Bennis (2007) identifies not only the need to integrate knowledge of leadership across disciplines, but points to communication as a key discipline to contribute to this collaboration when he writes "Among the existing disciplines that must contribute if modern leadership is to be understood are those related to communication. One aspect of leadership that is routinely overlooked is the extent to which it is a performance art" (Bennis, 2007, p. 4). Communication is an interdisciplinary field. A communicative theory of leadership practice weaves together knowledge across disciplinary silos and serves as one type of integrating force to provide a new perspective on the practice of leadership.

Second, the study of the individual leader is emphasized over the study of leadership. The classic, most popular, and most widely-cited leadership models (e.g., Bass, 1985, 1990b, 1996; Bass & Avolio, 1990, 1993, 1994; Bennis, 1989; Bennis & Nanus,1985; Hersey & Blanchard, 1969, 1982; Kouzes & Posner, 1995) center on the leader in a formal titled role. These leader-centric models do not offer an account of leadership as a process in which anyone, regardless of position or formal authority, might participate. Such leader-centricity neglects the possibility of emergent, collective leadership or those who participate as informal leaders, stepping in and out of the leadership process. Consequently, unnecessarily narrow constraints are imposed and the focus remains the study and knowledge of formal leaders, not leadership. This approach is consonant neither with practice nor with most definitions of leadership as an interactive process or mutual relationship. A critique of this emphasis on formal, positional leaders has been presented by Rost (1991) and Gardner (1990) among others. A communicative theory of leadership emphasizes practices that allow anyone access to the process of leadership. These practices also center upon leadership as an interactive process.

Third, each of the contemporary leadership models mentioned above (e.g., Bass, 1985, 1990b, 1996; Bass & Avolio, 1990, 1993, 1994; Bennis, 1989; Bennis & Nanus,1985; Hersey & Blanchard, 1969,1982; Kouzes & Posner, 1995) attempts to identify the key competencies, characteristics, or styles required of an exemplary leader. Ultimately, these models do not specify clearly what one needs to do, for instance, to offer idealized influence, to challenge the process, or to master the context. At best, these models offer a partial set of strategies and examples for implementing their collection of leadership competencies or styles.

Leadership is not a psychological variable, a trait, or a general competency possessed by an individual. It is an action performed among and with people. It is a social process, as this study demonstrates through in-depth analysis in an upcoming chapter. Although each popular contemporary model is developed from empirical data, cited and studied regularly, and used widely to assess or train leaders, each model offers a different and incomplete account of leadership practice and is based upon the study of formal leaders. As a practitioner interested in leadership development, how do I select which model to use? Which model provides all that I need to develop and practice leadership? A communicative theory of leadership ties together these disparate models and helps translate theories and models into practice. This framework explicates the core practices underpinning these models and offers a whole set of specific, concrete communicative practices that are foundational to initiating and participating in leadership.

Additionally, there is a practical need for a communicative theory of leadership practice. Traditional command-and-control leadership is a bygone arrangement in most groups and organizations. We jeopardize the success, innovation, and adaptability of our teams, communities, and organizations when we rely solely on formal leaders in a hierarchy. Waiting

for “marching orders” or an “inspiring vision” from an authority figure will not always result in needed actions toward larger interests. It will likely mean missed opportunities and untapped potential. People at all levels can access leadership processes. Many teams, communities, and organizations are facing complex, adaptive challenges with no clear-cut solution or easy fix. The designated leader with position power is not necessarily the expert and does not always have the answer. Conceptions, definitions, and models of leadership need to shift as outmoded leadership practices fade away and innovations emerge. Leadership is a collaborative social process in which all can choose to engage via communicative leadership practices.

A comprehensive communicative theory of leadership does not exist. The framework developed in this study presents a new perspective on the practice of leadership, offering a set of core practices that account for all acts of leadership, and is intended to contribute to the study, performance, and development of leadership. This communicative theory of leadership practice is designed to achieve the following: (1) encourage the integration of knowledge across disciplines, including those disciplines not traditionally associated with leadership studies; (2) shift the focus from the leader to leadership as a social process constituted intentionally through our language and communication behaviors; (3) feature practices that are accessible to everyone, regardless of authority or position; and, ultimately (4) facilitate the study, practice, and development of leadership.

Research Questions

What are the foundational units of leadership performance? What are we doing when we engage in leadership? How can we develop or practice leadership intentionally if we are not clear about what leadership means and what it looks like? As mentioned earlier, I am interested in doing; in practices and actions; in behaviors that can be implemented. This study does not

concentrate on characteristics, qualities, talents, or styles. These are background elements that can support or encourage practice, but they are not leadership. This study pursues the following questions:

1. What are the core practices of leadership?
2. What are the necessary and sufficient linguistic, social, and cultural conditions for each core practice to be performed?
3. What implications does this set of practices raise for empirical study and measurement and for creating the capacity for people to enact or perform these practices?

Approach and Methodology

I use philosophical and analytical methods to pursue answers to these questions and develop an empirically testable theory of leadership practice. First, I identify the core practices for initiating, facilitating, and participating in the process of leadership. I examine how the scholarly community in the field has conceptualized leadership. I abstract key leadership functions from empirically developed and tested theories of leadership. The core leadership practices are derived from these functions. Instead of replacing or competing with established leadership theories, the core practices supplement and incorporate contemporary frameworks, such as transformational leadership (Bass, 1985, 1990b, 1996; Bass & Avolio, 1990, 1993, 1994), situational leadership (Hersey & Blanchard, 1969, 1982), Kouzes and Posner's (1995) Leadership Challenge model, and shared leadership (Pearce & Conger, 2003) into a unified theory of leadership practice.

Second, I conduct a pragmatic analysis of each core leadership practice based upon speech act theory. As mentioned earlier, and as will be demonstrated in an upcoming chapter, leadership is enacted through our communication behavior. Symbolic behavior is a rule-

governed form of behavior predicated on linguistic, social, and cultural norms. Searle (1969, 1979), building on earlier work by Austin (1962), presented the 'speech act' as the fundamental unit of expression and meaning performed by referring and predicating in accordance with certain rules for the use of linguistic elements. The basic premise is that words not only describe or state, but they perform and construct. We do things with words. Searle provided a framework designed to account for all speech acts. Fotion (1971, 1979, 2003) extended the level of analysis from individual speech acts to sets of speech acts strung together into complexes called speech activities. All leadership acts are symbolic, whether linguistic or non-linguistic. Consequently, they are subject to analysis as speech acts/activities. I build upon Searle's speech act theory, extending it to speech activities and all symbolic behavior, and apply it to the study of leadership.

Searle (1969) outlined conditions for analyzing speech acts. His approach works for speech activities as well as speech acts and for non-linguistic, as well as linguistic, symbolic behavior. A pragmatic analysis of core leadership practices identifies the conditions that are necessary and sufficient for the activity to be performed. The purpose of the pragmatic analysis is to understand how the action is performed to explicate the tacit rules and conventions for performing each core practice. This phase offers, as part of the analysis, a description and illustration of each core leadership practice.

The final phase of this study provides four practice-based leadership scenarios depicting how this theory could operate in various organizational cultures and will offer hypotheses and suggestions for empirical testing. Ultimately, the framework and analysis are intended to contribute to the theory, practice, and development of leadership.

Overview of Chapters

The next chapter provides a comprehensive review and synthesis of the leadership literature highlighting progress in the field as well as the three leadership studies issues, mentioned previously, that are in need of resolution. Chapters three and four analyze and define "leadership" and identify, describe, and analyze each core leadership practice, illustrating the function and performance of each one. Chapter three pursues two objectives: (1) analysis of scholarly definitions and uses of the term "leadership" with a rationale for the definition and conceptualization of leadership used in this study, and (2) identification of and justification for the core leadership practices, based upon the functions of leadership abstracted from the literature. Chapter four first provides a conceptual bridge between leadership and communication and clarifies the path to identifying speech act theory as the most suitable for the analysis of core leadership practices. This is followed by a discussion of Searle's (1969, 1979) speech act theory and Fotion's (1971, 1979, 2003) idea of speech activities. The purpose of this is to offer information and a rationale for the fit of this particular theory of pragmatics over others for this study. Chapter four also describes and illustrates the following elements of analysis: propositional content conditions; preparatory conditions; sincerity conditions; and essential conditions. Finally, a pragmatic analysis of each core leadership practice is performed, according to these elements, followed by an example that shows how the elements constitute each practice. At this point, the core practices are identified, substantiated, described, and analyzed pragmatically.

Chapter five demonstrates the application of this communicative theory of leadership practice by presenting four leadership scenarios illustrating how the core practices of the theory might operate in different contexts. Chapter six concludes with a summary and implications for

three general areas: (1) suggestions for empirical testing of this communicative theory of leadership practice; (2) possibilities for theories and scholarship from other disciplines, such as social psychology and communication, that could be integrated with the theory developed here and used to explicate the performance and development of each core practice by different performers in various contexts; (3) considerations for the relationship between organizational culture and leadership practice in the development of leadership capacity as an organizational resource and as an individual capability.

CHAPTER II: LESSONS FROM THE LEADERSHIP LITERATURE

Leadership studies have not systematically produced knowledge that informs the practice and development of leadership as a social strategy accessible to all, regardless of title, position, or authority. Though we have glimmers and glimpses along the way (e.g., Bowers & Seashore, 1966; Follett, 1933 in Graham, 1995; Hollander & Webb, 1955), this conception of leadership has not traditionally been featured in the research. Continued study of the qualities, characteristics, and psychological traits of individual formal leaders will not advance our understanding of the practice or development of leadership at all levels. We need to study leadership as a social practice, not as an attribute possessed by individuals. Leadership is a set of actions performed through communication and ought to be conceptualized and studied from that perspective.

This chapter will offer an historical overview of leadership studies, covering the expanse of the literature in broad brush strokes. This review is meant to paint a picture of the state of the field, demonstrating advances and revealing the fragmentation and need for better integration. Highlighted in particular is the tendency of researchers to overemphasize certain features of leadership, while overlooking other elements.

Overview of Leadership Studies

The evolution of leadership theories through the 20th century into the 21st century was traced thoroughly by Bass (1990a), Yukl (2002), and Northouse (2001). Traits of individuals with formal leadership roles were emphasized in the early 1900s. Leaders were typically considered those who had formal positions of authority. For nearly 80 years – though different

theories and studies of leadership shifted attention from traits to styles to situations – the emphasis remained the leader, not leadership.

In the late 1970's, there was a noticeable shift toward studying the relationship and interaction among leaders and followers and other variables. Whereas early leadership studies showed neat, linear progress for the field – from traits to styles and behaviors to situational and contingency approaches – the field, after that, diverged into various perspectives simultaneously. This change of focus and diversity of perspectives began to illuminate the complexities of leadership and the possibilities for practice and development, including leadership without formal authority. Most recently, scholars have begun to explore leadership as a team attribute and as a process embedded in and emerging from a system, culture, or organization. Each approach offers different insights into the phenomena of leaders and leadership, but does not always progress coherently or help us to understand and develop leadership practice.

Trait Studies

Early studies of leadership were mainly a quest for the set of attributes exhibited by an effective leader. The study participants were primarily male high school students. Initially, physical traits, such as height, weight, age, and appearance were studied (Baldwin, 1932; Finch and Caroll, 1932; Garrison, 1933; Hunter and Jordan, 1939). Later, more abstract qualities were studied, such as intelligence (Remmelin, 1938; Sward, 1933), adaptability (Eichler, 1934; Flemming, 1935), integrity and conviction (Caldwell and Wellman, 1926; Michels, 1915).

Stogdill (1948) reviewed 124 trait studies conducted between 1904 and 1948 and concluded the following:

> A person does not become a leader by virtue of the possession of some combination of traits, but the pattern of personal characteristics of the leader must

> bear some relevant relationship to the characteristics, activities, and goals of the followers. Thus, leadership must be conceived in terms of the interaction of variables which are in constant flux and change. (p. 64)

Stogdill (1948), noting that there is no evidence of universal leadership traits, also pointed out the centrality to leadership of the leader-follower relationship. Others (e.g., Hollander and Webb, 1955) will also begin to explore this element of leadership. It will be more than twenty years until there is any systematic investigation into the leadership relationship and the role of the follower.

More recent lines of leadership research such as emotionally intelligent leadership (Goleman, 1995: Mayer & Salovey, 1995), the "Big Five" model of personality (Digman, 1990; Hogan, Curphy, & Hogan, 1994; Hough, 1992), and some studies of gender and emergent leadership (Karakowsky & Siegel, 1999; Neubert, 1999; Neubert & Taggar, 2004) are still attempting to pinpoint the traits of an effective leader. These approaches could possibly assist in identifying those more likely to emerge or succeed as leaders and might be useful in the selection of high potentials for training and development. A trait approach, however, does not offer much to the practice of leadership. First, there are no universal leadership traits. Second, traits are not skills or practices that can be cultivated and developed by everyone. Third, possessing traits does not necessarily mean that one will put them into action. These trait approaches, and the inherent challenges and roadblocks they raised, did however lead researchers toward two other lines of investigation – the styles approach and the situational approach.

Styles Approaches

There were two sets of landmark studies in leadership during the 1950s – the Ohio State studies and the University of Michigan studies. These pivotal studies were a natural extension of

the trait approach to studying leadership. Researchers studied formal leaders in a continued attempt to identify what made a leader successful. In this case, rather than studying traits, they observed styles and ways of behaving.

The Leader Behavior Description Questionnaire (LBDQ) used in the Ohio State Leadership Studies (Fleishman, 1953; Halpin and Winer, 1957; Hemphill and Coons, 1957) found that respondents perceived leadership behavior in two broad categories: (1) consideration – the extent to which a leader shows concern for subordinates, and (2) initiation of structure – the extent to which a leader initiates activity in the group. During the same time period another group of researchers also noticed the importance of leaders attending to both task and people.

Studies conducted at the University of Michigan (Katz & Kahn, 1952; Katz, Maccoby, Gurin, and Floor, 1951; Katz, Maccoby, and Morse, 1950) examined relationships among leader behavior, group processes, and group performance. This research found three types of leader behavior that distinguished effective managers from ineffective managers: (1) Task-oriented behavior included planning and coordinating activities, guiding goal setting, and providing resources. This was similar to "initiation of structure" in the Ohio State studies. (2) Relations-oriented behavior included being supportive and helpful of subordinates, demonstrating trust, and providing recognition and career development. This was comparable to the behaviors of "consideration" in the Ohio State studies. (3) Participative leadership included group facilitation behaviors such as communication, decision making, and conflict resolution at the group level.

Yukl (2002) and Pearce and Conger (2003) each noted a finding from the use of the Survey of Organizations, a questionnaire widely used by researchers at the University of Michigan. A study by Bowers and Seashore (1966), using this questionnaire, suggested that most leadership functions can be covered by someone other than the designated leader. They

concluded that group effectiveness will depend more on the overall quality of leadership in a work unit than on who actually performs the functions. This exploration of peer leadership was unique for its time. It is not until the 1990s that further investigation into the idea of mutual leadership without formal authority will really take hold. For now, the focus remained on the formal leader.

Both sets of studies – Ohio State and Michigan – were groundbreaking for leadership, providing the foundation for a new generation of research. Blake and Mouton (1964) built upon the findings of the Ohio State and Michigan studies with their leadership model, the Managerial Grid. Their model plotted leadership behaviors against two factors on a grid: (1) concern for people and (2) concern for productivity. This grid provided for five different styles of leadership, depending upon the mix of attention to people and productivity: (1) *Authority-Obedience Management* (high degree of concern for productivity, low degree of concern for people), (2) *"Country Club" Management* (low degree of concern for productivity, high degree of concern for people), (3) *Impoverished Management* (low degree of concern for productivity, low degree of concern for people), (4) *"Organization Man" Management* (moderate concern for productivity, moderate concern for people), and (5) *Team Management* (high degree of concern for productivity, high degree of concern for people).

More recent examples of styles approaches to leadership include the work of Bennis (1989), Bennis and Nanus (1985), and Kouzes and Posner (1995). They each attempt to identify the key strategies or leadership styles of the exemplary leader. In each case, the researchers interviewed large numbers of formal, in some cases prominent, leaders in U.S. corporations. For instance, Bennis and Nanus (1985) distilled the major themes from their interviews into four strategies: (1) attention through vision, (2) meaning through communication, (3) trust through

positioning, and (4) deployment of self. Kouzes and Posner (1995) delineated five categories of exemplary leader behavior based upon their interviews: (1) Challenge the process, (2) Inspire a shared vision, (3) Enable others to act, (4) Model the way, and (5) Encourage the heart.

Studies of 'feminine' and 'masculine' styles of leadership also fall into this line of investigation (e.g., Astin & Leland, 1991; Eagly & Wood, 1991; Erkut, 2001; Helgesen, 1990, 1995; Rosener, 1990). A meta-analysis of more than 160 studies (Eagly & Johnson, 1990) found that feminine leadership styles tended to be more democratic, participative, cooperative, and relational, whereas masculine leadership styles were characterized as more directive, autocratic, and task-oriented. Such 'feminine' styles of leadership are more aligned with the post-heroic type of leadership needed in the 21st century, whereas 'masculine' styles are more traditional heroic styles of leadership. Eagly, Makhijani, & Klonsky (1992) conducted a meta-analysis and found that women and men were both evaluated favorably when using a 'feminine' style of leadership, however women were viewed as ineffective when using a 'masculine' style of leadership. This line of inquiry raised questions that took us beyond leadership styles and pointed to the need to examine culture and context.

Studies of leader styles provided useful seeds for future understanding and development of leadership practice and I will cover many of them further in an upcoming section of this chapter. They shed light on styles, strategies, and competencies for leading, but the emphasis continued to be formal leaders, not leadership as a process. The next step after the early styles studies should have been to study *how* to perform using these styles and competencies. What practices and relevant skills are necessary? How are these practices cultivated and developed? Research went in another direction. Whereas there was a focus on important situational and contingency factors, there was not much study of the practice of leadership. The emphasis

remained qualities, characteristics, and styles of the leader in different contexts. Researchers using instruments such as the LBDQ or the Managerial Grid identified situational moderator variables that affected the use and effectiveness of different behaviors. These findings propelled researchers toward this new category of leadership studies – the situational approach.

Situational Theories

Fiedler's (1964,1967) contingency model of leadership used the leader's LPC (Least Preferred Coworker instrument) score in comparison to three situational variables (1) Leader-Member Relations, (2) Position Power, and (3) Task Structure. Fiedler's theory is that a leader is most effective (low LPC score) when the three situational variables are strong – good leader-member relations, highly structured tasks, and strong position power. Criticism of the model includes the problem that it does not explain *how* a leader's LPC score impacts performance (Ashour, 1973). The LPC really assesses fit between leader-follower and is more of a personality assessment. The model, though oversimplified, does begin to take into account different contingencies that impact leadership.

The Hersey-Blanchard (1969) situational leadership model was developed from earlier empirical research, including the work of Fiedler (1967) and Blake and Mouton (1964). According to Hersey and Blanchard (1969), the leader needs to select the leadership style that best fits both the needs of the situation and the needs of the follower. The most effective leadership style will incorporate the appropriate mix of task-oriented and relations-oriented behaviors based upon an analysis of different contextual factors. The model includes four styles of leadership: (1) Telling/Directing, (2) Selling/Coaching, (3) Participating/Supporting, and (4) Delegating. As the supervisor-subordinate relationship evolves and as the performer's competence and capabilities develop, the leader will need to shift upward through each of the

four styles in order to continue to provide the performer with what he or she needs to perform well.

Contingency and situational approaches to leadership assume the leader is in a formal role of authority. Even as these studies began to examine situational variables, they remained focused closely on the styles of individual leaders and how those styles needed to adapt to different contextual factors. Hersey and Blanchard's (1969) situational leadership model did mark a shift toward considering the needs of the followers and will be covered in more detail later in this chapter. Subsequent theories related to participative leadership also considered the motivation and satisfaction of the followers, in addition to other contextual factors.

Vroom and Yetton (1973), extending earlier approaches (Maier, 1963; Tannenbaum and Schmidt, 1958), provided a leadership model that diagnosed when a leader should be directive and when a leader should be participative. The Vroom and Yetton model offered a continuum of six different levels of decision making that are dependent upon the situation. The levels of decision making range from purely autocratic to consultative to participative (probably the term used today would be "consensus"). Vroom and Jago (1974) later added another option to this model – delegation, when the leader delegates the problem and its resolution to a subordinate or group of subordinates. The model provided a series of seven questions related to the situation. The responses were designed to guide the leader toward the mode of decision making most appropriate to the circumstances.

While the Vroom and Yetton model centered on situational factors related to decision making and participation, another model, the path-goal theory of leadership (House, 1971; House & Dessler, 1974; House & Mitchell, 1974) highlighted contextual variables relevant to motivation and the impact of leader behavior on subordinate performance and satisfaction. The

theory defined four leader styles: (1) Supportive, (2) Directive, (3) Participative, and (4) Achievement-Oriented. House and Mitchell (1974) maintained that situational moderator variables (e.g., subordinate characteristics, task and environment characteristics) will drive the most appropriate leadership style for the highest staff performance and satisfaction. This theory is based on expectancy theory (Vroom, 1964) and assumes that subordinates are motivated to act based upon perceived expected outcomes and how important each expected outcome is to them. The path-goal theory provided a framework for the leader to influence these perceptions and motivations and appeal to them in exchange for performance. The follower's perceptions and interpretations of leader behavior are also considered.

Situational models of leadership, yet another important step forward, began to account for the need to adapt leadership styles to the situation. Again, there was still not much focus beyond formal leaders to leadership as a social process and little emphasis on how to put these styles into practice. The path-goal theory is a situational theory that is also partially an exchange theory of leadership, such as the leader-member exchange theory (LMX). LMX began to make the relationship between leader and follower the centerpiece. These social exchange theories of leadership took a transactional perspective on the leader-follower relationship.

Relationship Approaches to Leadership Studies

Social Exchange and Transactional Theories. Social exchange approaches to leadership (Hollander, 1978; Jacobs, 1970), including LMX theory (Dansereau, Graen, and Haga, 1975) began to shift the focus of leadership more toward the leader-follower relationship, though still with a heavy emphasis on the leader. These theories are based on the leader gaining compliance through influence and negotiation with followers about rewards and consequences in exchange for performance. The person in the role of leader must have institutional authority, position

power, or some other type of power to impose consequences in order to reinforce or control the behavior of followers.

The premise of the LMX theory (Dansereau, Graen, and Haga, 1975; Graen and Cashman, 1975; Graen, 1976) is that the leader develops separate roles and relationships with each subordinate. If the relationship is of a high quality, then trust and loyalty develop. This results in mutual influence. This special group of trusted subordinates is called the *in group*. The subordinate in this group is rewarded with things like more information, participation, input, power, better assignments, and the like. If the quality of the leader-member exchange is low, then only the most basic compliance is expected for the most basic rewards and routine assignments. These subordinates are called the *out group*.

Subsequent revisions of the LMX theory described a developmental model of the leader-follower dyad (Graen and Scandura, 1987; Graen and Uhl-Bien, 1991, 1995). There is an early "testing" phase during which both people evaluate each other's trustworthiness and motives. If the relationship proceeds, the next stage is characterized by the development of mutual trust, respect, and loyalty. Sometimes there is a third stage in which exchange is based on mutual commitment to the mission. This stage begins to look more like transformational leadership, a theory reviewed later in this chapter.

Overall, this theory seems less a theory of leadership and more a theory of supervisor-subordinate management relationships. The LMX theory and other transactional theories of leadership were a step forward in exploring the leader-follower dynamics. However, they emphasized the formal leader and his or her behaviors, rather than leadership as a process or a mutual relationship. Relative to understanding the practice and development of leadership, these theories began to scratch the surface of what leaders could do to develop the trust, respect, and

influence required for building loyalty and commitment necessary for leadership. Exchange and transactional theories did not delve further into specific practices.

Follower-Centered Approaches. A particular line of investigation concentrated explicitly on the follower's role in the leadership relationship. According to Bass (1990a), "The follower's influence on the leader also means that, contrary to popular notions, followership and leadership are highly similar, as are followers and leaders" (p. 346). He cited two studies in support of this statement. One study, by Hollander and Webb (1955), showed that the same peers who are nominated as the most desired leader are also nominated as the most desired follower. Another study by Nelson (1964) found that the characteristics that people liked about leaders were the same as those they liked about followers. These findings reveal the blurred boundaries or interchangeability of leader and follower roles. Leadership resides not with one individual, but exists between people and is distributed among group members. Leadership is a collaborative social process.

Burns (1978) used the term "followership" and highlighted the interdependency between leader and follower. Hollander (1993) said that followership is the essence of leadership. He also pointed out that followers are those with the power to grant leadership to others.

> Leadership is not something a leader possesses so much as a process involving followership. Without followers, there plainly are no leaders or leadership . . . followers, who accord or withdraw support to leaders . . . By their role in legitimating leadership, followers affect the strength of a leader's influence, the style of a leader's behavior, and the performance of the group, through processes of perception, attribution, and judgment (Hollander, 1993, p. 29).

Mary Parker Follett highlighted many of these concepts decades earlier in a lecture on leadership delivered in 1933.

> And now let me speak to you for a moment of something which seems to me of the utmost importance, but which has been far too little considered, and that is the part of the followers in the leadership situation. Their part is not merely to follow, they have a very active part to play and that is to keep the leader in control of a situation. Let us not think that we are either leaders or – nothing of much importance. As one of those led we have a part in leadership. In no aspect of our subject do we see a greater discrepancy between theory and practice than here. (Follet in Graham, 1995, p. 170)

As early as 1933 there was awareness, though not a wide acknowledgement, of individuals sharing and engaging actively in leadership as a social process. This phenomenon was not widely studied for many decades. The research trend continued to center on individual leaders in formal roles of authority.

Followership studies emphasized perceptual and cognitive theories, particularly attribution theory (Heider, 1958), attributing, for instance, organizational outcomes to effective or ineffective leadership after the fact (Calder, 1977). Many follower-centered studies of leadership looked at follower attributions of the leader (Awamleh & Gardner, 1999; Choi & Mai-Dalton, 1999; Lord & Maher, 1991a, 1991b; Meindl, Erlich, & Dukerich, 1985; Pfeffer, 1977), studying what perceptions and mindsets resulted in followers perceiving others as leaders and following them. There were also studies that examined attributional processes in leaders (Green & Mitchell, 1979; Mitchell & Wood, 1980), exploring how leaders' interpretations of followers' behaviors, such as missing a deadline or being disruptive, affected leader behavior. Another set

of studies looked at various behaviors of followers and their impact on formal leaders; these included upward influence (Davies, 1963; Gabarro & Kotter, 1980; Paige, 1977), feedback (Bruce, 1986; Jablin, 1980), job performance (Barrow; 1976; Herold, 1977; Podsakoff & Schriesheim, 1985), and compliance (Fodor, 1974; Hinton and Barrow, 1975).

Chaleff (1995) presented characteristics for effective followers, including courage, initiative, and responsibility. This conception of followership seems to be a description of leadership. The qualities of the ideal follower do not differ from those of the ideal leader. It is likely that both the "leader" and "follower" are engaging in leadership, albeit from different roles.

Hollander and Offerman (1990), still differentiating leadership from followership, considered followership an active process. They examined the leader-follower relationship through the lens of power – sharing and distributing power, empowerment, and informal influence – concluding that there are opportunities to further integrate research on power and leadership. This study presented the potential for exploring the development of leadership as a distributed process within a team and organization. It resurrected the key themes of Follett (in Garham, 1995) from the 1920s and 1930s and preceded a surge in articles and studies of informal, emergent leadership by nearly ten years. It examined the relationship, not the individual behaviors of a leader with formal authority. It also emphasized the elements of that leadership relationship that are most relevant to leadership without formal authority. Unfortunately, as a field, leadership studies did not seize this opportunity to take research in that direction. As a set, even though follower-centered and purportedly relational in approach, these studies on followership overall were still focused more on individuals and less on the leadership relationship.

Relational Leadership. Drath (2001) presented a relational model of leadership that is built around three knowledge principles of leadership: (1) personal dominance, (2) interpersonal influence, and (3) relational dialogue. Each principle is understood according to different operating assumptions and approaches to the tasks of leadership (setting direction, creating and maintaining commitment, and facing adaptive challenges). The choice of style is driven by the context.

Personal dominance is the first principle treated by Drath (2001). It assumes the following: "Leadership is something a person possesses. Leadership is an expression of this personally possessed quality or characteristic. Leaders lead because followers are convinced of the truth of their leadership" (Drath, 2001, p. 13). This principle creates high levels of dependency on and responsibility of the person in the role of leader. It is a more directive style of leading.

The second principle – interpersonal influence – builds on the first. It assumes the following:

> Leadership is a role occupied by the most influential person. People possess or can acquire certain qualities and characteristics that enable them to be effective in such a role. Leadership involves followers actively in the process of negotiating influence. Leaders lead by influencing followers more than followers influence them. (Drath, 2001, p. 14)

Drath (2001) noted a shift in sense making from the first to the second principle. Operating in the second principle is the idea that followers actively choose to follow and act with the leader. This approach enables multiple perspectives, more creativity and innovation, and a shared commitment. Drath's second and third principles of leadership are grounded in the idea of

leadership as a reciprocal process of shared sense making (Lambert, Walker, Zimmerman, Cooper, Lambert, Gardner, Szabo, 2002; Smircich & Morgan, 1982; Weick, 2001).

Smircich and Morgan (1982) wrote that "(l)eadership is realized in the process whereby one or more individuals succeeds in attempting to frame and define the reality of others" (p. 258). Smircich and Morgan also cited Pondy (1976) and Peters (1978) when they noted that leaders emerge as they define meaning, voice the unsaid, or focus attention. Smircich and Morgan pointed out that ". . . in so doing managers enact a particular form of social reality with far-reaching, but often poorly understood and appreciated, consequences" (Smircich & Morgan, 1982, p. 257).

This act of shaping meaning is also applicable to the contexts that call forth Drath's (2001) third principle of leadership – relational dialogue. Drath posed the following question as the challenge that is calling forth this third principle "(w)hen there is shared work among people who make sense of that work and the world from differing worldviews, how can those people accomplish the leadership tasks while holding those differing worldviews as equally worthy and warrantable?" (p. 151) This relational dialogue approach assumes the following:

> Leadership is the property of a social system. Individual people do not possess leadership; leadership happens when people participate in collaborative forms of thought and action. If there is an individual leader, the actions that person takes are an aspect of participation in the process of leadership (Drath, 2001, p. 15)

Essentially, Drath (2001) noted, as the context becomes more complex the need for a relational dialogue approach to leadership increases. He suggested four strategies for bringing forth the third principle: (1) cultivate sensemaking processes, (2) explore narrative modes of understanding, (3) develop the capacity for dialogue, and (4) increase personal responsibility for

leadership. Drath's framework captured shifts in leadership from an attribute possessed by an individual to something that exists in dyadic relationships and on to a phenomenon that is embedded within our social systems. It provides a nice foundation for exploring leadership as a social practice and for developing leaderful organizations. In order to contribute to the practice and development of leadership the strategies need to be extended further to the level of practice and empirically studied and tested. Overall, his framework points directly to the centrality of communicative practices to leadership as a social strategy.

Cognitive and Information Processing Approaches

Also emphasizing symbols and communication, Gardner (1995, 2004) applied a cognitive perspective to the study of how leaders construct and embody narratives and how counter-narratives emerge and compete to shape and influence identities, thoughts, feelings, and subsequent action and change. Gardner's work centers on the mind and how individual leaders use narratives to persuade and influence.

A different line of cognitive research takes an information processing approach to leadership. It overlaps somewhat with follower-centered approaches and attribution theory. Information processing shifts the focus of leadership study away from roles and explicit behaviors toward internal cognitive processes and the underlying knowledge structures that produce leadership behaviors. Lord and Maher (1991a) examined the cognitive mechanisms that mediate the influence process, attempting to discern how information is acquired, stored, and utilized by people and how that impacts their behaviors. This approach, though limited in scope, presents possibilities for understanding the influence process and how it could be used to engage in leadership. However, it does seem to be a few steps removed from the study of leadership *per*

se. The subject being studied is cognition and influence, which does not necessarily equate to leadership.

Some studies have explored information processing from the leader's perspective (e.g., Hooijberg & Schneider, 2001; Mumford, Zaccaro, Harding, Jacobs, & Fleishman, 2000; Wofford & Goodwin, 1994; Wofford, Goodwin, & Whittington, 1998; Zaccaro, Foti, & Kenny, 1991) and others from the follower's perspective (e.g., Lord, Foti, & De Vader, 1984; Lord, Foti, & Phillips 1982; Offerman, Kennedy & Wirtz 1994). The latter perspective attempted to understand how the internal symbolic knowledge structures of followers enable leaders to influence subordinates.

Lord and Brown (2004) recently extended the information processing approach. They used follower self-concept as a lens for studying leadership, defining leadership as "a process through which one individual, the leader, changes the way followers envision themselves. By shifting followers' conceptions of their identity, leaders often generate extraordinary outcomes for their nations, institutions, organizations, and work groups" (p. 2).

Cognition makes an interesting medium for studying leadership. It could contribute indirectly to understanding leadership practice, as we uncover what behaviors or actions impact cognition and what effect, consequently, cognition has on leadership processes. We will continue to fall short of a more complete understanding of the phenomenon of leadership as long as we limit our explorations solely to cognition, or to follower roles and attributions, or to the leader-follower relationship, or to the situation, or to general strategies, or to broad competency categories, or to traits and characteristics of formal leaders. We need to piece together the fragments and integrate this knowledge with other sets of knowledge. I will cover emergent theories of leadership later in this chapter. These emerging theories attempt to build on and

integrate what we already know about leadership. The next segment in this section covers transformational leadership. This approach, along with theories of charismatic and visionary leadership, has been called the "new leadership." These approaches were paradigm-shifting. They have since receded somewhat from the cutting edge, but they have launched newer theories and perspectives.

Integrated, Values-Centered Theories of Leadership

Transforming Leadership – The Turning Point

Burns's (1978) concept of transforming leadership defined a new paradigm that took leadership research in a fresh direction. It is also interesting to note that Burns did not come from the traditional academic disciplines studying leadership – psychology and business management. He is a political scientist and historian.

Burns (1978) contrasted a transactional model of leadership – in which the leader exchanges with a follower a reward for a behavior – with the notion of transforming leadership. He positioned transforming leadership as the manner in which leaders and followers engage with each other to transcend individual goals and build a shared commitment to larger objectives. It is more than the leader gaining compliance or wielding influence. Both the leader and follower are transformed through the process. Burns prominently featured the elements of morals and conflict in this approach to leadership. Rather than appealing to self-interest or individual goals, as is true with the transactional approach, "leaders and followers raise one another to higher levels of motivation and morality. . . Their purposes, which might have started out as separate but related . . . become fused" (Burns, 1978, p. 20).

Bass (1985, 1990b, 1996) and Bass and Avolio (1990, 1993, 1994) have done a great deal of empirical research on transformational leadership. They also conceptualized it differently

from Burns (1978). They focused more on behaviors of the leader rather than on relationships or two-way interactions. In particular, Bass and Avolio identified behaviors that leaders can use that will influence followers to be inspired and motivated to pursue organizational goals.

This conceptualization seems somewhat transactional and misaligned with the intent of Burns' original theory. The main difference I see between the transactional and transformational models of leadership, as conceived by Bass and Avolio (1990, 1993, 1994), is that the rewards and motivators for transformational leadership are intrinsic, while the rewards and motivators for transactional leadership are extrinsic. The focus stays on the leader, rather than the process of leadership. The formal leader is the one who initiates these behaviors. It is not accounted for as a shared or mutual process.

Transformational leadership theory does begin to identify a set of measurable communicative leadership practices and I will revisit the model in another section of this chapter. Bass (1985) and Bass and Avolio (2000) developed an assessment, the Multifactor Leadership Questionnaire (MLQ), to measure both transactional and transformational leadership. The MLQ measures four factors of transformational leadership: (1) idealized influence, (2) inspirational motivation (3) intellectual stimulation, and (4) individualized consideration. There is an important difference to note between how transforming leadership is conceptualized by Burns (1978) and how transformational leadership is operationalized by Bass. The focus of transformational leadership is on what the leader does to transform the followers, rather than how they are each mutually transformed.

The MLQ also measures two factors of transactional leadership: (1) contingent reward – the leader negotiates with the follower what the payoffs will be in exchange for a particular level or type of performance, and (2) management-by-exception – the leader offers negative feedback,

criticism, or some type of negative reinforcement for behavior that he/she wants to discourage. Additionally, the MLQ measures one factor of non-leadership, called laissez faire, to represent the leader who does not offer any active leadership.

Some of Bass's factors of transformational leadership were an extension of another theory of leadership first appearing in publication shortly after Burns's (1978) work – Charismatic Leadership (Conger, 1989; Conger and Kanungo, 1987, 1989; House, 1977; Shamir, House, and Arthur, 1993). Max Weber (1947) gets credit for linking the concept of charisma – a Greek word meaning "divinely inspired gift" – to leadership. According to Yukl (2002), Weber used the term to describe "a form of influence based not on tradition or formal authority but rather on follower perceptions that the leader is endowed with exceptional qualities" (p. 241).

Conger and Kanungo (1987, 1989) investigated charismatic leadership as a combination of follower attributions of leader behaviors in different situations: (1) advocating a vision that is different from the status quo, (2) acting in unconventional ways to pursue the vision, (3) making self-sacrifices and taking personal risks to achieve the vision, (4) appearing confident about their positions, and (4) using persuasive appeals rather than authority or a participative decision making process. Conger (1989) later explored the influence processes more deeply and noted that personal identification is the primary influence process of charismatic leadership.

Shamir, House, and Arthur (1993) extended and revised an early theory of charismatic leadership by House (1977). Instead of an emphasis on personal identification, this theory focuses on "social identification, internalization, and augmentation of individual and collective self-efficacy" (Yukl, 2002, p. 244) as the primary sources of leader influence over followers.

The implications of charismatic and visionary approaches for the practice and development of leadership at all levels include the notion that leaders do not need to rely on

institutional power. Leaders can build trust and credibility, inspire and persuade others, without formal authority. According to charismatic theories of leadership, anyone to whom a follower attributes leadership is a leader. These approaches to leadership began to integrate various elements of leadership dynamics – behaviors of leaders and followers; perceptions and motivations of leaders and followers; relational and contextual factors, including elements such as influence processes, power, and informal authority. They provided the fundamental building blocks for future perspectives of leadership studies.

The next three leadership theories reviewed – servant leadership, adaptive leadership, and post-industrial leadership – were not empirically tested. Nevertheless, they are part of the leadership literature and this scholarship provided useful and compelling insights into the concept and practice of leadership.

Servant Leadership

One year before publication of Burns's *Leadership* (1978), Greenleaf's *Servant Leadership* (1977) was released. Though Greenleaf (1977) stated in his introduction that some chapters had been written as early as 1969, the emergence of both books at roughly the same time could indicate a need or a readiness for the work. Unlike Burns, who is a historian and political scientist, mainly in the academic realm, Greenleaf was a practitioner in the world of business management. He built his career within AT&T from the mid-1920's through 1964 and, after retirement, served as a consultant all over the world for a wide range of sectors. For both authors, these books on leadership were a culmination and synthesis of their life's work up to that point.

Greenleaf (1977) developed the notion that a leader is a servant first and a leader second:

> The best test, and difficult to administer, is this: Do those served grow as persons? Do they, while being served, become healthier, wiser, freer, more autonomous, more likely themselves to become servants? And, what is the effect on the least privileged in society? Will they benefit or at least not be further deprived? (p. 27)

Greenleaf (1977) stated that a servant leader is able to guide others toward achieving a goal by eliciting trust. The servant leader builds this trust by listening and asking before telling and by accepting and empathizing with others. Ultimately, Greenleaf paints a picture of not only service, but of responsibility and care for the greater good. Others, such as DePree (1997, 1992, 1987) and Block (1993) have drawn upon and extended Greenleaf's work. Transformational, charismatic, and servant leadership all share the approach that a leader's power is earned and bestowed upon her or him from the followers, not given to her or him because of a title, position, or rank. The purpose of leadership, from these approaches, is to serve the greater good.

Adaptive Leadership

Similar to Greenleaf in at least one respect, Heifetz (1994) invited us to take responsibility and initiative to serve our communities and organizations. He called us to stop waiting for heroes to take care of us and give us the answer – and to stop blaming them for our problems – and told us "(i)nstead of looking for saviors, we should be calling for leadership that will challenge us to face problems for which there are no simple, painless solutions – problems that require us to learn new ways" (Heifetz, 1994, p. 2). Also like Greenleaf, is Heifetz's conception of authority relationships in terms of service. "My job as a physician consists of helping people solve the problems for which I have some expertise. That is why they authorize me: Authority is a trust" (Heifetz, 1994, p. 4).

Heifetz's (1994) central point is the function of leadership. "(L)eaders mobilize people to face problems, and communities to make progress on problems because leaders challenge and help them to do so. If something goes wrong, the fault lies with both leaders and the community" (p. 15). Heifetz calls this type of problem-solving adaptive work.

> Adaptive work consists of the learning required between the values people stand for and the reality they face. Adaptive work requires a change in values, beliefs, or behavior. The exposure and orchestration of conflict – internal contradictions – within individuals and constituencies provide the leverage for mobilizing people to learn new ways (p. 22)

This is perhaps the key overlap among Burns (1978), Greenleaf (1977), and Heifetz (1994). Transforming leadership, servant leadership, and adaptive leadership all consider leadership a values-based function of serving the overall common good. Burns and Heifetz each make explicit that one cornerstone of the service a leader provides – the confronting and embracing of conflict and its resolution – is a process of morality. Couto (2006) integrated the work of Gardner, Heifetz, and Burns to sketch a leadership theory built on the use of effective narratives to achieve adaptive work. Couto included narrative elements of values, initiative, inclusion, and creativity in the model to address and influence conflict, change, and collaboration.

Heifetz (1994) framed adaptive work as the "clarification and integration of competing values" (p. 3). He contrasted it with technical work, in which there is a clear-cut right or wrong answer. Resolving technical problems is only a matter of finding the right resources or expertise. Resolving adaptive challenges requires the creation and management of a strong holding environment – a term Heifetz borrows and extends from psychoanalysis: "A holding

environment consists of any relationship in which one party has the power to hold the attention of another party and facilitate adaptive work" (pp. 104-105). Heifetz recognized the contradictions inherent to this type of leadership when he said:

> Exercising leadership from a position of authority in adaptive situations means going against the grain. Rather than fulfilling the expectation for answers, one provides questions; rather than protecting people from outside threat, one lets people feel the threat in order to stimulate adaptation; instead of orienting people to their current roles, one disorients people so that new role relationships develop; rather than quelling conflict, one generates it; instead of maintaining norms, one challenges them (p. 126).

Heifetz (1994) identified five strategic principles when leading with formal authority: (1) identify the challenge, (2) keep the level of distress within a tolerable range for doing adaptive work, (3) focus attention on ripening issues and not on stress-reducing distractions, (4) give the work back to people, but at a rate they can stand, and (5) protect voices of leadership without authority. As with leadership theories reviewed earlier, such as transformational leadership and relational leadership, Heifetz provided general strategies, but did not extend his model further toward leadership practices for implementing these strategies.

Though in line with both Greenleaf's and Burns's notions of leadership, Heifetz (1994) applied new concepts and offered fresh insights into the leadership dynamic. He devoted a section of his book to leadership without formal authority. I will treat this component in an upcoming section of this chapter.

A Post-Industrial Paradigm of Leadership

Rost (1990) proposed a post-industrial paradigm of leadership based on the notion that the Western world is transitioning into a new era with shifting values. His argument was that this transformation must also result in a profound transformation of leadership thought and practice. He provided an in-depth analysis of how leadership has been defined in the industrial era and offered the following definition for post-industrial leadership: "Leadership is an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes" (p. 102). Rost elaborated on each element of this definition and its respective underlying values and assumptions.

Rost (1990) specified that the influence relationship is multidirectional and noncoercive. He also made clear that he does not consider dyadic relationships as leadership. Rost stated that the people in this relationship are active followers and leaders and that the "relationship is inherently unequal because the influence patterns are unequal" (p. 112). He emphasized that the third element of his definition, 'leaders and followers intend real changes,' conveys the idea that leaders and followers are purposeful about pursuing substantive transformation. It does not happen accidentally and it is more than superficial or pseudo-change.

Rost (1990) gave the most detail on the fourth element of his definition: leaders and followers develop mutual purposes. He distinguished purposes from goals, envisioning purposes as being "broader, more holistic or integrated, more oriented to what people ordinarily think of as a vision or mission" (p. 119). The purposes are mutual to leaders and followers, though not all leaders and all followers. Rost also clarified that mutually held independent goals do not qualify. Rost said that he chose the word "reflects" to avoid casting leadership as a result or an outcome, thereby eliminating any hierarchical notions. Rost stopped with his re-definition of leadership

and did not extend beyond the definition toward a new theory of leadership or leadership practice. Did Rost successfully identify the essential elements of leadership? I will explore this question in another chapter by analyzing the concept and definition of leadership.

In summary, Rost's conception is aligned in many ways with Burns (1978), Greenleaf (1977), and Heifetz (1994). They each point out that leadership authority and influence is earned in relationships through the development of trust, respect, and credibility and that leadership serves the interests of the greater good rather than self-interests or individual goals.

The wide range of approaches to studying leadership reviewed thus far has accomplished a great deal. These theories and models have built upon earlier approaches, applied theories from different disciplines, explored new territory, and extended our knowledge and practice extensively since those early trait studies at the turn of the twentieth century. Despite these efforts and their results and findings, our work is not complete. There is a need for more integration and a better understanding of the complex dynamics in which the phenomenon of leadership arises and operates. A few newly emerging approaches are attempting to do this.

Emerging Theories: A Complex Systems Approach

Emerging theories frame leadership as a collective process embedded within a system (e.g., Hooijberg, Hunt, & Dodge, 1997; Marion and Uhl-Bien, 2001;Osborn, Hunt, and Jauch, 2002). This approach is more integrative, not only among existing theories of leadership, but from other disciplines as well. These models and frameworks have just begun to appear. Though full of possibilities, there are only a few and little empirical study has been conducted thus far. Essentially, rather than making leadership the centerpiece and isolating specific traits, behaviors, or elements of the context, these approaches attempt to acknowledge and understand the dynamics among the unpredictable, non-linear contextual complexities – with leadership as only

one element of many at play in the dynamics. They begin to integrate leadership studies with complexity science and organizational systems theory.

Marion and Uhl-Bien (2001) provided an overview of complexity theory and how it applies to the study and practice of leadership. They stated that through the lens of complexity theory "effective leadership is about learning to capitalize on interactive dynamics among and within organizational ensembles" (p. 394). "Thus," they also stated, "leadership effectiveness cannot be built exclusively around controlling the future; rather it depends on being able to foster interactive conditions that enable a productive future" (Marion & Uhl-Bien, 2001, p. 394). Their elaboration on this concept reminded me of Heifetz's (1994) idea of the leader's role of creating a holding environment and mobilizing adaptive work. Marion and Uhl-Bien (2001) noted, "This changes the role of leadership away from 'providing answers' or providing too much direction to creating the conditions in which followers' behaviors can produce structure and innovation." (p. 394). Such interactive conditions are created and facilitated through our communication behavior.

According to Marion and Uhl-Bien (2001):

> (Leaders') strategies and charismatic appeals are useless if they fail to foster *conditions that enable* productive, but largely unspecified, future states. They need to feed the natural, bottom-up dynamics . . . Leaders need to understand the patterns of complexity and learn to manipulate the *situations of complexity* more than its results . . . temper our focus on *controlling* organizations and futures and instead develop leaders' abilities to *influence* organizational behavior in ways that enhance the odds of productive futures (p. 403).

Again, this emphasis on influencing, enabling, and fostering conditions, rather than controlling or directing is much more aligned with the idea of cultivating leadership at all levels via communicative practices. One does not need formal authority in order to participate in leadership. It is a process to be initiated and facilitated through communication and symbolic behaviors.

Osborn, Hunt, and Jauch (2002) advanced a contextual theory of leadership. They built on Katz's and Kahn's (1978) open systems theory and Jaques's (1989) distinctions among the top, middle, and bottom of systems (stratified systems theory). Drawing on complexity theory, they characterized the context as ranging from stable to chaotic (Osborn, 1976). The authors took the position that leadership is an emerging social construction embedded in a unique organization. They linked leadership to organization theory and examined four different leadership contexts: (1) stability, (2) crisis-functioning, (3) dynamic equilibrium, and (3) edge of chaos. Within each context Osborn, Hunt, and Jauch discussed patterning of attention and network leadership and explored different levels of leadership that seemed most relevant or central to that context. For example, in the context of edge of chaos:

> We are suggesting that order, cohesion, and viability may emerge from the middle and bottom. Rather than just focusing on top management and its choices, at the edge of chaos one must look at the whole system and its leadership . . . complexity science broadens the view of leadership as individual interpersonal influence to stress collective influence processes for managing dynamic systems and interconnectivity extending to the environment (p. 823 & 824)

My interest, ultimately, is how to develop leadership practice at all levels of an organization, regardless of title or position. The emerging approaches to leadership mentioned

above will be helpful in this regard as they are studied further and extended to practice and application. There have also been leadership studies and theories that work exclusively with the notion of leadership without formal authority. I review this set of research on its own in the next section.

Leadership Without Formal Authority

Research on informal and emergent leadership made a visibly significant appearance in social psychology and small group literature during the human relations movement of the 1950s and 1960s (e.g., Bales, 1950; Bales & Hare, 1965; Bales & Slater, 1955; Bass, 1949, 1961; Cattell & Stice, 1954; Hollander, 1961, 1964; Mann, 1959). The importance of sharing power, seeking input, and building collaboration in organizations was emphasized during the human relations movement by the work of McGregor (1960), Argyris (1964), and Likert (1967) – and by Barnard (1938), Follett (in Graham, 1995), and Mayo (1933) before them. This focus on empowerment, participation, and meeting the psycho-social needs of organizational members served perhaps as the seeds for studying leadership without authority.

The attention to balancing task-oriented and relationship-oriented practices was also emphasized in studies of 'feminine' versus 'masculine' styles of leading, mentioned earlier (e.g., Astin & Leland, 1991; Eagly & Wood, 1991; Erkut, 2001; Helgesen, 1990, 1995; Kanter, 1977; Rosener, 1990), in which feminine styles focused more on people and relationships and masculine styles focused more on task-oriented behaviors. Additionally, studies of women in organizations helped us to understand how informal leadership emerged and occurred.

There was a second surge in writing about informal leadership in organizations and work teams during the 1990s and early 2000's (e.g., Badaracco, 2002; Barry, 1991; Drath, 2002; Gardner, 1990; Manz & Sims, 1991; Pearce & Conger, 2003; Pearce & Sims, 2002, 2000;

Raelin, 2003; Wergin, 2007). This interest in emergent, informal leadership coincided with the early wave of workplace trends toward self-managed teams, cross-functional work groups, and geographically dispersed organizations.

Gardner (1990) noted the necessity of dispersed leadership, saying:

> Most leadership today is an attempt to accomplish purposes through . . . large, intricately organized systems. There is no possibility that centralized authority can call all the shots in such systems, whether the system is a corporation or a nation. Individuals in all segments and at all levels must be prepared to exercise leader-like initiative and responsibility, using their local knowledge to solve problems at their level. *Vitality at middle and lower levels of leadership can produce greater vitality in the higher levels of leadership* (p. xvii).

Gardner (1990) positioned the sharing of leadership tasks as the answer to the question "How can we define the role of leaders in the way that most effectively releases the creative energies of followers in the pursuit of shared purposes?" (p. 143) He noted the value of shared leadership as a way to hold power accountable. Many of the authors mentioned above (e.g., Badaracco, 2002; Barry, 1991; Drath, 2002;Gardner, 1990; Manz & Sims, 1991; Pearce & Conger, 2003; Pearce & Sims, 2002, 2000; Raelin, 2003) acknowledged the changing circumstances in organizations that drove the study of leadership beyond the realm of individuals with institutional authority.

Heifetz (1994) also recognized this shift. He identified three benefits to leading without formal authority. First, since people are not looking to those without formal authority to provide "the answers" or serve as heroes, these individuals have more freedom to raise the difficult questions that could facilitate progress on the adaptive problems. Heifetz termed this benefit

latitude for creative deviance. Second, with no formal authority, an individual is free to focus deeply on single issues. Third, those with little or no authority are closer to the needs and experiences of the constituents and have a different perspective on the situation.

Heifetz (1994) also acknowledged the constraints that go along with these benefits. First, without authority, there is less control over the holding environment. There is also less awareness of the broader sense of the challenges facing the community. Second, leaders without formal authority are more likely to serve as a lightning rod. As such, they are more vulnerable to attacks. Third, leaders without authority often make the assumption that only authority figures have the power to affect change. Therefore, there is a tendency to view the authority figure(s) as the audience for action, rather than the stakeholders in the community. These observations certainly inform and support the process of developing leadership without formal authority.

Heifetz's (1994) predominant focus is on political and community leadership. Studies on leadership without authority in organizational settings tended to examine emergent leadership in teams or distributed leadership within a non-hierarchical structure. Empirical research on leadership without authority has been conducted primarily in the realm of self-managed teams.

Self-managed teams are sometimes known as leaderless teams because there is no formal designated leader. Leadership in this setting is meant to be an emergent, collective activity. In this case, they are not leaderless teams at all. To use Raelin's (2003) term, they are leaderful teams. While there are many studies on self-managed work teams, there are few studies of leadership behaviors and processes on these work teams. This is perhaps due to the notion that they are leaderless. Obviously, leadership occurs on these teams. It just does not come from the usual sources of formal authority.

Manz and Sims (1991; Sims & Manz, 1996) coined the term "SuperLeadership" and presented a framework for self-leadership. SuperLeadership is "designed to facilitate the self-leadership energy within each person . . (and) lead others to lead themselves." (p. 18). Their definition is unclear and circular. Defining self-leadership as leading oneself is not helpful. Furthermore, Manz and Sims failed to offer concrete practices for "SuperLeadership." They represented their view as a departure from the dominant view of leadership. "(W)e are addressing a different approach to leadership, radically unlike many of the classic stereotypes of strong leadership" (Manz & Sims, 1991, p. 33). The "comprehensive framework" they presented did not seem to extend beyond superficial concepts to a deeper, more practical level.

Manz and Sims's (1991) framework included the following: (1) become a self-leader, (2) model self-leadership, (3) encourage self-set goals, (4) create positive thought patterns, (5) facilitate self-leadership through reward and constructive reprimand, (6) promote self-leadership through teamwork, and (7) facilitate a self-leadership culture. This framework did not extend earlier models of empowerment and participation. It called for people to take responsibility for leadership, regardless of formal authority. However, it seemed more focused on management and control – a different concept from leadership. The authors stated that "(i)t seems clear that an essential ingredient to SuperLeadership is a boundless optimism about the potential of ordinary people" (Manz & Sims, 1991, p.33). The implication was that formal leaders are in fact extraordinary heroes with the gift of untapping the leadership potential of ordinary workers. This concept does not seem different from traditional views of leaders. It certainly did not contribute to the understanding or performance of leadership practice.

Barry (1991) published an article at the same time as Manz and Sims (1991) entitled "Managing the Bossless Team: Lessons in Distributed Leadership." The title alone sends a clear

message. The team is not bossless if someone is managing it. His article warns of the dangers of self managed teams, stating that they "require even more leadership than conventional organizational units . . . without the presence of formal authority, power struggles and conflict around both task and process issues surface more often, adding to the overall leadership burden that must be handled by the group" (p. 32). Conveying such a negative, fear-ridden view of leaderful teams, Barry comes across as a proponent of traditional managerial authority, an outdated mode of leading.

Barry (1991) presented a distributed leadership model in which different team members rotate through different leadership functions based upon their strengths, abilities, and interests. These functions will emerge and shift depending upon the leadership needs of the team over time. He clustered these leadership roles and behaviors into four areas: (1) envisioning, (2) organizing, (3) spanning, and (4) social. Barry (1991) detailed each of the four leadership clusters, applying them to three different types of self-managed teams: (1) project, (2) problem solving, and (3) policy making teams. He concluded with two leadership scenarios. Again, despite the idea that leadership is distributed and shared among team members, I struggled to understand how this conception differed from our traditional understanding of leadership. The emphasis was still on individuals and the leadership functions were very similar to the management functions of plan, direct, control, and organize. Ultimately, I was disappointed that I did not find more in the area of self-managed or leaderless teams. I turned hopefully toward research on shared leadership.

Pearce and Conger (2003) defined shared leadership as "a dynamic, interactive influence process among individuals in groups for which the objective is to lead one another to the achievement of group or organizational goals or both." The first part of this definition is similar

to Rost's (1991) and is promising because it puts the prerogative and responsibility for leadership with the team, group, organization, or community and not only with the formal designated leader. This concept shifts the emphasis from leader to leadership. The book questions the traditional individual level perspective of leadership studies and begins to explore leadership as a group-level phenomenon. Pearce and Conger's edited book is preliminary and proposes possibilities for future directions. It does not contain research studies *per se*, but does offer theoretical and conceptual frameworks. The authors pointed out that our understanding of shared leadership is still in its infancy.

Pearce and Conger (2003) identified six theoretical bases in which to ground shared leadership: (1) the human relations and social systems perspectives, (2) role differentiation in groups, (3) co-leadership, (4) social exchange theory, (5) management by objectives and participative goal-setting, and (6) emergent leadership theory. Subsequent chapters by various authors lay out the connections and groundwork of these different approaches to the notion of shared leadership. One appeal, especially as I work on developing a theory of communicative practices for leadership, is the strong grounding of this model in leadership and social psychology theory and research. It builds on a solid foundation of research and does not reinvent the wheel. The shared leadership model provides an account of four different styles of shared leadership: (1) directive, (2) transactional, (3) transformational, and (4) empowering. These categories fit with and build upon existing leadership models.

Pearce and Conger (2003) concluded their book by presenting a research agenda that covered seven domains of opportunity: (1) the relationship between shared and vertical leadership, (2) the dynamics of shared leadership, (3) implementing shared leadership, (4) cross-cultural factors, (5) outcomes of shared leadership, (6) measurement of shared leadership, and (7)

the limits and liabilities of shared leadership. Clearly there is much work to be done and many opportunities for further research. A communicative theory of leadership practice could help to illuminate understanding in these areas.

The few empirical studies of informal leadership in teams and organizations leave ample room for investigation. Studies of this topic are primarily quantitative and are authored by those affiliated with business management or psychology. The research questions of these studies fall out into three general categories. One set investigated the traits, qualities, or characteristics predictive of emergent leaders (e.g., Kickul & Neuman, 2000; Pescosolido, 2002; Pielstick, 2000; Taggar, Hackett, & Saha, 1999; Wolff, Pescosolido, & Druskat, 2002). A second set focused on one specific trait by examining the relationship between gender and emergent leadership (e.g., Karakowsky & Siegel, 1999; Neubert, 1999; Neubert & Taggar, 2004). A third set explores the connection of emergent leadership to team effectiveness, efficacy, and performance (e.g., Brown & Gioia, 2002; De Souza & Klein, 1995; Durham, Knight, and Locke, 1997; Guastello, 1995; Neubert, 1999; Pearce & Sims, 2002; Pescosolido, 2001)

Attempting to identify and correlate traits with leaders does not help us to better understand the practice and development of leadership. Pearce and Sims (2002) were exceptional in two ways. First, they were the only researchers within this set to study leadership behaviorally. They were also the only researchers to study shared leadership as a group phenomenon. Pearce and Sims (2002) explored vertical and shared leadership as predictors of team effectiveness on 71 change management teams in an automotive manufacturing company. The remaining studies focused on individuals as leaders, rather than leadership among team members. A focus on individual qualities, characteristics, and traits of those in formal positions could further our understanding of *leaders*, but it is not informative about the practice of *leadership*. If we wish to

understand emergent leadership as a collaborative social practice, then we will need to move beyond such leader-centric approaches.

The findings of this group of studies indicated correlations among variables. We still do not understand empirically how to intentionally practice or cultivate informal leadership. I was most struck by the lack of discussion or application of literature related to authority and power in these articles. In order to understand how or why informal leadership does or does not emerge, knowledge about power and authority dynamics seems directly relevant. Ultimately, I am interested in the practice and development of emergent, informal leadership. Studies that narrowly focus on traits or characteristics that predict the emergence of leadership will not be informative. We need more qualitative and multi-method studies of real-life work teams. We should also bring in new disciplines and more perspectives beyond the mainstream psychology and business management literature. Research areas such as feminism, diversity, culture, and power (see e.g., Alvesson, 2002; Belenky, Clinchy, Goldberger, & Tarule, 1987; Bell, 1990; Brasileiro, 1996; Calas & Smircich, 1996; Collins, 1991; Essed, 1991; Essed & Goldberg, 2002; Deetz, 1992, 1997; Foucault, 1980, 1981;Geertz, 1973; Gilligan, 1982; Hofstede, 1980; hooks, 1988, 1989; Pfeffer, 1992; Schein, 1992; Sinclair, 2005; Tannen, 1993, 1994, 1996; Walters & Smith, 1999) can illuminate our understanding of the dynamics, contexts, and processes of informal, emergent leadership and certainly inform the practice of leadership There are many avenues for further discovery and much that is left unexplored.

Theories and Models of Leadership Practice

No line of leadership inquiry in the field focuses exclusively on practice. However, theories and studies within most leadership research categories reviewed in this chapter do inform the practice of leadership. I would like to conclude this chapter by highlighting specific

theories and models that are directly applicable to the practice of leadership. Most of these center on the formal leader and examine leadership as an individual level phenomenon. Nevertheless, they could be applied to informal leaders and, perhaps, be extended to leadership at the group level. The existing models that are most informative to leadership practice and development include: Kouzes and Posner's (1995) Leadership Challenge model, Bass and Avolio's (1990, 1993, 1994) Transformational Leadership model, Hersey and Blanchard's (1969, 1982) Situational Leadership framework, and Pearce and Conger's (2003) model of Shared Leadership (Pearce & Sims, 2000, 2002). It must be acknowledged that most of these models are based upon earlier leadership theories (e.g., Blake & Mouton, 1964; Burns, 1978; Conger, 1989; Conger and Kanungo, 1989; Fiedler, 1964,1967; Fleishman & Hunt, 1973; Halpin & Winer, 1957; House, 1971; Locke & Latham, 1990; Vroom, 1964) going back as far as the Ohio State and Michigan studies. Thus, the more recent theories are grounded in a classic two-factor model of leadership concerned with the balance between attention of the leader to task and to relationship. The models further extend this notion of leadership and incorporate more complexities of the situation, relationship, or interactions.

Each of the models (Bass & Avolio, 1990, 1993, 1994; Hersey & Blanchard, 1969, 1982; Kouzes & Posner, 1995; Pearce & Conger, 2003; Pearce & Sims, 2000, 2002) presents a framework for leadership practice that suggests choosing from a set of behaviors based upon the needs of the situation, including the followers. Each behavior is performed via communicative or symbolic actions in a social setting. These models are also favored by practitioners because they are useful to the performance and development of leadership. They are featured in a distinct section of this chapter because they serve as central input to the analysis I use to build my

communicative theory of leadership practice. My framework will include and extend the functions, strategies, and behaviors covered in these models.

Transformational Leadership

As reviewed earlier, the model of transformational leadership (Bass, 1985, 1990b, 1996; Bass & Avolio, 1990, 1993, 1994; Bass & Riggio, 2006) identifies four measures that could be translated into communicative practices: (1) idealized influence (originally categorized as charisma) – serving as a role model and building respect, trust, and identification with followers, (2) inspirational motivation – communicating high expectations and articulating a shared vision, (3) intellectual stimulation – promoting innovation and inviting followers to seek and develop solutions to problems, and (4) individualized consideration – demonstrating concern for the follower through listening, support, and encouragement. Each component of this transformational leadership model is implemented through communicative practices and will be incorporated into the framework developed in this study.

Leadership Challenge

Kouzes and Posner's (1995) Leadership Challenge model identified five categories of exemplary leader behavior based upon more than 2,000 surveys and nearly 50 in-depth interviews with managers at all levels of a wide-range of private and public sector organizations. Kouzes and Posner identify two commitments for each category of practice:

1. Challenge the process – seek out challenging opportunities to innovate, change, and grow; take risks, experiment, and learn from mistakes

2. Inspire a shared vision – envision an uplifting future; enlist others in a common vision

3. Enable others to act – foster collaboration; strengthen people through empowerment, input, and development

4. Model the way – set an example; build commitment by achieving small wins toward consistent progress

5. Encourage the heart – recognize individual contributions; celebrate team progress

These categories of practice will serve as input for the analysis used to develop my communicative framework of leadership. I plan to extend the categories from a broad, strategic level to a more operational, tactical level. Kouzes and Posner's (1995) five categories overlap with Bass and Avolio's (1990) measures for transformational leadership and Hersey and Blanchard's (1969) situational leadership styles

Situational Leadership

Hersey and Blanchard's (1969) situational leadership model posits that the leader needs to select the leadership style that best fits both the needs of the situation and the needs of the follower. Though serving more as an interpersonal model of management than a leadership theory, Hersey and Blanchard focus on communicative behaviors that consider the needs and capabilities of the follower. The premise is that the most effective leadership style will incorporate the appropriate mix of task-oriented and relations-oriented behaviors based upon an analysis of different contextual factors, including the job maturity and psychological maturity of the follower.

The model includes four styles of leadership: (1) Telling/Directing is a high task-low relationship approach in which the follower has little input or participation. The manager uses a directive approach on the assumption that the subordinate is unwilling and unable to be self-directed at that stage; (2) Selling/Coaching is a high task-high relationship style in which the manager begins to seek more input. The assumption is that the subordinate is willing to take on more responsibility and operate more independently, but is not yet able; (3) Participating/

Supporting is a low task-high relationship approach. The assumption here is that the subordinate is capable, but unwilling to operate independently, so the manager must offer guidance and support; (4) Delegating is a low task-low relationship style that is used when the subordinate is both willing and able to accept responsibility. As the supervisor-subordinate relationship evolves and as the performer's competence and capabilities develop, the leader will need to shift upward through each of the four styles in order to continue to provide the performer with what he or she needs to perform well.

Each of the three models of practice reviewed above rely on an individual's capability both to diagnose the needs of a situation and to apply flexibly the appropriate behavior, style, or strategy. The focus remains actions taken by a formal leader with and among followers. Another theory of practice, shared leadership, examines behaviors that can be used by informal leaders and, not necessarily at the individual level.

Shared Leadership

Shared leadership (Pearce & Conger, 2003; Pearce & Sims, 2000, 2002) is an emerging model with minimal empirical research behind it at this time. Nevertheless, it shows potential and several avenues of opportunity for solid study and development. Particularly relevant to the theory being developed here is the following: (1) Shared leadership is examined as a group level phenomenon, (2) there is less focus on formal leaders and more emphasis on leadership as a social process, and (3) the model is grounded in theoretical work of leadership, as well as social psychology and other relevant disciplines.

The shared leadership model lays out four types of leadership strategies: directive, transactional, transformational, and empowering. *Directive* leadership relies on position power and is exemplified by behaviors that include issuing instructions and commands and assigning

goals. *Transactional* leadership is rooted in the use of rewards, motivation, and social exchange. *Transformational* leadership includes representative behaviors such as providing vision and intellectual stimulation, or expressing idealism and having high performance expectations, or using inspirational communication or challenging the status quo. *Empowering* leadership emphasizes the development of self-management or self-leadership skills among the followers, encouraging participation, independent action, self-reward, teamwork, and self-development.

All four of these theories and models of practice are performed through communicative activities. The models have several categories of functions and behaviors in common, including envisioning, directing, inspiring, supporting, motivating, innovating, empowering, enabling, and role modeling. This brings me to the following question: What are the core practices underpinning these functions and behavioral categories? What are the foundational behaviors required to perform these leadership functions? In-depth analysis of the leadership literature will help me to build an integrated theory of leadership practice that will contribute to the performance and development of leadership.

Summary

This review of the leadership literature from the beginning of the 20th century to the present shows the advances made in the study of leadership. Researchers began by focusing on leader traits. The landmark Ohio State Studies and Michigan Studies laid the groundwork for exploring the styles and behaviors of leaders. This line of research spawned awareness and study of psychological and contextual variables and, eventually, investigation of the leader-follower relationship. Ultimately, the complexity of leadership dynamics was examined as a system. The field has isolated, studied, and understood different elements of leadership, but has not yet managed to integrate our understanding of leadership into a coherent model of practice.

This review highlights that leadership is not consistently or clearly understood within the field. Research is fragmented across and within many different disciplines. Additionally, leadership is not studied as a practice. Rather it is most often investigated as a trait, style, perception, or role. Furthermore, the focus of leadership research is frequently centered on the individual formal leader. Some common threads have been woven through the silos of leadership studies, such as influence, motivation, or inspiration, however there has not been a systematic investigation or theory of leadership practice. I will begin to lay the groundwork for a communicative theory of leadership practice by defining and analyzing leadership as a social practice. I will derive core practices of leadership from leadership frameworks such as transformational leadership, situational leadership, the leadership challenge model, and shared leadership.

CHAPTER III: LEADERSHIP – ANALYSIS, DEFINITION, AND CORE PRACTICES

I begin this chapter with a brief overview of philosophical analysis followed by a conceptual analysis of "leadership." This analysis produces a definition of leadership that will serve as a heuristic for the development of a communicative theory of leadership practice. A set of functional categories and subsequent core leadership practices are abstracted from the leadership literature. First, I define leadership by analyzing definitions and conceptualizations of leadership used by scholars in the field. Second, I identify key functional categories and derive a set of core communicative practices of leadership from an analysis of empirical studies and models of leadership. This builds a foundation for a communicative theory of leadership practice by determining the set of core leadership practices supported by the literature in the field of leadership.

Philosophical Analysis: An Overview

The subject of a philosophical analysis is the set of linguistic properties of a concept within the semantic field in which the concept is used. I conduct a type of philosophical analysis of leadership in this chapter. Though it is not a pure, traditional philosophical analysis, it is analogous. I use philosophical methods to analyze the complex properties of the concept of leadership according to the use of the concept by scholars and researchers within the field of leadership studies.

King (1998) addressed the following questions about philosophical analysis: What is it that is being analyzed? What sort of thing is the analysis itself? Under what conditions is an analysis correct? How can a correct analysis be informative? How, if at all, does the production of philosophical analyses differ from what scientists do?

King (1998) made the point that complex properties of concepts (not the concepts themselves) are the objects of analysis and "what makes a proposition a philosophical analysis, as opposed to a 'scientific' analysis, has to do with the sort of epistemic relations typical members of the linguistic community bear to the analyzed property" (p. 169). King used the following examples to illustrate what he meant by complex properties. Being a bachelor is a complex property of the concept bachelorhood. The constituents of the complex property of being a bachelor are being a male, unmarried, adult. Being a sister is a complex property of sisterhood. The constituents of being a sister are being a female sibling. In my case, I will analyze the concept of leadership by analyzing the constituents of the complex property of being a leader or doing leadership.

Another point of King's (1998) was that a philosophical analysis is different from a 'scientific' analysis. For instance, if we want to analyze the properties of an elm tree, we must explore physical properties using scientific inquiry. If we want to analyze the properties of bachelorhood, sisterhood, or leadership, then we must explore linguistic properties using philosophical inquiry. In other words, the "truth" about the meaning of bachelorhood, sisterhood, and leadership resides in the mind and is discovered linguistically. The "truth" about elm trees exists in the physical world and is discovered scientifically.

King (1998) discussed three categories of linguistic competence and, related to these categories, different ways that typical members of a community are epistemically related to complex properties.

> First, typical members of the community may know the components of a complex property and how they are combined to form the complex property. Second, typical members of the community may not know the components of the property

> but be able to reliably detect the presence or absence of the property. Third, typical members of a community may be aware of the existence of a property but in general not know its components and not be able to reliably detect the presence or absence of the property (King, 1998, p. 172).

King pointed out that this second category of linguistic competence allows a philosophical analysis to be useful and informative, "(t)hus, one may learn something from such an analysis" (p. 171) and avoid providing a trivial analysis, as with the first category of linguistic competence. For example, I will perform a type of philosophical analysis of the complex properties of leadership. In this case, the linguistic community will be the scholars and researchers within the leadership field. If that community cannot detect, let alone understand, the properties of the concept "leadership," then no useful analysis is possible. On the other hand, if the complex properties and their relationships are obvious to others in the community, then the analysis is trivial and unnecessary. However, the analysis of leadership will be significant and useful if the linguistic community has an understanding of the concept, even if that understanding is unclear or inconsistent, but may not reliably detect the presence or absence of the complex properties. This is the position of "I know it when I see it, but I have difficulty defining it or describing it concretely." I believe that this is the category of linguistic competence in which leadership falls.

This category of linguistic competence is analogous to tacit knowing (Polanyi, 1966) in which we know something, and we know that we know something because the knowledge manifests itself in our actions, but the knowledge is not easily articulated. This type of philosophical analysis of leadership can help us articulate the elusive properties of the concept and make the knowledge more explicit. Additionally, tacit knowing is social and varies across

contexts according to linguistic, social, and cultural norms. The pragmatic analysis that I will describe and conduct in the next chapter is a way of explicating and analyzing the linguistic, social, and cultural norms and conventions operating in various leadership situations.

Though it is unlikely that all scholars will ever agree on all properties of leadership, it is possible to discern a core set of essential properties of leadership. In this case, a philosophical analysis will serve to sharpen our understanding of both the properties of leadership and how the concept is used linguistically within that community. Under these linguistic conditions,

> The philosopher can imagine a variety of circumstances . . .can then form hypotheses concerning the components . . . can imagine further circumstances . . . with which to test her hypothesis. Further, when presented with purported analyses of others, she can invoke imagined situations to provide counterexamples (p. 172).

In summary, my analysis of leadership will take the following form:

For all x, x is P iff* C(x).

I intend to perform three levels of analysis:

(1) For all actions, the action is leadership if and only if it is intentionally securing action in service of interests claimed by or for a community.

(2) For all actions, the action is intentionally securing action in service of interests claimed by or for a community if and only if it involves the communicative activities of reporting, inquiring, directing, pledging, advocating, envisioning, declaring, or constituting.

* “iff” is a common representation of the expression “if and only if”

(3) For all actions, the action is reporting if and only if . . . For all actions, the action is inquiring if . . . For all actions, the action is directing if . . .For all actions, the action is pledging if . .. For all actions, the action is advocating if . . . For all actions, the action is envisioning if . . . For all actions, the action is declaring if . . . For all actions, the action is constituting if . . .

. . . and so on taking the analysis through three levels by first analyzing the complex property of being a leader or doing leadership, then analyzing the constituents of that property, then analyzing the constituents of those constituents to break it down from the conceptual level to the properties, actions, and practices. This analysis will be rooted in empirical and scholarly findings of leadership studies. Pragmatic analysis, conducted in the next chapter, will help in the third level of analysis to explicate the linguistic norms and conventions of each core leadership practice.

Leadership: Conceptual Analysis and Definition

Leadership scholars have not established a coherent, agreed upon definition of leadership for the field. Many researchers proceed without stating a definition. Rost (1990) conducted a thorough analysis, critique, and re-definition of leadership in an attempt to "put together a consistent, coherent, workable, and accurate model of leadership that is easily understood by both academics and practitioners" (p. 126). He reviewed and analyzed scholarly definitions of leadership published between 1900 and 1990. Out of 587 books, book chapters, and journal articles, 312 were published in the 1980s. Only 221 authors, of the total 587, defined leadership. Authors of 336 books, chapters, and journal articles left leadership undefined. Among those that define the concept, a variety of meanings are offered. Naturally there will be different schools of thought and lines of investigation in a field.

The fundamental commonality among most definitions of leadership is the notion of either convincing, enabling, or creating a capacity, for others to act in pursuit of group goals or interests (e.g., Gardner, 1990; Greenleaf, 1977; Hackman & Johnson, 2001; Hersey & Blanchard, 1988; Kouzes & Posner, 1995; Northouse, 2001; Pearce & Conger, 2003; Rost, 1991). The inconsistencies among definitions occur in terms of who, how, and why. The 'what' is usually some form of influence or mobilizing communicative activity. However, there must be something more about '*leadershipness'* than influence, otherwise we would not have a special name for the phenomenon and we would call it influence. What makes 'leadership' leadership? My intention in this analysis is to articulate the tacit understanding and essential properties of leadership. I am less concerned with technical definitions stated by researchers than I am with how leadership is conceptualized through the way it is studied and researched. A definition of leadership is revealed even by those researchers who do not offer an explicit definition of leadership.

Although the field does not organize the literature in this way, based upon an analysis of the literature I have identified three broad definitional categories of leadership as: (1) characteristic properties of individuals, (2) a process or relationship, and (3) a result or an outcome. Many conceptions of leadership incorporate more than one of these elements however, in those cases, there is a clear emphasis of one element over the others. This section of the chapter will review and analyze various definitions of leadership used in the field and lay out the elements of the definition used in this study.

Leadership as Characteristic Properties of an Individual

A large number of studies and sets of studies since the early 1900s have conceptualized leadership as characteristic properties of an individual. Whether leadership is defined as a trait,

quality, capability, behavior, role, or strategy, this category of definitions frames leadership as something an individual has or does to others. Often the characteristic is employed to exert or impose that individual's will or authority on others. The emphasis is on the leader, not leadership.

Three subcategories define leadership as characteristic properties of an individual. First, leadership is defined as something an individual has or possesses, such as a quality or attribute. For example, trait theories of leadership conceive of leadership as a trait or set of traits possessed by an individual (e.g., Baldwin, 1932; Eichler, 1934; Finch and Caroll, 1932; Flemming, 1935; Garrison, 1933; Hunter and Jordan, 1939; Remmelin, 1938; Sward, 1933). Researchers who study leadership as an individual who possesses charisma, emotional intelligence, integrity, authenticity, or resilience, and other personality factors are included in this category (e.g., Digman, 1990; Goleman, 1995: Mayer & Salovey, 1995; Hough, 1992; Hogan, Curphy, & Hogan, 1994).

Second, leadership is defined as something an individual does to another person. These definitions sometimes include the manner in which the action is performed, thereby focusing on behaviors and styles. For instance, Hersey and Blanchard's (1969) situational theory centers on the leader alternating among directing, coaching, supporting, and delegating behaviors with each follower. Kouzes and Posner's (1995) Leadership Challenge model includes strategies used by a leader with followers such as inspiring a shared vision, encouraging the heart, or challenging the process. These models reveal a definition of leadership as behaviors and styles that an individual, usually in a formal position of leadership, uses on others.

Several scholars have explicitly defined leadership in this way. For example, Kellerman (1984) said that "(l)eadership is the process by which one individual consistently exerts more

impact than others on the nature and direction of group activity" (p. 70). Gardner (1990) stated that "(l)eadership is the process of persuasion and example by which an individual (or leadership team) induces a group to pursue objectives held by the leader or shared by the leader and his or her followers" (p. 1). Fiedler (1987) noted that "(l)eadership . . deals with the direction and supervision of subordinates . . . " (p. 3). Drath's (2001) first knowledge principle of leadership – personal dominance – is based on the idea that leadership is one person controlling others. Bass (1990) offered the following definition: "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" (pp. 19 & 20).

A third subcategory of leadership as a characteristic property of individuals includes definitions of leadership as a position that one holds or a role that one plays. Many researchers who do not overtly define leadership in their studies implicitly define leadership as the actions of an individual with a title or formal authority (e.g., president, team leader, manager, director). For example, most early leadership researchers who took a behavioral or styles approach studied leadership by studying the behaviors or others' perceptions of managers and formal team leaders (e.g., Blake & Mouton, 1964; Fleishman, 1953; Halpin and Winer, 1957; Hemphill and Coons, 1957; Katz, Maccoby, and Morse, 1950; Katz & Kahn, 1952; Katz, Maccoby, Gurin, and Floor, 1951). Essentially, researchers studied managers, supervisors, team leaders, and others with title or position, with the following mindset, "Let's see what they do and we'll call that leadership." Many of the most popular models of leadership used today defined and studied leadership in this way (e.g., Bass, 1985, 1990, 1996; Bass & Avolio, 1990, 1993, 1994; Bennis, 1989; Bennis & Nanus,1985; Hersey & Blanchard, 1969a, 1969b, 1982; Kouzes & Posner, 1995).

Leadership as a Process or a Relationship

There have been, particularly since the 1970s and 1980s, an increasing number of studies that conceptualize leadership as a process or a relationship. These definitions focus not on the attributes or behaviors of individuals, but on the interactions, mutual negotiations, and shared meaning making among or between people. They stress leadership, not the leader. This emphasis includes processes such as influencing, facilitating change, problem-solving, resolving conflict, decision-making, framing or reframing perceptions, and building dialogue.

Burns' (1978) notion of transforming leadership is included in this category. Burns described people elevating each other beyond individual goals and self-interest toward a shared commitment and merging of interests. Burns (1978) defined leadership as "not merely a property or activity of leaders but as a *relationship* between leaders and a multitude of followers in a great merging of motivations and purposes of both . . ." (p.30)

This conception is centered on leadership as a collaborative relational process. Also, Heiftez's (1998) five strategies for clarifying and integrating competing values focuses on leadership as a problem-solving process. Hollander (1993) said "(l)eadership is not something a leader possesses so much as a process involving followership" (p. 29). Yukl (2002) defined leadership as "the process of influencing others to understand and agree about what needs to be done and how it can be done effectively, and the process of facilitating individual and collective efforts to accomplish the shared objectives" (p. 7).

Drath's (2001) second and third knowledge principles of leadership – interpersonal influence and relational dialogue – fall into this definitional category. Pearce and Conger (2003) defined shared leadership as "a dynamic, interactive influence process among individuals in groups for which the objective is to lead one another to the achievement of group or

organizational goals or both" (p. 1). Covey (2004) states that the single most important act of leadership is finding one's "voice" and helping others to find theirs. A final example is Rost's (1991) definition: "Leadership is an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes" (p. 102).

Each definition features relationships and the processes of influence, problem-solving, and transformation among people as the essential elements. This set of definitions concentrates on these processes rather than the behaviors or characteristics of individuals. The next set of definitions often includes the idea of leadership as a process, however the emphasis is on the result or the outcome of that process.

Leadership as a Result or an Outcome

A third set of leadership definitions features goal achievement as a central element. These definitions often include elements from one or both of the categories presented above however a critical distinguishing component of the definition is the purpose or result – goal achievement. According to these definitions, if goals are not met, then leadership has not been successful. Examples include the following: Hersey and Blanchard (1988) defined leadership as "the process of influencing the activities of an individual or a group in efforts towards goal achievement in a given situation" (p. 86). Hackman and Johnson (2004) stated "(l)eadership is human (symbolic) communication, which modifies the attitudes and behaviors of others in order to meet shared group goals and needs" (p. 12). Northhouse (2001) said "(l)eadership is a process whereby an individual influences a group of individuals to achieve a common goal" (p. 3) Finally, Kouzes and Posner (1995) offered "the art of mobilizing others to want to struggle for shared aspirations" (p. 30). Although each of these examples includes either characteristic properties of individuals or processes and relationships as part of the definition, the pursuit of

goals or achievement of results is a crucial factor in determining whether or not the phenomenon is leadership.

Leadership as a Social Practice

Upon examining the linguistic properties of leadership and the linguistic intuitions about leadership revealed by scholars in the field through their research, I discern that leadership is the act of leading, not holding a title, role, or position nor possessing or acquiring particular traits or characteristics. Nobody leads by holding a position or possessing a trait. Characteristics and titles might encourage or support the practice of leadership, but they are not leadership in and of themselves. Qualities and roles are peripheral elements. Leadership is an action or practice that could be affected by traits or titles, but traits or titles are not leadership. Additionally, the actions of leadership are not necessarily for the purpose of goal achievement. There are occasions in which leadership is to speak out against goals, change the goals, or resist goal achievement. These actions might work against stated goals, yet still serve the interests of the group, organization, or community, thus, qualifying as leadership. Leadership cannot be confined to actions that result in goal achievement.

This narrows the definition to the definitional category of leadership as a process or relationship, and thus helps identify what not to include. However, still unanswered is the question posed earlier, “What makes ‘leadership’ leadership?” Leadership needs to be something more than a process or relationship of influence, otherwise there would not be a distinct word for the phenomenon. Upon analysis of the concept of leadership, as used by scholars and researchers in the field, the distinguishing properties that emerge are leadership as a symbolic practice in a social context that facilitates meeting the needs or interests of the people in that social context. Often this symbolic practice involves influence, yet even then it is influence in a particular

situation for a unique purpose. I arrive at the following as a result of this analysis: For all actions, the action is leadership or leading if and only if the act is intentionally securing action for community interests. Thus, leadership is defined here as a social strategy for securing action in service of interests claimed by or for a community.

The essential elements of this definition, based on an analysis of conceptualizations in the leadership literature, are the following: (1) Leadership is a social practice. It is an action performed intentionally with and among other people in a social system. Consequently, political, cultural, psychological, and power dynamics will be significant features of the context in which leadership is enacted. (2) The mechanism for producing this action is language and symbolic behavior. (3) The purpose for this social practice is to secure action in service of the overall interests claimed by or for the team, organization, group, or community. Leadership is not the pursuit of personal interests nor, necessarily, the achievement of specified goals for a particular stakeholder group. Activities such as these might be considered negotiation, management, or influence, but they do not count as leadership. The distinguishing characteristic of leadership is the attempt to secure action in service of interests claimed by or for a community.

I use the term 'community' in the definition to signify the group, team, organization, or institution in which leadership is occurring. This term is meant to convey the interconnectedness and shared interests of the people in the venue at stake and is based on definitions such as the following: "A community is a group of people who are socially interdependent, who participate together in discussion and decision making, and who share certain practices that both define the community and are nurtured by it" (Bellah, Madsen, Sullivan, Swidler, & Tipton, 1996, p.333; c.f., Cohen ,1985; McMillan & Chavis, 1986; Tönnies, 2004). I recognize that a community in the venue at stake will frequently have competing and conflicting interests. There will also be

interests that are expressed and revealed, while others will be implicit or hidden (Cervero & Wilson, 1994; Isaac, 1987). A key function of leadership is to recognize, reveal, or realize community interests and to facilitate reconciliation or prioritization of these interests as a step in securing action.

Leadership is a process that allows people to learn, understand, and make decisions for action that will serve the interests claimed by or for the larger community. Leadership is practiced by intentionally facilitating the discovery of collective interests, prioritizing and reconciling differences, deciding collaboratively how to pursue and develop interests, building commitment and inspiring motivation, and taking action to secure the resources and capabilities for pursuing those interests. These are social processes in which any and all members of a community who choose to do so might participate. The method of engagement is communicative practice. Communicative practices used for negotiation, deliberation, education, and social change (see e.g., Cervero & Wilson, 1994; Fisher & Ury, 1991; Frankel, 1977; Freire, 2003; Habermas, 1971) are relevant to the practice of leadership. This leads me to the next question: According to the vast amount of studies and research in the field of leadership, what core communicative practices emerge from the literature? Based upon my review of the leadership literature, I have already noted that no clear line of research studies leadership practice explicitly nor has practice been greatly elaborated upon in other areas of the literature.

Functional Categories of Leadership Practice

According to the above analysis of the concept, leadership ought to be explicable through a limited set of core communicative practices. These would be practices at the heart of every model or theory of leadership practice; practices used for instance to perform adaptive work (Heifetz, 1998), employ the elements of transformational leadership (Bass, 1985, 1990, 1996;

Bass & Avolio, 1990, 1993, 1994), implement the strategies of Kouzes & Posner's (1995) Leadership Challenge, engage in shared leadership (Pearce & Conger, 2003; Pearce & Sims, 2000, 2002), or use the styles of situational leadership (Hersey & Blanchard, 1969a, 1969b, 1982).. The core practices would serve as the foundational building blocks for the performance and development of leadership. The definition limits my exploration to theories and studies about leadership behaviors, actions, and practices and excludes those theories and studies of leadership traits, qualities, characteristics, and cognitive processes. I continue to rely on the leadership literature to derive these core practices. Four broad categories of communicative functions of leadership emerge from the literature (see Table 1): (1) Dialogue and Facilitate; (2) Inspire and Motivate; (3) Commit and Obligate; and (4) Create and Change Social Reality. Each function contributes, either directly or indirectly, to leadership by addressing, creating, or imposing attitudes, beliefs, or implications that facilitate or motivate action in service of interests claimed by or for a community. My primary interest is to discover how we fulfill those functions in order to achieve leadership. These functions will be broken down to the practice level later in this chapter. At this point, I will describe each functional category, citing examples from the leadership literature that support each function.

Dialogue and Facilitate

The functional category of leadership most prevalent in the literature includes behaviors that build dialogue for understanding and awareness, and facilitate learning, problem-solving and decision-making in service of interests claimed by or for a community. These include many of the influence and interpersonal behaviors that appear in the literature, as well as empowering and participative leadership strategies, such as Kouzes and Posner's (1995) practice categories of "challenge the process" and "enable others to act," or Hersey and Blanchard's (1969) leadership

styles of coaching and supporting, as well as House and Mitchell's (1974) supportive and participative types of leadership. Also falling into this area are three of Bass and Avolio's (1993, 1994, 2000) four components of transformational leadership: idealized influence, individualized consideration, and intellectual stimulation. Drath's (2001) principles of interpersonal influence and relational dialogue, as well as Greenleaf's (1977) listening, asking before telling, accepting, and empathizing with others, and Bennis and Nanus's (1985) meaning through communication also fit. Finally, the behaviors Heifetz (1994) identifies for adaptive leadership align with this set of practices: asking questions, challenging norms, clarifying and integrating differences.

Building dialogue and facilitating learning for understanding, awareness, and decision making contributes indirectly to leadership. The function of dialogue and facilitation addresses or creates beliefs or attitudes that imply other beliefs or attitudes that facilitate action in service of interests claimed by or for a community. So, as an individual learns, understands, or becomes aware of something new, his or her beliefs or attitudes shift. The change in belief or attitude influences decision making, problem solving, and, subsequently, action in service of interests claimed by or for a community.

Inspire and Motivate

A second functional set of leadership behaviors found in the literature centers on attempts to inspire and motivate others through vision, argument, and persuasive appeals in service of interests claimed by or for a community. This category represents a more overt attempt to influence and persuade and includes the intellectual stimulation and inspirational motivation components of transformational leadership (Bass & Avolio, 1993, 1994, 2000). The use of persuasive appeals and advocating a vision in charismatic leadership (Conger & Kanungo, 1987, 1989), as well as Kouzes and Posner's (1995) practice categories of "encourage the heart" and

"inspire a shared vision" also fall into this category. Other studies and models of leadership that emphasize the importance of visioning as a key inspirational leadership tool include Bennis and Nanus's (1985) attention through vision and Barry's (1991) envisioning. The function of inspiring and motivating contributes directly to leadership by cultivating or revealing an attitude or belief that moves others to act in service of interests claimed by or for a community.

Commit and Obligate

A third set of leadership functions indicated in the literature involves committing or obligating others or oneself to act in service of interests claimed by or for a community. More directive behaviors and classic management approaches are used to create an obligation in others, for example, directing and delegating (Hersey & Blanchard, 1969); direction (House & Mitchell, 1974); idealized influence (Bass & Avolio,1993, 1994, 2000); and setting direction (Drath, 2001). We can also obligate ourselves, thereby committing and building commitment in others. For instance, Kouzes and Posner (1995) talk about "modeling the way" and Drath (2001) emphasizes personal responsibility, as does Heifetz (1994) when he says that leaders take responsibility and initiative to serve their communities and organizations. Bennis and Nanus (1985) discuss the importance of deployment of self and trust through positioning. Conger and Kanungo (1987, 1989) suggest making personal sacrifices and taking personal risks to achieve the vision. Role modeling and putting actions behind words and promises are all methods of building a sense of commitment and obligation in self and others. Building commitment or obligation is a direct function of leadership that either nurtures or imposes beliefs and attitudes that motivate action in service of interests claimed by or for a community.

Create and Change Social Reality

A final broad category of leadership functions present in the literature features the use of symbolic behavior to create or change social or organizational reality. This can be achieved by relying on formal power or by assuming power that is not already granted institutionally. In both cases, attention is guided, meaning is articulated and shaped, and reality is interpreted. These symbolic actions and processes create and change social reality (see e.g., Drath, 2001; Gardner, 1995; Lambert, et al., 2002; Smircich & Morgan, 1982; Weick, 2001). Creating or changing social reality contributes indirectly to leadership by creating institutional facts or structures that address or make possible attitudes, beliefs, or implications that foster other beliefs and attitudes that facilitate action in service of interests claimed by or for a community.

Each of these functional categories needs to be broken down further to the practice level. How do we fulfill these functions? What actions are required? Based in part on the use of Searle's (1969, 1979; elaborated upon in the next chapter) five speech acts as a strong heuristic, a set of core practices emerges from these functional categories. These are reporting, inquiring, directing, pledging, advocating, envisioning, declaring, and constituting (see Figure 1). The core practices are four pairs of communication behaviors, one pair within each functional category. Each practice within each pair does something slightly different to achieve its function. These core practices should account for all acts of leadership. Each practice will be analyzed pragmatically, exemplified, and illustrated in leadership case scenarios. Additionally, I have identified empirical and humanistic theories and models that will serve to support and explain the performance of each practice.

Table 1

Functional Categories of Leadership Practice Derived from the Leadership Literature

Functional Category of Leadership Practice	Support from the Leadership Literature
Dialogue and Facilitate	Interpersonal influence and relational dialogue (Drath, 2001); challenge the process and enable others to act (Kouzes & Posner, 1995); coaching and supporting (Hersey & Blanchard, 1969); meaning through communication (Bennis & Nanus, 1985); idealized influence, individualized consideration, and intellectual stimulation (Bass & Avolio, 1993, 1994, 2000); supportive and participative (House & Mitchell, 1974); listening and asking before telling and by accepting and empathizing with others (Greenleaf, 1977); asking questions, challenging norms, clarifying and integrating differences for learning needed to do adaptive work (Heifetz, 1994)
Inspire and Motivate	Intellectual stimulation (Bass & Avolio, 1993, 1994, 2000); Using persuasive appeals (Conger & Kanungo, 1987, 1989); Inspire a shared vision, encourage the heart (Kouzes & Posner, 1995); inspirational motivation (Bass & Avolio, 1993, 1994, 2000); advocating a vision (Conger & Kanungo, 1987, 1989); attention through vision (Bennis & Nanus, 1985); envisioning (Barry, 1991)
Commit and Obligate	Directing & delegating (Hersey & Blanchard, 1969); direction (House & Mitchell, 1974); idealized influence (Bass & Avolio,1993, 1994, 2000); setting direction (Drath, 2001);Model the way (Kouzes & Posner, 1995); personal responsibility, (Drath, 2001); deployment of self and trust through positioning (Bennis & Nanus, 1985); making self-sacrifices and taking personal risks to achieve the vision (Conger & Kanungo,1987, 1989); take responsibility and initiative to serve our communities and organizations (Heifetz, 1994)
Create or Change Social Reality	Shared meaning making (Drath, 2001); sense making (Weick, 2001); constructivist leadership (Lambert, et al, 2002); leadership as the management of meaning (Smircich & Morgan, 1982); management as symbolic action (Pfeffer, 1981); organizational symbolism (Pondy, Frost, Morgan, & Dandridge, 1982); narrative (Gardner, 1995)

Figure 1 – Communicative Framework of Leadership Practice

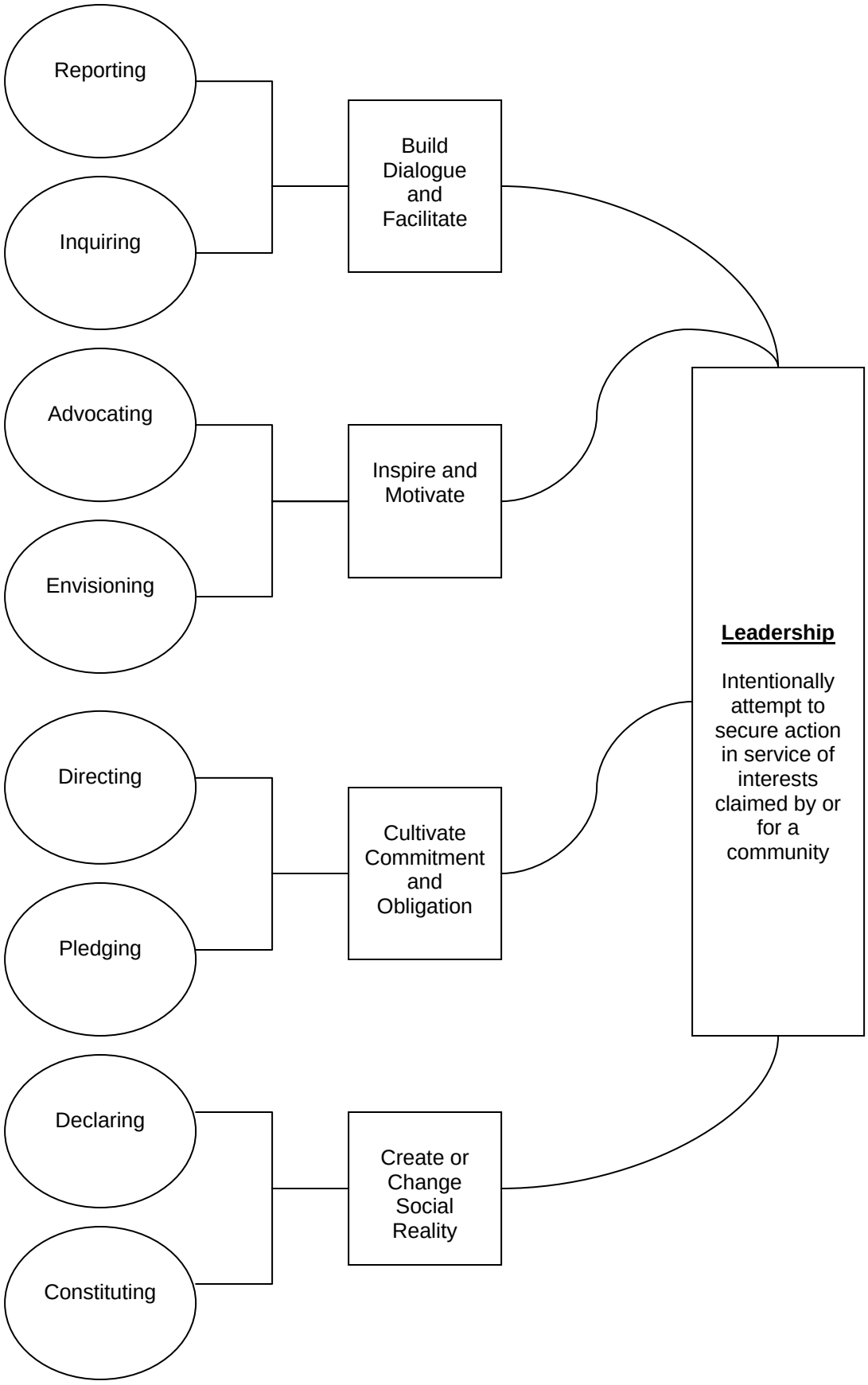
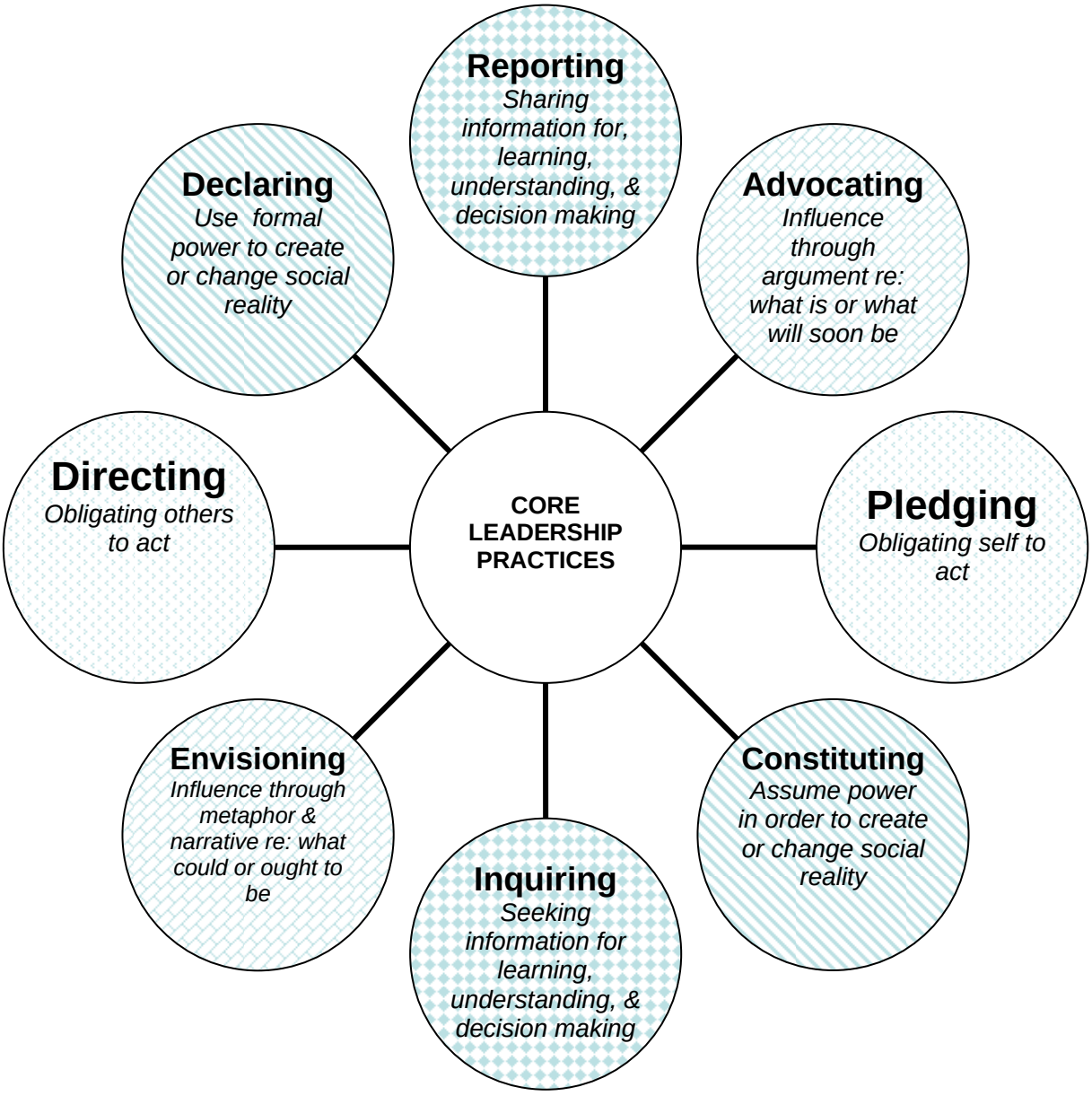


Figure 2

Model of Core Practices of Leadership

Leadership
a social strategy for securing action
in service of interests claimed by or for a community



Description of Core Leadership Practices

Reporting – Inquiring: Fostering Dialogue for Understanding and Facilitating Learning and Decision-Making for Action. The practices of reporting and inquiring foster dialogue for understanding, learning, and decision making for action in service of interests claimed by or for a community. Reporting offers information in an effort to be understood, whereas inquiring invites information in an effort to understand.

Reporting builds dialogue by sharing information. This practice contributes to understanding, learning, and decision making that encourages or supports action in service of interests claimed by or for a community. The practice of reporting includes communication behaviors such as framing a problem, pointing out an issue, sharing observations, offering feedback, reporting perceptions, feelings, facts, and intentions, as well as conveying information and stating a position.

Inquiring builds dialogue by seeking information. This practice contributes to understanding, learning, and decision making that encourages or supports action in service of community interests. The practice of inquiring uses communication behaviors such as posing questions, seeking input, inviting information, and probing for understanding. Inquiring can demonstrate respect and interest, build dialogue and discussion, clarify an understanding, or encourage a group to reason through alternatives, make a decision, or plan a course of action. Seeking input and responding to inquiries can also build commitment and buy-in toward certain actions or positions by creating a sense of ownership or empowerment.

Advocating – Envisioning: Inspiring and Motivating Action. The function of the practices of advocating and envisioning is to inspire and motivate action in service of interests claimed by or for a community. Advocating includes influence attempts related to what is or

what will soon be, whereas envisioning includes influence attempts related to what should or ought to be.

Advocating is a set of communication behaviors aimed at inspiring or influencing others to take action in service of community interests. Advocating can include arguing for a particular course of action, prompting the team to make a decision or come to closure, or advocating to others on behalf of the team or organization. The practice of advocating uses message-based persuasion, relying on argument and reason, mainly concerning external facts and information.

Envisioning is a set of communication behaviors that cultivates identification and motivation to act in service of community interests. Envisioning includes conveying hopes, wishes, stories, and images about what could or ought to be. These visions can inspire others to act. The practice of envisioning is more expressive than the practice of advocating. It relies on internal or personal ideas, perceptions, and feelings and is often conveyed through metaphor and narrative.

Directing – Pledging: Building Commitment and Obligation to Act. The practices of directing and pledging build commitment or obligation for action in service of interests claimed by or for a community. Directing obligates others to act. We obligate ourselves to act by pledging.

Directing builds commitment to act by creating a sense of obligation or a desire in others to serve interests claimed by or for a community. The practice of directing uses communication behaviors such as recommending, advising, suggesting, commanding, ordering, inviting, making a request, and stating a need or desire.

Pledging builds commitment to act by obligating oneself to work toward interests claimed by or for a community. The ultimate result is to build respect, trust, and credibility that

will increase the inspiration, motivation, and commitment of others. Communication behaviors include promising, publicly committing, following through on verbal commitments via actions, and intentionally modeling behavior as a way to demonstrate commitment. The practice of pledging and following through with actions is an opportunity to demonstrate sincerity, integrity, and competence. These are the building blocks for credibility and authenticity.

Declaring – Constituting: Using Language to Create and Change Social Reality. The function of the practices of declaring and constituting is the use of symbolic behavior to create and change social and institutional reality that enables and supports action in service of interests claimed by or for a community. Declaring relies on formal power and pre-existing institutional structure to create and change social reality. Constituting assumes power without pre-existing institutional structure to create and change social reality.

An individual must be empowered by an institution or organization in order to effectively engage in the practice of declaring. Examples include proclamations such as "With this ribbon-cutting I officially open our university's new school of business" or "This group of people is appointed as our Safety Task Force responsible for examining this issue" or "I hereby promote you to vice president of finance." Stating it or naming it is what makes it so. However, unless the person making the declaration is authorized by the organization to take that action the declaration does not establish or alter social reality. For instance, if an undergraduate history major stated, "With this ribbon-cutting I officially open our university's new school of business," that does not make it so. If an administrative assistant said, "This group of people is appointed as our Safety Task Force responsible for examining this issue," that would not enact the task force, unless the assistant had been empowered to do so through delegation. An organizational

employee would not be promoted if a member of the janitorial staff sent a memo to him or her reading, “I hereby promote you to vice president of finance.”

Constituting, on the other hand, assumes power through the use of language to create or change institutional facts or social reality to enable action in service of interests claimed by or for a community. This practice is not dependent upon pre-existing institutional structure or formal power. For instance, Nannie Helen Burroughs, at the age of 21, addressed the National Baptist Convention in 1900. Her speech, entitled “How the Sisters are Hindered from Helping” established the Women’s Convention Auxiliary, which grew into the largest black women’s organization in the United States. Burroughs did not have formal or positional power. No pre-existing structure authorized her. The Auxiliary was created by her language. It was constituted through her symbolic behavior. A less dramatic example is when a professional announces, “I am a consultant.” That individual is not empowered or authorized by an institution or a source of formal power. Merely stating “I am a consultant providing the following services . . .” creates the reality of the professional practice.

All but one of these eight core practices can be implemented without formal authority. Many emerge collaboratively within a group or organization. As I will demonstrate in the next level of analysis, they are the fundamental acts that influence, inspire, or empower others to act. All other leadership behaviors fall within or stem from one of these eight core practices (see Table 2). These are the essential behaviors for initiating and engaging in leadership processes.

Table 2

Description of Core Leadership Practices

Function	Core Leadership Practice	Communicative Behavior Examples
Foster ***dialogue for understanding and facilitate decision*** for action in service of interests claimed by a community	**Report** Offer information in an effort to be understood	Framing a problem; Pointing out an issue; Sharing observations; Offering feedback; Reporting perceptions, feelings, facts, and intentions; Conveying information; Stating a position
	Inquire Invite information in an effort to understand	Posing questions; Seeking input; Inviting information; Probing for understanding.
Inspire, support, and motivate for action in service of interests claimed by a community	**Advocate** Attempt to influence related to what is or what will soon be; mainly argument and reason concerning external facts and information	Arguing for a particular course of action; Prompting the team to make a decision or come to closure; Advocating to others on behalf of the team or organization
	Envision Attempt to influence related to what should or ought to be; mainly expressive concerning personal perceptions and feelings	Conveying, discovering, or revealing hopes, wishes, stories, and images about what could or ought to be

Function	Core Leadership Practice	Communicative Behavior Examples
Build ***commitment or obligation*** for action in service of interests claimed by a community	**Direct** Obligate others to act	Recommending; Advising; Suggesting Commanding; Ordering; Inviting; Making a request; Stating a need or desire.
	Pledge Obligate self to act	Promising; Publicly committing; Following through on verbal commitments via actions; Intentionally modeling behavior as a way to demonstrate commitment.
Use language to ***create and change social and organizational reality*** enabling action in service of interests claimed by a community	**Declare** Rely on formal power to create or change social or institutional reality	A statement or proclamation made by an individual empowered by an institution that creates social reality
	Constitute Assume power in order to create or change social or institutional reality	A statement or proclamation that is not dependent upon pre-existing institutional structure or formal power that creates social reality

Summary

The leadership functions and practices arrived at in this model are supported by the literature and exhaust all communicative practices of leadership covered by that research. The set of core practices also incorporates items that have not been included previously in other leadership models. These core practices are designed to account for all communicative acts of leadership. However, further analysis is required to discern whether or not the model offers a thorough and accurate set of core practices essential to leadership and to suggest how those practices could be implemented and developed.

Each core practice is subject to analysis as a speech activity because it is embodied in or performed through discourse and symbolic behavior. A pragmatic analysis will demonstrate how these practices are successfully performed and how they fulfill the function of leadership.

Taking the analysis of the definition of leadership one step further, we arrive at the following: for all actions the action is a social strategy for intentionally securing action in service of interests claimed by or for a community if and only if the action is reporting, inquiring, advocating, envisioning, directing, pledging, declaring, or constituting. The pragmatic analysis conducted in the next chapter will take the analysis through a third level by analyzing the constituents of those constituents (e.g., For all actions, the action is reporting if and only if . . . For all actions, the action is inquiring if . . .) to break the concept of leadership down from the conceptual level to the properties, practices, and activities. This analysis will be rooted in empirical and scholarly findings of leadership studies. Pragmatic analysis will also help to explicate the linguistic norms and conventions for using each core leadership practice.

CHAPTER IV: THE PRAGMATICS OF LEADERSHIP

In the previous two chapters I investigated the leadership literature and argued that a systematic theory of leadership practice is currently lacking and badly needed. I then provided a philosophical analysis of 'leadership' as a heuristic for the development of a systematic theory. The conclusion of this philosophical analysis was that leadership is an intentional social strategy for securing action in service of interests claimed by or for a community (hereafter, "community interests").

In light of this conclusion, I analyzed the leadership literature more deeply and found that it supported four functions of leadership: (1) dialogue and facilitation for learning and understanding for action in service of community interests; (2) commitment and obligation to act in service of community interests; (3) inspiration and motivation to act in service of community interests; (4) creation or change of social reality to secure action in service of community interests. Each function is fulfilled through a pair of core practices: (1) reporting offers information for dialogue and facilitation, whereas inquiring seeks information for dialogue and facilitation; (2) directing seeks commitment from others, whereas pledging obligates self; (3) advocating attempts to motivate through reason and external facts about what is or what soon will be, whereas envisioning attempts to inspire others through expression and personal appeals about what could or ought to be; (4) declaring uses institutional power to create or change social reality, whereas constituting assumes power to create or change social reality. All of these core leadership practices are communicative in nature.

In this chapter I first clarify a link between leadership and communication and delineate how I arrived at speech act theory as a starting point for a pragmatic analysis of core leadership practices. Second, I offer an overview of speech act theory and a description of the elements of

pragmatic analysis that I employ in my account of core leadership practices. Third, I provide a pragmatic analysis of each core leadership practice, illustrating each practice with an example, which I lay out according to the conditions of pragmatic analysis.

Leadership and Communication

The core leadership practices of the framework I am building are communicative in nature. The sort of communication theory best suited to this framework is one based on intended meanings recognized by others in a social setting that are designed to result in action that serves interests claimed by or for a community. The general process for practicing leadership includes the following: A person has an idea of what would serve the interests of a community. That individual frames a message designed to be understood by a community and designed to result in action toward serving the interests claimed by or for a community. There are two levels of intentionality in this social process. The first is the intention to be understood. The second intention is to secure action in service of community interests.

Worth and Gross (1974) defined communication as "a social process within a context, in which signs are produced and transmitted, perceived, and treated as messages from which meaning can be inferred" (p. 30). They clarify that "meaning is not inherent with the sign itself, but rather in the social context, whose conventions and rules dictate the articulatory and interpretive strategies to be invoked by producers and interpreters of symbolic forms" (p. 30). This notion of communication is consonant with the theory of leadership practice I describe. Communication is more than making meaning or sense out of something. For instance, if I look at dark gray clouds in the sky and infer that it is likely to rain, I am not communicating, though I am attributing meaning. Leadership, like communication, is an intentional behavior in a social context. It involves the intentionality of being understood and of understanding, as well as the

recognition of intention in others and by others. Worth and Gross, however, do not explain how the rules and conventions work nor what the rules are. Searle's (1969, 1979) speech act theory and analysis of speech acts performs both of these functions.

According to Searle (1969, 1979, 1998) communication occurs when a hearer recognizes the intended meaning of a speaker and thus understands what the speaker is saying. Searle's speech act theory provides a framework and explanation for how meaning is produced symbolically. Searle described and analyzed single utterances at the sentence level. I will extend his elements of analysis to longer series of speech acts and larger discourses and perform a pragmatic analysis of core leadership practices.

I choose pragmatics and speech act theory because of the premise that speech is a form of symbolic action that must be understood in terms of the intentions of the agents. Leadership is a particular type of intentional act constituted by our symbolic communicative behavior. Speech act theory seems an ideal match and, to my knowledge, an original application for studying the practice of leadership.

Speech Act Theory and Pragmatic Analysis: An Overview

I offer in this chapter what I call a pragmatic analysis of core leadership practices. This terminology is meant to reflect the connection of my analyses to the field of pragmatics, which is one of three areas of study in linguistics, the other two being semantics and syntactics. Generally, semantics is the study of the relation between expressions and what they signify, syntactics is the study of the formal relations between expressions, and pragmatics is the study of the relation of expressions to the language user (see Levinson, 1983, p. 1-5). Pragmatics, then, is a general theory of language usage, and it is concerned with competence and performance of language in appropriate contexts (Levinson, 1983, p. 24-25).

One of the central issues in pragmatics is speech act theory, and this issue is shared by linguists and philosophers (Levinson, 1983, p. 226). The inspiration for my pragmatic analysis of core leadership practices is the speech act theory of the philosopher John Searle (1969, 1979). The basic premise is that words do not just describe or state, rather they perform and construct. That is, we do things with words. Searle provided a framework designed to account for all speech acts. Searle builds his speech act theory on the premise that speaking a language is engaging in a highly complex form of rule-governed behavior. Accordingly, his theory is both a theory of language and a theory of action (Searle, 1969, p. 17). Within Searle's theory the minimum unit of linguistic (or symbolic) communication is a speech act, more particularly an illocution. Illocutions are individual utterances at the sentence level that perform actions of five general types: assertives – an expression of a belief about the world (e.g., statements); expressives – a statement about self or personal feelings (e.g., congratulations); directives – an attempt to commit another to act (e.g., orders); commissives – a commitment by the speaker to act (e.g., promises); and declarations – an attempt to bring about a change in the world by representing it as having been changed (e.g., official judgments) (Searle, 1979, p. 12-20).

According to Searle (1969), the rules that govern illocutions are constitutive in that they make possible conventional actions that would be impossible apart from the rules. Thus, for Searle, it would be impossible to commit a promise without following the constitutive rules for promising. According to Searle, everyone in a linguistic community shares the constitutive rules govern illocutions. Because of these common rules, everyone knows how to commit illocutions as well as how to recognize what illocutions are being committed. Consistent with Searle's view, speakers make utterances that follow constitutive rules intending that they be recognized as certain action governed by the rules, and audiences recognize what actions are being performed

by interpreting the speaker's utterances with reference to the same constitutive rules. Searle would say that the procedure of applying constitutive rules in communication is so routine that we hardly notice our recourse to the rules.

Of course, given Searle's reliance on constitutive rules, he makes an effort to characterize them. He proposes the general form for such rules as follows: *X* counts as *Y* in context *C* (Searle, 1969, p. 35). In this formula *X* stands for uttering certain words, *Y* stands for the particular speech act performed, and *C* stands for the circumstances appropriate to *Y*. Searle's attempts to offer particular descriptions of constitutive rules arise in his specification of the conditions for particular illocutions, e.g., promising. Among the conditions, he identifies the propositional content conditions (related to *X* in the formula), the external and psychological circumstances appropriate to the illocution (preparatory and sincerity conditions, which relate to *C* in the formula), and the essential conditions (related to the connection between *X* and *Y*) (see Searle, 1969, p. 66). In Searle's view, issuing an utterance that meets these conditions (along with some more basic rules for making linguistic utterances) counts as performing the illocution or speech act.

On analogy with Searle's specifications of conditions for illocutions, I construct my pragmatic analyses of core leadership practices. The most basic justification for this procedure arises in chapter 3 where I argue that each of the core practices is communicative in nature. Thus, just as Searle analyzes communication acts with reference to conditions for their performance, in this chapter I analyze communication activities with reference to conditions for their performance. However, my analyses are not exactly like Searle's because the communication acts that Searle analyzes involve illocutions at the sentence level, whereas the core leadership practices I am analyzing frequently involve complex sequences of illocutions.

The technical term given to such sequences is 'speech activities,' and there has not been much scholarship that has addressed speech activities from a theoretical point of view. Fotion (1971, 1979) raised the issue of speech activities and briefly elaborated on the concept. Fotion (2000, 2003) recently returned to speech activities, describing the relationship between speech activity theory and the theory of illocutions:

> Macro level analyses of speech activity supplements rather than replaces Searlean speech act analysis. The two go hand in hand such that it is fair to say that Searle's theory of language does not suffer from deficiencies as language use moves from speech acts to speech activity (Fotion, 2000, p. 64).

Van Eemeren (2002), van Eemeren & Grootendorst (1990, 1992, 2002, 2004) and van Eemeren, Grootendorst, Jackson, & Jacobs (1993) applied speech act theory to the development of a pragma-dialectical approach to argumentation and provided a pragmatic analysis of this speech activity. The only systematic attempt to offer a pragmatic analysis of speech activity – fo far as I know – is the analysis of "pro-argumentation" offered by van Eemeren, Grootendorst, Jackson, and Jacobs (1993, p. 4-5). I used this analysis as a kind of model for my pragmatic analyses of the core leadership practices is structured by an account of four sets of conditions identified by Searle (1969) – propositional content, preparatory, sincerity, and essential conditions. The result is a detailed, distinctive set of conditions for performing the core leadership practices of reporting, inquiring, directing, pledging, advocating, envisioning, declaring, and constituting.

What value does this sort of analysis provide? The pragmatic analyses I perform based on speech act theory uncover the norms that govern the use and performance of each core leadership practice. Therefore, considered as a set, the analyses of core leadership practices

explain what it means to perform the acts that constitute leadership. If the intention is to study, measure, or develop these practices, then I believe that we must first identify what constitutes reporting, inquiring, advocating, envisioning, directing, pledging, constituting, and declaring. It is only once we have established what "counts" as performing these practices that we can begin to theorize when, where, how, and by whom particular leadership practices are appropriate. By explicating and laying out the constitutive rules side-by-side (or one after the other) we are able to see the distinctions among the practices and how each practice operates as a separate speech activity. In my view, this step must be taken before we can begin putting together the framework as a whole or applying the core leadership practices through case scenarios, and definitely before we can consider possibilities for developing leadership practice.

Searle's Conditions for Analysis of Speech Acts

As mentioned earlier, Searle's (1969) analysis of speech acts takes as its starting point this formula: *x* counts as *y* in context *c*. A set of symbolic behaviors (*x*) counts as a speech act (*y*) in a context of utterance (*c*) or display. He identified four elements for analysis and exemplified each element through the illocutionary act of promising, as well as other speech acts. These elements of analysis allow for social, cultural, and linguistic differences and recognize that every utterance occurs in a context. The four elements are: (1) propositional content conditions; (2) preparatory conditions; (3) sincerity conditions; and (4) essential conditions. Basically, the symbolic action 'qualifies' or counts as the specified speech act when it meets these four sets of conditions. Searle couples with these rules some assumptions that pertain to the rules as conditions. The assumption underlying all of these elements of analysis is that the basic conditions for intelligible speaking and understanding are met. For example, the participants know how to speak the same language; all are conscious of what they are doing; they are not

acting in a play or telling a joke; and there are no physical impediments to communication. Next, I will describe each set of conditions and provide an example from Searle using the speech act of promising.

Propositional content conditions isolate the proposition from the rest of the speech activity and indicate what the speech activity and its elements are about. Searle (1969) pointed out that "(i)n a promise an act must be predicated of the speaker and it cannot be a past act" (p. 57). In other words, promising occurs when a speaker predicates an expression that he or she will perform a future act if *x*. One cannot promise to have done something nor promise that someone else will do something. The propositional content conditions of the act of promising is a future act of the speaker.

Preparatory conditions are required in order for the activity to make sense. For instance, preparatory conditions of promising include: (a) that it is not obvious to the speaker and listener that the speaker is already going to fulfill the promise in the normal course of events, and (b) that the listener would prefer the speaker to fulfill the promise rather than to not fulfill the promise and that the speaker believes that the listener would prefer this. In other words, it is not a promise for a university professor to say to a student in her class "I promise to give you a grade for this course." This is something to which the professor is already obligated and intends to do anyway. It is not a promise for a parent to say to a child "I promise to take away all of your toys if you do not pick them up." This latter statement is a threat to do something the child does not want to be done. A promise is a pledge to do something that someone wants to be done.

S*incerity conditions* are required for the activity to be authentic. These conditions address the psychological conditions of the speaker that are required for that act or activity. For promising, the speaker must intend to fulfill the promise and must believe that it is possible for

him or her to fulfill the promise. Revising the condition that the speaker actually has the intention of doing *x* to the condition that the speaker takes responsibility for intending to do *x* is a way of modifying the conditions for an insincere promise.

Finally, *essential conditions* distinguish the activity from other activities. The essential conditions describe what the activity "counts as" and describe the purpose of the activity. Continuing with the example of promising, essential features include: the speaker intends that the utterance will put him or her under an obligation; the speaker intends for the listener to understand that the speaker is putting him or her self under an obligation.

Each element of analysis is put together as a set of rules or guidelines for performing each activity. This form of analysis helps to explain and analyze each speech act/activity by explicating tacit rules and conventions. It also provides information about how to perform each activity. Based on analogy, pragmatic analysis of each core leadership practice, presented in the next section, will offer a description and an explanation of the conditions for performing each practice.

Pragmatic Analysis of Core Leadership Practices

In this section I perform a pragmatic analysis of each core leadership practice. I pair each pragmatic analysis with an example that instantiates the conditions set down for that analysis. The examples are not offered as a way to test or validate the theory. Rather the examples illustrate what would constitute an instance of that particular core leadership practice. These are isolated, but identifiable, speech acts or speech activities that occur in larger more complex discourses. It is useful to keep in mind the following distinctions: speech acts are single utterances or symbolic behaviors at the sentence level; speech activities are sequences of speech acts strung together; discourse is a much larger, complex constellation of symbolic interactions.

Core leadership practices can be speech acts or speech activities that occur within the context of a larger discourse. Within my discussion of examples, I do not mean to suggest that the selected instances of leadership behaviors are the only leadership behaviors that occur in the discourses from which the examples are drawn. Neither is it my intention to present the examples as ideal models. Rather, I am offering a single instance of an actual event as an example of each condition that constitutes each core leadership practice.

I have sought publicized instances with which many people will be familiar or to which transcripts could be accessed. For this reason, most of the examples include prominent leaders, often in formal positions of authority. This is not meant to imply that core leadership practices are not performed by others in smaller, quieter ways on a daily basis. Such instances will be included in the practice-based leadership scenarios in the next chapter.

I offer characterizations of each leadership practice according to the conditions described in the previous section – propositional content conditions; preparatory conditions, sincerity conditions, and essential conditions – and as delineated below. I also add a set of prudential rules at the end of the chapter that serves as a guide for analyzing under what circumstances each practice would be most useful or most likely to assist. Any practitioner can arrive at a prudential rule for any speech act/activity by combining the essential conditions with the propositional content conditions.

Core leadership practices, as I have described, are discrete behaviors. However, they can be and often are used together sequentially in various combinations. For instance, the practices of reporting and inquiring are often used together and are likely to be followed by the practices of advocating or envisioning or by the practices of directing or pledging. However, even when they are strung together or used in some combination as part of a larger discourse, they are still

distinct activities that stand alone. Additionally, each practice is often used in service of another practice. For example, one might practice reporting in service of advocating by sharing information to build dialogue and understanding that is subsequently used as the basis for arguing for a certain direction. In this case, reporting and advocating are still separate activities and one must, as with all speech activities, consider the context and function of the activity (*x* counts as *y* in context *c*). In any case, each practice can be performed independently and operates differently in leading, even when used sequentially. Furthermore, all eight practices are not required to operate in all situations in order for leadership to occur. In fact, leadership could occur when only one practice is performed. The following analyses are meant to explicate the core leadership practices – reporting, inquiring, advocating, envisioning, directing, pledging, declaring, and constituting – and provide clear distinctions among them.

Reporting

The leadership function of reporting fosters dialogue for understanding and decision for action in service of community interests. Reporting serves this function by offering information of two sorts. On some occasions this information involves assertion of external facts. On other occasions, this information involves an expression of internal feelings or impressions.

1. *Propositional content conditions* (indicating what the speech activity is about):

   Speaker (*S*) offers information that is pertinent to community interests to listener(s) (*L*). This information involves either an assertion of external facts or an expression of internal feelings or impressions.

2. *Preparatory conditions* (required for the activity to make sense):

   a. *S* must have standing with *L* in the venue at stake in the community.

b. In the case of an assertion of external facts, *S* has evidence for (or reason to believe) the truth of the external facts offered in relation to a matter of community interest.

c. In the case of an expression of personal feelings or impressions, *S* experiences the feelings or impressions conveyed concerning a matter of community interest.

d. The information shared with *L* is pertinent to community interests.

e. It is not obvious to both *S* and *L* that *L* has the information offered by *S*.

3. *Sincerity conditions* (required for the activity to be authentic):

a. *S* takes responsibility for believing the facts or experiencing the feelings and impressions conveyed to *L*.

b. *S* takes responsibility for believing that the information shared is pertinent to community interests.

4. *Essential conditions* (those that distinguish the activity from others):

Offering this information counts as an attempt to create understanding and dialogue for decision and action in service of community interests.

Senate Democratic Policy Committee Oversight Hearing on Waste, Fraud, and Abuse in U.S. Government Contracting in Iraq: An Example of Reporting

Reporting includes communicative activities such as giving feedback, sharing observations or perceptions, and conveying information. One example would include the reports given during a Senate Democratic Policy Committee Oversight Hearing on Waste, Fraud, and Abuse in U.S. Government Contracting in Iraq (2005). The general purpose of this type of committee hearing is to seek input and understanding for the development of policies and an agenda. The specific objective of this hearing was to determine whether or not taxpayer funds

were used appropriately and, based on the resulting insight and learning, to make decisions and recommendations. This is an instance of reporting in which external facts are asserted, rather than personal feelings or impressions, for the purpose of facilitating action in service of community interests.

Propositional Content Conditions. In this example, the results of dozens of inspector general reports and the testimony of three eye-witnesses were presented to the Committee asserting that there was fraud, waste, and abuse. These assertions were pertinent to community interests. For instance:

> . . . the Bush administration lavished over $100 million in contracts on Custer Battles . . . One was to provide security inspection for civilian flights at Baghdad International Airport. Of course, there were no civilian flights at Baghdad International Airport. The Bush administration paid Custer Battles anyway. While at the airport, Custer Battles found some abandoned Iraqi Airways forklifts. They painted these over to hide the Iraqi Airways markings and then billed them to the government under a different contract.
>
> (http://democrats.senate.gov/dpc/hearings/hearing19/transcript.pdf, 2005, p. 18)

Preparatory Conditions. The truthfulness of the facts asserted in the reports and testimony was supported by evidence. For example, "One of them accidentally left a Custer Battles spreadsheet on the table . . . This spreadsheet was documentary evidence of over $6 million in fraud against the government." (http://democrats.senate.gov/dpc/hearings/ hearing19/ transcript.pdf, 2005, p. 19) The reporting during the hearing was pertinent to community interests, namely fraud and abuse of the use of taxpayer dollars for which the Bush Administration was accountable. Finally, it was not already evident that this information was

known and available. The purpose of the hearing was to elicit and make sense of the information so that decisions could be made and actions could be taken.

Sincerity Conditions. The sincerity conditions are met because the *speakers*, in this case the inspector generals and those giving testimony, took responsibility for believing the truth of what they reported and for believing that the information was pertinent to community interests, as shown in this instance: "The point is, there's a lot happening here that ought to be the subject of aggressive oversight hearings to figure out who's minding the store. And that's the purpose of these hearings." (http://democrats.senate.gov/dpc/hearings/ hearing19/ transcript.pdf, 2005, p. 8)

Essential Conditions. The information reported during the course of this hearing counted as an attempt to create dialogue and understanding about what happened surrounding the use of contracting funds in Iraq. This understanding was meant to serve as input for decisions about future action in service of interests claimed by or for the Senate and the United States government, thus qualifying as leadership.

Inquiring

The leadership function of inquiring fosters dialogue for understanding and decision for action in service of community interests. Inquiring serves this function by seeking information in an effort to create understanding. Asking questions engages people, facilitates the exchange of ideas, invites listening, and encourages people to reflect and challenge assumptions. This sort of interaction results in learning, insight, and awareness that enables decision-making and action in service of community interests.

1. *Propositional content conditions*:

Speaker (*S*) seeks information from listener(s) (*L*) that is pertinent to community interests.

2. *Preparatory conditions*:

   a. *S* must have standing with *L* in the venue at stake in the community.

   b. S believes the information sought is pertinent to community interests.

   c. *S* believes the information sought will facilitate understanding.

   d. It is not obvious to both *S* and *L* that *L* will provide the information at that time without being asked or invited.

   e. *S* believes that *L* has or can obtain the information that is sought.

3. *Sincerity conditions*:

S takes responsibility for wanting *L* to provide the information sought.

4. *Essential conditions*:

Seeking this information counts as an attempt to create understanding and dialogue for decision and action in service of community interests.

The Tower Commission's Review of the Iran-Contra Affair: An Example of Inquiring

Inquiring includes communicative activities such as posing a question, seeking information, or inviting input. In 1986, U.S. President Ronald Reagan commissioned a Special Review Board to inquire into events related to the Iran-Contra Affair – the sale of weapons to Iran in exchange for the release of hostages with the proceeds of the sales being sent to the U.S.-backed Contra rebels in Nicaragua. The board was headed by Senator John Tower and became known as the Tower Commission. Their report was issued in 1987. I will use elements of this report to illustrate the rules and conditions that constitute the core leadership practice of inquiring.

Propositional Content Conditions. The board sought information to understand how well the National Security Council operated and served its stakeholders. This is demonstrated in several sections of the report, including the following:

> The President directed the board to examine the proper role of the National Security Council staff in national security operations, including the arms transfers to Iran . . .We sought to learn how well. . .the system had operated or, in the case of past Presidents, how well it served them. We asked all former participants how they would change the system to make it more useful to the President (Tower Commission Report, 1987).

This shows how the Tower Commission met the propositional content conditions for the core leadership practice of inquiring. The board sought information pertinent to community interests.

Preparatory Conditions. It was not obvious that the information sought by the board would be shared without this inquiry. A special board commissioned by the President of the United States was necessary to elicit this information. The board believed that the information sought was both pertinent to community interests and would facilitate learning, insight, and understanding. The board also believed, as evidenced in the quote below, that those they consulted had or could obtain the information sought.

> (The board) . . .contacted every living past President, three former Vice Presidents, and every living Secretary of State, Secretary of Defense, national security adviser, most Directors of Central Intelligence, and several chairmen of the Joint Chiefs of Staff to solicit their views (Tower Commission Report, 1987).

Sincerity Conditions. The board took responsibility for both believing that the information sought was pertinent to community interests and that those being asked to provide information had it or could obtain it.

Essential Conditions. The actions of the Tower Commission counted as an attempt to learn and understand by seeking information that could be used as input for decision and action in service of community interests. The Tower Commission report was one of the first official confirmations of the "arms-for-hostages deal." The inquiry shed light on the details and occurrences of the Iran/Contra affair, and immediately preceded the appointment of Independent Counsel and Congressional hearings into the matter.

Advocating

The leadership function of advocating inspires and motivates action in service of community interests. Advocating serves this function through influence attempts related to what is or what will soon be. This is mainly achieved through argument and reasoning concerning external facts and information.

1. *Propositional content conditions*:
    a. Speaker (*S)* expresses a position (*P*) pertinent to interests claimed by or for a community concerning a future act (*A*) of listener(s) (*L).*
    b. *S* expresses a constellation of propositions pertinent to *P*.
2. P*reparatory conditions*:
    a. *S* must have standing to offer advice to *L* in the venue at stake in the community.
    b. It is not obvious to both *S* and *L* that *L* will do *A* in the normal course of events.
    c. *S* believes that *L* will accept the propositions expressed as reasons for doing *A.*

d. *S* believes that either the propositions expressed are not obvious to *L*, or constitute a justification of *P* that is not obvious to *L*, or both.

3. *Sincerity conditions*:

a. *S* takes responsibility for believing that *L* doing *A* is beneficial to the interests claimed by or for a community.

b. *S* takes responsibility for believing that the propositions expressed are acceptable to *L*.

c. *S* takes responsibility for believing that the propositions expressed constitute reasons for *L* doing *A.*

4. *Essential conditions*:

Advancing the position and constellation of propositions counts as an attempt by *S* to inspire or motivate *L* to do *A*.

Congresswoman Barbara Jordan's Statement to the House Judiciary Committee on the Impeachment of Richard Nixon: An Example of Advocating

Advocating includes communicative activities such as arguing for a particular course of action or prompting a group to make a decision. Congresswoman Barbara Jordan's (1974) statement to the House Judiciary Committee on the impeachment of Richard Nixon is an example of the core leadership practice of advocating. Her statement addressed the question of impeachability and whether or not the committee could or should proceed with the impeachment process. Jordan addressed a crucial problem: she defined a standard for "high crimes and misdemeanors." This is a case where a junior member of Congress was merely taking her turn among others to offer a statement to the Committee. She was not appointed to deliver the opening statement, she simply participated in the process and contributed solid leadership by

helping to define ‘high crimes and misdemeanors’ and build the case for impeachment proceedings.

Propositional Content Conditions. Congresswoman Jordan neatly juxtaposed impeachment criteria, from the United States Constitution, the Federalist Papers, and other founding and historical documents, with known actions of Richard Nixon to advocate that the committee could and should proceed with impeachment hearings. This meets the propositional content conditions of expressing a position pertinent to community interests concerning a future act of the listeners and of expressing a constellation of propositions pertinent to the position. Jordan’s argument was that the Bill of Impeachment should be approved by the Judiciary Committee based on the position that Nixon had committed impeachable offenses. This position was argued for based on uncontroversial facts and relevant standards for impeachment drawn from legal authorities.

Preparatory Conditions. As a member of Congress, Barbara Jordan had standing in the House Judiciary Committee to offer advice. The committee members were grappling with the decision about whether or not to recommend impeachment, so it was not obvious that the committee was going to take the course of action being advocated. Congresswoman Jordan expressed reasons and propositions that she believed would be acceptable, were not already obvious, and would justify the position to the committee members.

Sincerity Conditions. Congresswoman Jordan took responsibility for believing that recommending impeachment would serve the interests claimed by or for the House Judiciary Committee and the people of the United States. She also took responsibility for believing that the propositions expressed were acceptable to the committee members and justified the action she was advocating.

Essential Conditions. Congresswoman Jordan's argument on behalf of impeachment of Richard Nixon counted as an attempt to motivate the House Judiciary Committee to recommend impeachment. It was her leadership through advocacy that addressed the question of what qualified as "high crimes and misdemeanors" that led to Nixon's impeachment proceedings.

Envisioning

The leadership function of envisioning inspires and motivates action in service of community interests. Envisioning serves this function through influence attempts related to what should or ought to be. This is mainly achieved through expressions of hopes, wishes, and imagined possibilities.

1. *Propositional content conditions*:
    a. Speaker (*S)* conveys a vision (*V*) pertinent to community interests in the venue at stake, concerning a collective future act (*A*) or state of listener(s) (*L).*
    b. *S* expresses or elicits hopes, stories, images, pertinent to *V.*
2. *Preparatory conditions*:
    a. *S* must have standing with *L* in the venue at stake in the community.
    b. It is not obvious to both *S* and *L* that *L* will do *A* in the normal course of events.
    c. *A* is pertinent to community interests in the venue at stake.
    d. *A* will achieve *V.*
3. *Sincerity conditions*:
    a. *S* takes responsibility for believing that *L* will embrace the hopes, stories, images as an inspiration to pursue *V.*
    b. *S* takes responsibility for believing that *V* is acceptable to *L.*
    c. *S* takes responsibility for believing that doing *A* will achieve *V.*

d. *S* takes responsibility for believing that *L* doing *A* is beneficial to the interests of the community.

4. *Essential conditions*:

Expressing *V* counts as an attempt by *S* to inspire or motivate *L* to do *A*.

Martin Luther King, Jr.'s "I Have a Dream" Speech: An Example of Envisioning

Envisioning includes communicative activities such as telling a story, or describing or depicting an imagined future state. A classic example of envisioning as a core leadership practice is Martin Luther King, Jr.'s "I Have A Dream" speech (1963) delivered at the Lincoln Memorial. In this speech, Dr. King urged the African American community to avoid gradualism to keep pushing and fighting non-violently right now for civil rights.

Propositional Content Conditions. Martin Luther King, Jr. conveyed a vision of the future and how things should or ought to be. He described his hopes, wishes, and dreams for what that vision could look like in an attempt to inspire listeners to continue working right now, without physical violence, for the civil rights of African Americans.

> And so even though we face the difficulties of today and tomorrow, I still have a dream. It is a dream deeply rooted in the American dream. I have a dream that one day this nation will rise up and live out the true meaning of its creed: "We hold these truths to be self-evident, that all men are created equal." I have a dream that one day on the red hills of Georgia, the sons of former slaves and the sons of former slave owners will be able to sit down together at the table of brotherhood. I have a dream that one day even the state of Mississippi, a state sweltering with the heat of injustice, sweltering with the heat of oppression, will be transformed into an oasis of freedom and justice. I have a dream that my four little children

> will one day live in a nation where they will not be judged by the color of their skin but by the content of their character. I have a *dream* today! I have a dream that one day, down in Alabama, with its vicious racists, with its governor having his lips dripping with the words of "interposition" and "nullification" -- one day right there in Alabama little black boys and black girls will be able to join hands with little white boys and white girls as sisters and brothers. I have a *dream* today! I have a dream that one day every valley shall be exalted, and every hill and mountain shall be made low, the rough places will be made plain, and the crooked places will be made straight; "and the glory of the Lord shall be revealed and all flesh shall see it together." (http://www.americanrhetoric.com/speeches/mlkIhaveadream.htm, retrieved January 25, 2007)

Preparatory Conditions. Although Dr. King had no formal positional authority, he had standing as an informal leader in the civil rights movement. It was not obvious that the listener's would proceed right now with non-violent action for civil rights in the course of normal events, without Dr. King's inspiration. King's message is pertinent to the interests of those working in the civil rights movement. King expresses the belief that taking this course of action, and not wallowing in despair, will result in the future state he describes.

Sincerity Conditions. Martin Luther King, Jr. takes responsibility for believing that listeners will embrace the hopes he describes as an inspiration to pursue the vision and that non-violent assertion of rights now will achieve that vision. Finally, King takes responsibility for believing that non-violent protests for civil rights is beneficial to the interests of the African American community and those fighting for civil rights.

Essential Conditions. Describing this desired future state counts as an attempt by Martin Luther King, Jr. to inspire and motivate listeners to take action right now via non-violent assertion of rights for African Americans. The following excerpt illustrates King's leadership:

> We have also come to this hallowed spot to remind America of the fierce urgency of Now. This is no time to engage in the luxury of cooling off or to take the tranquilizing drug of gradualism. Now is the time to make real the promises of democracy. Now is the time to rise from the dark and desolate valley of segregation to the sunlit path of racial justice. Now is the time to lift our nation from the quicksands of racial injustice to the solid rock of brotherhood. Now is the time to make justice a reality for all of God's children. It would be fatal for the nation to overlook the urgency of the moment. . . In the process of gaining our rightful place, we must not be guilty of wrongful deeds. Let us not seek to satisfy our thirst for freedom by drinking from the cup of bitterness and hatred. We must forever conduct our struggle on the high plane of dignity and discipline. We must not allow our creative protest to degenerate into physical violence. Again and again, we must rise to the majestic heights of meeting physical force with soul force. (http://www.americanrhetoric.com/speeches/mlkIhaveadream.htm, retrieved January 25, 2007)

Directing

The leadership function of directing builds commitment or obligation for action in service of community interests. Directing serves this function by attempting to obligate others to act. On some occasions this objective is pursued through a direct order, even in a single sentence. On

other occasions it is pursued through a request or statement of need or desire. These are polite or indirect forms of directing, which widen the scope of persons with standing to direct.

1. *Propositional content conditions*:

Speaker (*S)* expresses a desire, requirement, or need pertinent to community interests concerning a future act (*A*) of listener(s) (*L).*

2. *Preparatory conditions*:

a. *S* must have standing with *L* in the venue at stake in the community.

b. It is not obvious to both *S* and *L* that *L* will do *A* in the normal course of events without being directed.

c. *S* believes that *L* is able to do *A.*

d. *S* wants *L* to do *A.*

3. *Sincerity conditions*:

S takes responsibility for believing that *L* doing *A* will serve the interests claimed by or for the community.

4. *Essential conditions* (those that distinguish the activity from others):

Conveying this need or desire counts as an attempt by *S* to secure *L*'s commitment to do *A.*

Federal Court Injunction Mandating the State of Alabama to Admit African Americans to its Universities: An Example of Directing

Directing includes communicative activities such as ordering, requesting, or stating a desire or need. These activities can range from a general on the battlefield giving commands to soldiers, to a minister in a church asking congregation members to submit pledge cards by the end of the month, to a department director telling an employee to send a report out to the entire

team by the end of the day. Each activity is an attempt to build commitment or obligation to act in service of community interests, whether it is framed as a need, a request, or directive.

The federal court injunction issued by U.S. District Judge Seybourn H.Lynne for the Northern District of Alabama on June 3, 1963 to prohibit Governor Wallace of Alabama from interfering with the admission of African American students to the University of Alabama serves as an example of the core leadership practice of directing. Governor Wallace had pledged that "he would 'stand in the schoolhouse door' to prevent a resumption of desegregation in Alabama's educational system." (Sitton, 1963) On the morning that two African American students were to enroll, Governor Wallace, along with state troopers, arrived on campus to block their admission. The New York Times cited the following prohibitions from the injunction:

> Preventing, blocking or interfering with - by physically interposing his person or that of any other person - the Negroes' admission. Preventing or seeking to prevent by any means the enrollment or attendance at the university of any person entitled to enroll under the Lucy injunction. (Sitton, 1963, http://partners.nytimes.com:80/library/national/race/061263race-ra.html, accessed on February 3, 2007)

Propositional Content Conditions. The federal court injunction expressed a requirement to uphold civil rights legislation in the state of Alabama and concerned the future act(s) of Governor George Wallace.

Preparatory Conditions. U.S. District Judge Seybourn H.Lynne for the Northern District of Alabama certainly had standing, as a federal judge, in the venue at stake to order Governor Wallace to refrain from interfering with the legal admission of these students. It was not obvious that Wallace would do so without such an injunction. In fact, Wallace had stated that he would

interfere even with an injunction. The federal judge believed that Wallace was able to refrain from interfering and wanted Wallace to do so.

Sincerity Conditions. The federal judge, Seybourn Lynne, took responsibility for believing that this injunction would serve the interests claimed by or for a community, namely by upholding civil rights legislation in the State of Alabama.

Essential Conditions. This injunction counted as an attempt by the federal court to obtain Wallace's commitment to refrain from interfering in the admission of these students, thus upholding federal law.

Pledging

The leadership function of pledging builds commitment or obligation for action in service of community interests. Pledging serves this function by making a commitment to act. Sometimes this commitment is made through promising. On other occasions it is made through modeling behavior.

1. *Propositional content conditions:*

   Speaker (*S)* commits to a future act (*A*) in service of interests claimed by or for a community.

2. *Preparatory conditions*:

   a. *S* must have standing in the venue at stake in the community.

   b. *L* would prefer *S*'s doing *A* to not doing *A*.

   c. *S* believes that *L* would prefer *S*'s doing *A* to not doing *A*.

   d. It is not obvious to both *S* and *L* that *S* will do *A* in the normal course of events.

3. *Sincerity conditions*:

   a. *S* takes responsibility for intending to do *A.*

b. *S* intends that the act of pledging will place her or him under an obligation to do *A.*

c. *S* intends for *L* to understand that *S* is under an obligation to do *A.*

d. *S* takes responsibility for believing that doing *A* will serve the interests claimed by or for a community.

4. *Essential conditions* (those that distinguish the activity from others):

The symbolic behavior counts as an undertaking of commitment by *S* to do *A.*

Richard Branson's Promise to Donate $3 Billion to Fight Global Warming: An Example of Pledging

Pledging includes communicative activities such as promising, publicly committing, following through on verbal commitments via actions, or intentionally modeling behavior as a way to demonstrate commitment. This could be non-linguistic symbolic behavior, for instance, a general who, instead of giving commands from a remote location, moves to the front in a combat situation, fighting shoulder-to-shoulder with his or her troops as a way to demonstrate personal commitment to the battle and solidarity with the soldiers. Another example might be a CEO, promising that the organization would strive to be a family-friendly workplace, who gives her executive assistant the flexibility to work from home when his child is sick. Pledging sets the tone, models the way, and can even build commitment among others, to action that serves community interests. The example of pledging offered here is Richard Branson's, founder of the Virgin Group, commitment to donate all profits from his airline and railway companies over the next 10 years to fight global warming. Branson announced, during the second annual Clinton Global Initiative, that he would donate up to three billion dollars.

Propositional Content Conditions. Branson is committing to donate as much as $3b over the next 10 years in service of world-wide interests, namely to fight global warming.

Preparatory Conditions. Branson, as a well-known corporate leader, has standing in the venue at stake. It is obvious that the world-wide community would rather have this donation than to not have it and that Branson believes this. It is also not apparent that $3 billion would have been donated to this cause anyway in the normal course of events without Branson's special gesture.

Sincerity Conditions. Branson meets the sincerity conditions by intending to put himself under obligation, intending that the world understand that he is putting himself under obligation, and by intending to follow through on this pledge. Branson also takes responsibility for believing that this donation will serve the interests of the global community in relation to global warming.

Essential Conditions. Branson's speech during the Clinton Global Initiative conference counts as a commitment by Branson to donate up to $3 billion to fight global warming.

Declaring

The leadership function of declaring creates or changes social reality via symbolic behavior as a way of enabling action in service of community interests. Declaring is reliant upon formal power in order to perform this function.

1. *Propositional content conditions*:

   Speaker (*S)* uses symbolic behavior to create or change social reality in order to facilitate future action in service of community interests.

2. *Preparatory conditions*:

   a. *S* must have formal authority in the venue at stake in the community.

b. It is not obvious to both *S* and *L* that this state of affairs would be brought into being in the normal course of events without *S* constituting them as an institutional fact.

3. *Sincerity condition*:

a. *S* intends for the declaration to alter the status or condition of the referred to object(s).

b. *S* intends for *L* to understand that the declaration alters the status or condition of the referred to object(s).

c. *S* takes responsibility for believing that the declaration will facilitate action in service of community interests.

4. *Essential conditions*:

The symbolic behavior counts as the creation or change of social reality by *S,* who relies on formal authority, in service of community interests.

The Emancipation Proclamation: An Example of Declaring

Declaring includes communicative behaviors that rely upon the symbolic acts of those in formal power in order to change reality, such as pronouncing or proclaiming. Simple examples include a Chief Executive Officer appointing or promoting a Vice President to Senior Vice President or a judge or religious official declaring a couple married. Both social realities are called into existence through the symbolic behavior of someone with formal authority. The Emancipation Proclamation of Abraham Lincoln (1863) provides a solid example of declaring. People held as slaves in the states who have seceded from the Union were declared free based upon the issuance of the Proclamation by the President of the United States, “by virtue of the power in me vested as Commander-in-Chief, of the Army and Navy of the United States.”

Propositional Content Conditions. President Lincoln used the proclamation to alter the status of people held as slaves and establish them as free citizens of the United States of America.

> And by virtue of the power, and for the purpose aforesaid, I do order and declare that all persons held as slaves within said designated States, and parts of States, are, and henceforward shall be free; and that the Executive government of the United States, including the military and naval authorities thereof, will recognize and maintain the freedom of said persons. (Lincoln, 1863, http://www.archives.gov/exhibits/featured_documents/emancipation_proclamation/transcript.html)

Preparatory Conditions. Lincoln has formal authority as President of the United States and it is not obvious that the status of people held as slaves in these states would change in the normal course of events without the proclamation.

Sincerity Conditions. It is clear that Lincoln intends to alter the status of those enslaved and intends for the rest of the American people to understand this intention. Lincoln also takes responsibility for believing that this declaration will facilitate action in service of community interests when he says,

> And upon this act, sincerely believed to be an act of justice, warranted by the Constitution, upon military necessity, I invoke the considerate judgment of mankind, and the gracious favor of Almighty God. In witness whereof, I have hereunto set my hand and caused the seal of the United States to be affixed. (Lincoln, 1863, http://www.archives.gov/exhibits/featured_documents/emancipation_ proclamation/transcript.html)

Essential Conditions. Issuing the Emancipation Proclamation counted as an alteration by President Lincoln, relying on his formal authority as President of the United States, to the status or condition of the people held as slaves in the designated states, and as an action that served the nation's interests.

Constituting

The leadership function of constituting creates or changes social reality via symbolic behavior as a way of enabling action in service of community interests. Constituting serves this function by assuming power when there is not pre-existing institutional authority.

1. *Propositional content conditions*:

   Speaker (*S)* uses symbolic behavior to create or change social reality in order to facilitate future action in service of community interests.

2. *Preparatory conditions*:

   a. *S* has some standing in the venue at stake in the community, but no formal institutional authority, and assumes power via symbolic behavior.

   b. It is not obvious to both *S* and *L* that this state of affairs would be brought into being in the normal course of events without *S* constituting them as institutional facts.

3. *Sincerity conditions*:

   a. *S* intends for the constitution to alter the status or condition of the referred to object(s).

   b. *S* intends for *L* to understand that the constitution alters the status or condition of the referred to object(s).

c. *S* takes responsibility for believing that the constitution will facilitate action in service of community interests.

4. *Essential conditions*:

The symbolic behavior counts as the creation or change of social reality by *S*, who assumes power symbolically, in service of community interests.

The 1776 Declaration of Independence: An Example of Constituting

Constituting occurs when social reality is created or changed through the symbolic behaviors of someone without pre-existing formal authority. The act of declaring or announcing calls something into existence, constitutes institutional fact, or otherwise alters social reality, for example, Nannie Helen Burroughs' speech during the 1900 National Baptist Convention established the Women's Auxiliary. Burroughs had no institutional authority to proclaim the existence of the auxiliary rather she used the speech to announce its existence and it was created. A classic example of constituting is the 1776 Declaration of Independence. The Second Continental Congress had no formal authority to declare that a new nation, independent of Great Britain, was formed. In fact, their actions were treasonous.

Propositional Content Conditions. The Second Continental Congress used the symbolic acts of writing, signing, and publicizing the Declaration of Independence to create a separate nation. These acts facilitated future actions in service of interests claimed by or for a community, in this case the independence of the colonies from Britain.

> . . . solemnly publish and declare, That these United Colonies are, and of Right ought to be Free and Independent States, that they are Absolved from all Allegiance to the British Crown, and that all political connection between them and the State of Great Britain, is and ought to be totally dissolved; and that as

> Free and Independent States, they have full Power to levy War, conclude Peace contract Alliances, establish Commerce, and to do all other Acts and Things which Independent States may of right do.

Preparatory Conditions. The Second Continental Congress had standing in a community, but did not have formal authority in the venue at stake to take the action of declaring independence. They claimed or assumed the power to constitute this institutional fact. It is not obvious that the colonies would be granted independence without this constituting act.

> We, therefore, the Representatives of the United States of America, in General Congress, Assembled, appealing to the Supreme Judge of the world for the rectitude of our intentions, do, in the Name, and by Authority of the good People of these Colonies, solemnly publish and declare . . .

Sincerity Conditions. The Second Continental Congress intended for the Declaration of Independence to alter the status or condition of the colonies. The Second Continental Congress also intended for Britain to understand that the Declaration of Independence altered the status or condition of the colonies. Finally, the Second Continental Congress took responsibility for believing that the Declaration of Independence would facilitate action in service of community interests.

Essential Conditions. The Declaration of Independence counted as an alteration by the Second Continental Congress, who assumed power symbolically, to the status or condition of the colonies in service of their interests.

Prudential Rules for Core Leadership Practices

As mentioned earlier in this chapter, one can combine the essential conditions and propositional content conditions for any core leadership practice and the result will suggest under

what circumstances each practice would be most useful or most likely to assist. This prudential rule is the most directly relevant guide to practice and development. The following lays out the prudential rule for each core leadership practice.

Reporting. An individual determines that information s/he has would contribute to dialogue and facilitate decision making or problem solving that would subsequently secure action in service of interests claimed by or for a community.

Inquiring. An individual determines that information, learning, or awareness is needed to make a decision or solve a problem that would subsequently secure action in service of interests claimed by or for a community.

Advocating. An individual has a belief about what is or what will soon be and would like to create or appeal to this belief in others so that they will be motivated to act in service of interests claimed by or for a community.

Envisioning. An individual has a belief or attitude about what should or ought to be and would like to create or appeal to this belief or attitude in others so that they will be inspired to act in service of interests claimed by or for a community.

Directing. An individual has a belief about what action must be taken in service of interests claimed by or for a community and attempts to impose or create this belief in others so that they will be committed or obligated to act in service of interests claimed by or for a community.

Pledging. An individual has a belief about what action must be taken in service of interests claimed by or for a community and commits him or her self to that belief and, subsequently, to that action in service of interests claimed by or for a community.

Declaring. An individual with formal authority has a belief or attitude about what social reality, institutional fact, or organizational structure is necessary to enable action in service of interests claimed by or for a community and uses his or her formal authority to create that reality in order to enable such action in service of interests claimed by or for a community.

Constituting. An individual has a belief or attitude about what social reality, institutional fact, or organizational structure is necessary to enable action in service of interests claimed by or for a community and creates that reality, despite having no formal or pre-existing authority, in order to enable such action in service of interests claimed by or for a community.

Summary

These pragmatic analyses identify the norms and conventions for performing each core leadership practice, clarify distinctions among the core practices, and describe and exemplify the individual practices. The analyses show that all core practices are for the purpose of securing action in service of interests claimed by or for a community and that each core practice serves this purpose through various functions and in different ways, delineating those differences through the range of conditions for pragmatic analysis.

These analyses elucidate the performance of leadership and they hint at suggestions for the development of leadership. However, the core practices do not occur in isolation and should not only be considered individually, as done through this series of pragmatic analyses. Rather the core practices operate in a more complex fashion, occurring sequentially, or together in pairs, often with one practice in service of another. Furthermore, the norms and conventions that govern the use of each core practice are social and cultural, as well as linguistic. The context will be a strong determinant of which practices will be more effective and which practices are more likely to be used. The pragmatic analysis only takes us to a certain point in the development of

this theory. If we are interested in the performance and development of the practices of this framework, then we need to consider the complexities and context of how the framework operates as a whole. The next chapter will present four leadership scenarios intended to demonstrate how the core practices work together, and the impact that organizational culture can have on the use and effectiveness of leadership.

CHAPTER V: APPLYING THE FRAMEWORK – ORGANIZATIONAL CULTURE AND LEADERSHIP PRACTICE

The previous chapter analyzed and illustrated how each individual core leadership practice is performed by laying out conditions that constitute each practice. This chapter depicts how the core practices operate together by providing leadership scenarios of four single meetings in organizations with different types of cultures. I have created each hypothetical scenario based loosely on my own professional experiences. These scenarios serve to: (1) describe the application of the framework of communicative leadership practice; (2) suggest possibilities for empirical study of this framework and (3) explore the interplay between organizational culture and leadership practice, and, subsequently, the development of both culture and leadership.

Organizational Culture

Culture is often likened to the water in which fish swim – we are immersed in it, yet are unaware of the very phenomenon surrounding us, despite its significance. Organizational culture amounts to the shared values and assumptions of an organization manifested in certain elements, such as artifacts, heroes, rites and rituals, myths and stories, communication and symbolic activities, group norms and behaviors (see e.g., Alvesson, 2002; Deal & Kennedy, 1982; Kotter & Heskett, 1992; Schein, 1992). As a symbolic activity, leadership both influences and is influenced by the organizational culture. This has important implications, elaborated upon in the next section, for the practice and development of leadership.

The four leadership scenarios offered here depict how the core practices of the communicative leadership theory developed in this study operate in the four types of cultures described in the Competing Values Framework (Cameron and Quinn, 2006). The Competing Values Framework is empirically derived from research on the major indicators of effective

organizations and has both face and empirical validity. Two dimensions emerged that organized the indicators into four clusters. The first dimension differentiates effectiveness indicators that emphasize flexibility and dynamism from those that emphasize stability and control. The second dimension distinguishes criteria that emphasize an internal orientation, unity, and integration from an external focus, differentiation, and competition. These two dimensions form four quadrants, each representing organizational effectiveness indicators defining what people value about an organization's performance. Each set of basic assumptions, orientations, and values identifies a cultural type (see Table 3). I chose this model because it is empirically-based and consonant with other classifications and metaphors of organization cultural types. For example, the Competing Values Framework is similar to the four competing worldviews used by Wexler in *Leadership in Context* (2005) – regulatory, entrepreneurial, communitarian, and network.

As a symbolic activity, leadership depends upon the meaning-making resources in the ambient culture and the different interpretive rules of that culture which provide for that meaning-making (see e.g., Alvesson, 2002;Geertz, 1973; Morgan, 1997; Smircich, 1985; Weick, 2001). In consequence, social and cultural constructs determine the reception and success of leadership activities. Certain types of organizational cultures are likely to promote the use of particular core leadership practices over others. One obvious consideration is to identify and use the leadership practices that will be more well-received by the members of that culture. Conversely, the leadership practices within an organization are likely to shape that culture. Every organization is inclined to optimize the use of some leadership practices while marginalizing the use of others; therefore, broadening the range of core leadership practices invited by the organization is one way of developing leadership as a cultural resource. In other words, if members of an organization are interested in expanding leadership capacity, one method is to

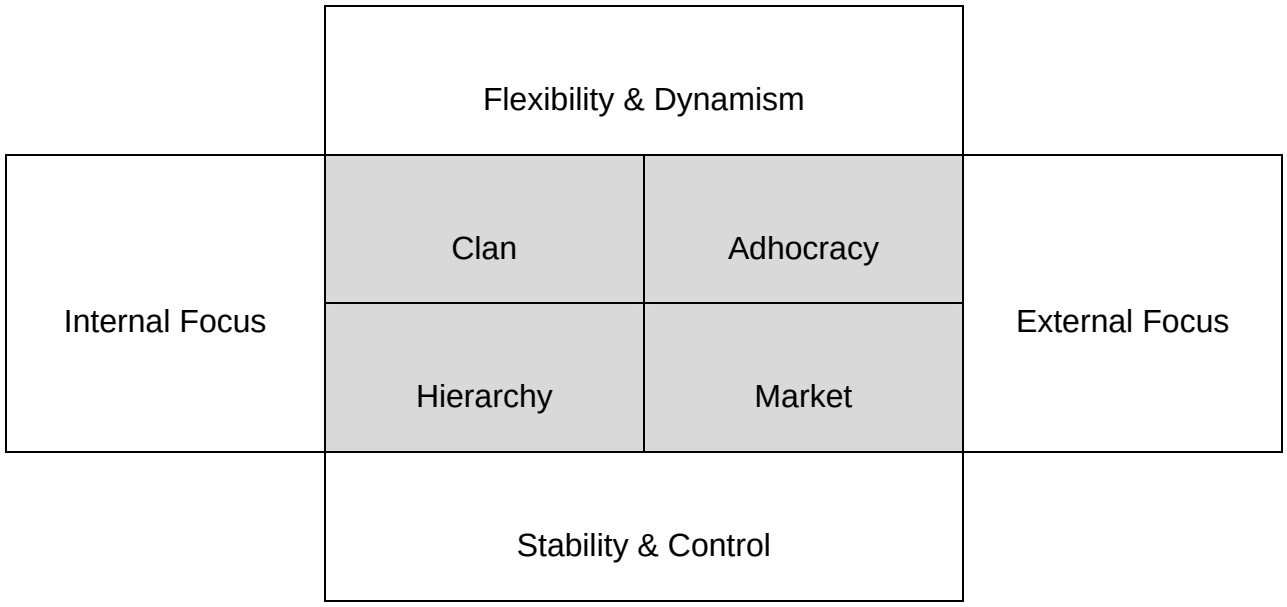
accommodate a wider range of leadership practices rather than to rely on only a few that are the most comfortable or the easiest fit with the organization culture. Although every core leadership practice is not necessarily performed or required in every leadership situation, one possibility for increasing the chances for securing action in service of interests claimed by or for a community is by expanding the range of core practices operating in the situation.

The following leadership scenarios illustrate the application of the communicative theory of leadership practice and examine the degree to which different organizational cultures foster different leadership practices by different members of a community. The context and cultural milieu have significant impact on leadership processes, including the selection, implementation, and success of leadership practices. The scenarios will sketch how the framework of leadership practice operates in each type of culture and consider which practices are more conducive to which contexts. Please see Table 3 for an overview of the Competing Values Framework and Table 4 for a review of the eight core leadership practices.

Table 3

The Competing Values Framework

(Cameron & Quinn, 2006)



Hierarchy Culture: An organizational culture that values stability and control with a strong internal focus. It can be described as bureaucratic with an emphasis on efficiency and uniformity.

Market Culture: An organizational culture that also values stability and control, but with an external orientation. It is often described as a results-oriented workplace with a focus on productivity and competition.

Clan Culture: An organizational culture that takes a strong internal focus, operating in a flexible, adaptive manner. It is often characterized as collaborative, participative, and cohesive.

Adhocracy Culture: An organizational culture that is flexible and dynamic with an external orientation. It is best described as innovative, entrepreneurial, and creative.

Table 4: Description of Core Leadership Practices

Function	Core Leadership Practice
Foster ***dialogue for understanding and facilitate decision*** for action in service of interests claimed by a community	**Report** Offer information in an effort to be understood
	Inquire Invite information in an effort to understand
Inspire, support, and motivate for action in service of interests claimed by a community	**Advocate** Attempt to influence related to what is or what will soon be; mainly argument and reason concerning external facts and information
	Envision Attempt to influence related to what should or ought to be; mainly expressive concerning personal perceptions and feelings
Build ***commitment or obligation*** for action in service of interests claimed by a community	**Direct** Obligate others to act
	Pledge Obligate self to act
Use language to ***create and change social and organizational reality*** enabling action in service of interests claimed by a community	**Declare** Rely on formal power to create or change social or institutional reality
	Constitute Assume power in order to create or change social or institutional reality

Core Leadership Practices and Types of Organizational Cultures

This section discusses which core leadership practices are more likely to be conducive to each type of organizational culture, which core leadership practices are less likely to be used in each culture, and lays out why this is probably the case. Again, this is meant to sketch out possibilities that will help to both illuminate how the core practices operate as a framework in context and identify hypotheses for empirical study and development of leadership.

Hierarchical Culture. The leadership practices most likely featured in a hierarchical culture are directing and reporting with minimal advocating and envisioning. The practice of inquiring would probably be discouraged, except among the highest ranking formal leaders, and, when used, would be a particular type of inquiring. Directing and reporting are more reliable methods of structuring and controlling organizational behavior. They are "pushing" approaches to communication – giving information, telling, expressing a need or desire, ordering, whereas advocating and envisioning are attempts to inspire and motivate through persuasion and argument. A strong hierarchical culture would not generally recognize the need to work hard to attempt to persuade or convince. The structure and culture make directing and reporting easier and more efficient. Pledging is also likely to be used with directing to build commitment to action, especially through the use of heroes and role models.

Those who use most sorts of inquiring behaviors in this type of culture would likely be viewed as resistant, difficult, or not a team player. Inquiring behaviors such as seeking input, listening, and asking in an attempt to learn or understand are "pulling" communication behaviors. These behaviors would probably be seen as too risky to use by formal leaders with employees because the information sought is not completely certain, controlled, or predictable. Inquiring would likely be viewed as a questionable or ineffective method of leading. Inquiring

on the part of employees without formal leadership positions would be viewed as challenging and unsupportive. The only type of inquiring that would be tolerated well in a strongly hierarchical organizational culture would be technical questions about *how* initiatives are to be implemented, as opposed to questions about *why* initiatives are to be implemented or the rationale behind them.

Finally, when it comes to creating or changing social reality, because of the high value on stability and control, declaring is more likely to be practiced than constituting. Declaring relies on institutional power and hierarchical cultures value formal power. In strong hierarchies, constituting would be a much less viable method of securing action because it is more difficult to assume power in a tightly structured, formalized organization.

Market Culture. Similar to the hierarchical culture's focus on stability and control, market cultures tend to rely on the core leadership practices of directing and reporting from formal leaders. However, since they also value achievement and take an aggressive, no-nonsense, results-oriented focus, these cultures encourage reporting, inquiring, advocating, and pledging from everyone. These leadership practices generate dialogue and learning that encourages creativity and competitive solutions, building commitment to action toward pursuing these ideas and innovations. Also like a hierarchical culture, market cultures rely more on formal power to maintain stability and control, thus they will favor the practice of declaring over constituting.

Clan Culture. The leadership practices expected to be featured in a clan culture would be a balance of reporting and inquiring, as well as pledging, envisioning, and advocating. Since this is a culture that values people and personal commitment and loyalty, it seems likely that there would be attempts to include and understand others in order to create participation and cohesion.

Pledging would be an effective way of both demonstrating and inspiring commitment. The arguments and appeals used in advocating and envisioning would emphasize a concern for people and a sensitivity to those served by the organization. When directing is used it would be a more polite attempt to obligate the other person, such as a request or suggestion. The focus on flexibility and adaptability would invite both declaring and constituting as viable methods of creating or changing social reality.

Adhocracy Culture. Similar to the clan culture, the adhocracy culture tends to rely heavily on a balance of reporting and inquiring, as well as advocating and envisioning, with perhaps a bit more emphasis on pledging. A balance of reporting and inquiring is necessary for the dialogue and learning required for innovation and creativity. Advocating and envisioning are successful methods of motivating others because the organization values growth and maintaining a leading edge. Visionary, compelling, and influential arguments will appeal to those who want to achieve or maintain this position for their organization. Furthermore, committing oneself through pledging will also be inspiring to others. Again, like a clan culture, when directing is used it will more likely be a polite version, rather than an order or command. Though declaring can be effective in an adhocracy culture, constituting is probably more successful in this type of culture than others because there is less emphasis on formal power coupled with a high value on creativity, innovation, and flexibility.

Leadership Scenario #1: Implementing Changes on a Nursing Unit in a Hospital – Leadership in a Hierarchical Culture

Background and Overview

The first scenario depicts events before, during, and after a meeting to announce newly structured patient care teams on a nursing unit in a hospital. The hospital culture is

predominantly hierarchical based on the Competing Values Framework (Cameron & Quinn, 2006). The organization is highly structured, and reliant on procedures. Decision-making is centralized. Control and uniformity are emphasized, and the focus is on delivery of smooth-running, low cost, dependable services.

Before the Meeting

Hospital executives have been working with a large consulting firm for seven months to develop a new model of patient care delivery. Benchmarks from other hospitals have been analyzed and employee input was collected through surveys, interviews, and focus groups. Inquiring, advocating, envisioning, and pledging leadership practices were used early in the process among the higher levels of formal leadership. The CEO and his executive team used advocating and envisioning at their initial meetings to decide whether and how they ought to proceed with patient care redesign. For instance, there were competing views about what model would be more desirable. Members of the executive team shared hopes, visions, and stories about what they thought it ought to look like and, ultimately, took positions and argued for a particular model or approach, presenting reasons and facts to support that position.

Pledging was used by the CEO when he made a commitment to investing the time and resources needed to make this process a success. Inquiring and reporting were used frequently among the executive team and the consulting firm as they worked together to learn how other hospitals have made similar changes, to understand options for achieving desired results, and to seek employee input and discover more about the current system of patient care delivery and possibilities for the future. These practices were all used in order to secure action toward the redesign of patient care in the hospital.

The executives, in partnership with the consultants, have finalized the design and are meeting with the nurses on each unit to unveil the new plan. The patient care teams will be comprised of two nurses, one who will serve as team leader and the other as a team member, working in collaboration with a Clinical Associate and a Service Associate. Currently, individual nurses are assigned to particular patients. All nurses report to one Charge Nurse during each shift and call upon nursing assistants when needed. The new structure will require healthcare providers to work in teams of four. Each role will require new skills, processes, and relationships.

The Clinical Associate will be an unlicensed healthcare provider trained to support the nurse clinically, much like a Certified Nursing Assistant, on tasks such as starting an IV, drawing blood, performing a respiratory treatment or an EKG, or taking vital signs. The Service Associate will attend to the comfort and safety of the patient, primarily through housekeeping and hospitality duties – changing bed linens, emptying trash, distributing meal trays, transporting patients to ancillary units, preparing rooms for admission and discharge, and performing supply and equipment inventories.

The team members are meant to partner with one another and much of it is aimed at improving care by freeing up the nurse to do what only she or he can do – monitor and document clinical outcomes and patient flow on the unit and conduct plans of care.

During the Meeting

The Vice President of Patient Care and her two Assistant Vice Presidents held the meeting in a conference room on the unit after the day shift. The VP welcomed everyone and announced the following, “As you all know Community General Hospital has been working with a consulting firm for the past several months to redesign our patient care delivery system for

improved service and greater efficiencies. We have sought the input of nurses and other employees along the way through interviews, surveys, and focus groups. The following structure is what has been developed and will be implemented next month."

Immediately a hand shot up in the air and a nurse asked, "I heard that the RNs are going to have to risk their licenses and take responsibility for unlicensed clinicians on the teams. I have some concerns that I'd like addressed."

The VP responded with "I'd like to ask you all to listen to what we have to say first and hold your questions until the end. Thanks."

The VP and her AVPs took turns displaying PowerPoint slides and talking the unit employees through the background of the project, the new structure and roles, and the expected outcomes and improvements, concluding with "Any questions?"

After a lengthy period of silence, one nurse reluctantly raised her hand and said, "Well, I'm concerned that 12 weeks of in-house training for Clinical Associates is not going to be enough time to build those skills. How can we trust and have confidence in our team members if they are unlicensed with such little training?"

"Our consultants have benchmarked all of this training with other organizations. The 12-weeks is sufficient" responded the VP, "and I'd like to ask everyone to please refrain from complaining, griping, and other negative talk. Please give this a chance and maintain a positive attitude."

A few technical questions were addressed regarding clarification of team roles and the implementation time line. Another nurse pointed out "Well, we still have not gotten back to the risk the RNs are assuming. We are putting our license on the line and that hasn't been addressed. How will the hospital back us up when a Clinical Associate makes clinical or medical errors?"

"Look, you need to see this as an opportunity for nurses to provide the level of care that they are capable of and trained for," responded the VP "This is a way to free nurses up from more mundane tasks. Frankly, each RN is going to need to make a choice – either you're in or you're out – we only have room for nurses who are completely on board with us. I need everyone to be team players here, okay? Well, it looks like we have run out of time. You should expect a weekly newsletter updating everyone on the status of patient care redesign. Thanks for coming and we appreciate your support."

Three core leadership practices were displayed during this meeting: reporting, inquiring, and directing. Reporting and directing were practiced only by executive leaders when they shared information about the model, roles, team structure, and implementation. Two instances of directing happened near the end of the meeting first, when the VP, Patient Care told the nurses to refrain from complaining and keep a positive attitude and, second, when the group was told that they needed to decide whether or not they were on board because the hospital needed team players. Two sorts of inquiring took place. The first type involved attempts to understand and resolve fears and concerns about the new roles and potential negative impact on patients, nurses, and the hospital. This type of inquiry was not welcome and not addressed directly. The second kind of inquiry involved technical questions about when and how implementation would take place. This sort of inquiry was less threatening to the stability and control that is so important in a hierarchical culture. These questions, because they had clear-cut answers and did not invite ambiguous or open-ended dialogue, were addressed.

After the Meeting

The hierarchical culture of this hospital is not receptive to the practice of inquiring among rank and file employees. This environment created suspicion and mistrust and raised anxiety

about the changes among nurses at the unit level. Without open dialogue there was no chance for the nurses to learn and understand the intention and the possibilities and opportunities for this patient care redesign. Thus, the nurses no longer raised their questions or concerns with formal leadership. Instead they talked with one another, resisted the changes in a passive-aggressive manner, or left the organization. The dialogue that inquiring and reporting paired together would create could have built understanding and insight that could have lead to commitment and ownership.

Additionally, strong hierarchical cultures do not create a sense of obligation in formal leaders to use advocating or envisioning with employees. They typically believe that directing is sufficient to build commitment to action, whether it is out of loyalty or fear of consequences. Because there was nobody to inspire and motivate the nurses by helping them to envision the opportunities presented by this model of patient care or by laying out the reasons and building the case for this model, there was very little excitement or enthusiasm. Ultimately, the nurses in the hospital failed to embrace the model and the implementation of patient care redesign was a failure.

The leadership practices used in this scenario were helpful in planning, designing, and developing the new system of patient care delivery because a wider variety of practices were employed on the executive team and among higher levels of formal leadership. Leadership was not effective in inspiring or motivating action or building organization-wide commitment toward implementation. The use of a broader range of the core leadership practices at every level could have altered the outcome of this initiative. However, a hierarchical culture is not typically receptive to inquiring, advocating, and envisioning beyond the executive level. Intentionally cultivating these practices and creating a culture that is receptive to their use is one way to

develop leadership as a cultural resource. As each scenario will attempt to convey, each type of organizational culture invites certain practices and discourages others. This limits the effectiveness of leadership within the organization. Expanding the range of leadership practices welcomed and implemented will nurture more opportunities for leadership success.

Leadership Scenario #2: A Drug Development Team in the R & D Division of a Pharmaceutical Corporation – Leadership in a Market Culture

Background and Overview

This scenario describes events before, during, and after a meeting of a drug development team in the Research and Development division of a pharmaceutical company. The company is predominantly a market culture, based on the Competing Values Framework (Cameron & Quinn, 2006). Market cultures are externally focused and value stability and control. They emphasize results, productivity, and competition. Those working in these cultures are concerned with getting the job done. The cross-functional project team in this scenario is comprised of biologists, chemists, a physician, statisticians, marketing professionals and regulatory affairs officers, and is led by a Project Manager with 12 years of experience in this company.

Before the Meeting

The team has spent considerable time, money, and other resources to develop a compound that showed great promise in the early stages of clinical development. All members of the team employed reporting and inquiring related to research and studies of the compound. They used advocating and envisioning as they made arguments for possible uses and imagined the opportunities this drug could offer the patients and the company. However, as further testing was performed, the drug proved to have only slight positive effects. Because so much had already been invested in early development of the drug, the team leader wanted to press forward.

He is convinced that the drug could be this year's breakthrough blockbuster. The market for new drugs is highly competitive and there is a great deal of pressure to innovate and continually introduce new products to market. The team leader feels that his career as a project leader and his future with the organization is riding on the success of this drug. When presented with preliminary data suggesting the weak positive effects of the drug, the team leader refused to take the data seriously. He directed the team to continue working on the drug's development and pledged to devote the necessary resources to "make this happen" and "see it through." He even transferred from the team the individual who repeatedly pointed out the data. His focus was getting the drug to market and coming out on par with or better than the other R & D teams. The drug is now well into the final development stage and the team is gathering for its standing monthly meeting.

During the Meeting

The meeting began with a round of report-outs. The physician on the team stated that she had "come across disturbing information that points to serious, but non-life-threatening side effects" of the drug the team has been developing. She reported the results from several clinical trials that support her point and asked the team "What do you think we ought to do about this information?" There is a short period of dialogue during which questions are posed and information is exchanged.

Eventually, one of the biologists argued that the team ought to go back to data from earlier phases of development and see if the team can discern what elements of the compound are contributing to these side effects and whether or not the drug can be re-designed. Another biologist, a chemist, and the physician state that they agree this is the best option. The team leader points out how much time and money has already been spent on the development of this

drug and that the team and the organization cannot afford to delay bringing it to market. The regulatory affairs officers and the marketing professionals back up the team leader's position by pointing out that the company can simply indicate the possibility of these side effects in the drug labeling and avoid any further delay of marketing this new drug. There is much discussion among the team members about the pros and cons of both courses of action and arguments about which options would best serve the various stakeholder groups – patients, prescribing physicians, shareholders, board members, corporate executives, team members.

Ultimately, the team leader says, "Since we can't seem to resolve this, I will exert my responsibility as the decision maker here. We will press forward with the development of this drug, ensuring that our investment in this process pays off."

The physician responded with the following, "I understand the need to use our resources wisely. However, as a physician, I have taken an oath that overrides the mission of this team. If the team decides to proceed in the face of data showing harmful side effects with weak positive effects, I can no longer serve as a member of this team. Furthermore, I will be compelled to speak out against practices like these."

The meeting concluded with the physician and one of the biologists resigning from the team and the team leader and remaining team members, relieved to be rid of the difficult team members, intent on proceeding with the development of the drug.

All members of the drug development team participated in leadership during this meeting. That is, they all engaged in social strategies for securing action in service of interests claimed by or for a community. This is so even when there were competing or conflicting interests. Reporting and inquiring were used most often. For example, when the physician reported the data she found in the clinical trials and there was dialogue and exchange happening

as team members tried to understand and make sense of the data and their implications so they could make a decision. Eventually, the team members took positions and advocated for what action the team should take. The team leader used the directing practice when he told the team to take a particular course of action and pledging was used when the physician committed to resign from the team if that course of action was taken.

After the Meeting

Leadership continued beyond the meeting when the physician and biologist reported their concerns to the Division Director in a memorandum and advocated that the drug be pushed back to the pre-development stage. They used clinical data to support this position and used envisioning to portray contrasting scenarios for going forward at this point or investing a bit more in taking the drug through earlier stages of development. Finally, they employed pledging when they committed to speaking out and resigning from any teams that they believed were not serving the best interests of patients. This process of leadership then cascaded back down to the team as the Division Director used inquiring to understand the situation, giving the project team leader an opportunity to report his views. The Division Director subsequently directed the team leader to bring the drug back to an earlier stage of development and conduct further studies. Ultimately, the series and combination of leadership practices resulted in securing action in service of interests claimed by or for a community. This scenario provided examples of directing being used effectively and ineffectively. The project team leader used directing without securing action in service of interests claimed by or for a community. The Division Director was able to secure action in service of community interests when he used directing. Much like the hierarchical culture, organizations with a market culture have a tendency to overuse directing and reporting, while marginalizing other practices, such as inquiring and envisioning. This minimizes

the success of leadership in the organization. Broadening the range of practices employed would enhance leadership effectiveness. It is useful to understand the organizational culture and its tendencies concerning leadership practice as a step in developing leadership.

Leadership Scenario #3: Annual Strategic Planning Process of a Nonprofit Environmental Conservation Organization – Leadership in a Clan Culture

Background and Overview

This leadership scenario depicts what happened before, during, and after the annual strategic planning meeting of a mid-size nonprofit environmental conservation organization. This is a clan culture according to the Competing Values Framework (Cameron & Quinn, 2006). The organization focuses on internal maintenance with flexibility, concern for people, and sensitivity to stakeholders. The predominant characteristics of this organization include people who are friendly, personal, open, committed, and view their coworkers as extended family. The organization is held together by loyalty and is consensus-driven and highly participative.

Before the Meeting

The executive team has spent months working with division directors and their program managers to seek input from all levels and areas of the organization into developing mission, vision, values, and strategic initiatives. They worked with a consultant to administer a web-based survey, then, based on the results, pulled together cross-sections of the organization to conduct stakeholder analyses and SWOT (strengths, weaknesses, opportunities, threats) analyses, and identify shared values, priorities, and key result areas.

Much inquiring and reporting was used during this phase of the process to generate an understanding of the shared vision and strategic direction of the organization. Directing happened when managers, directors, and executives asked their team members to respond to the

survey and participate in meetings. This is a different type of directing than in the previous scenarios. Instead of commanding employees to respond to the survey "or else," employees were invited and encouraged to participate. This is a less direct, more polite form of this core leadership practice. Finally, all employees participated in envisioning when they were asked to imagine the organization succeeding beyond expectations and describe what that looked like – What were people doing? How were they doing it? In what context or environment? How did people interact with others? What did it feel like? These imagined futures were recorded and used to begin building a shared vision.

During the Meeting

The executive team gathered at a two-day off-site retreat with the consultant and the data they had collected from employees to develop a strategic plan for the organization. The team members continued to use inquiring and reporting as they exchanged more information about the content, desired outcomes, and implementation process for their strategic plan. For example, questions were posed such as: Who are the stakeholder groups relying on the output of this organization? What does each stakeholder group need, want, or expect? How would each stakeholder group evaluate our current performance? What are some potential threats and opportunities that we need to be aware of? How can we build our strengths and improve our weaknesses? What are our shared values and key priorities? They delved into these questions and others like them as a way of generating ideas, learning, and understanding that could serve as input for developing their plan. The answers were reported from the data collected from employees and benchmarked from other organizations.

The executive team members also relied heavily on advocating and envisioning in this process as they worked to come to a consensus. Some team members used the survey data to

back up the strategic priorities that they were advancing. Other team members told stories to describe future possibilities as a way to position what they thought was the appropriate strategic direction. Since organizations with a clan culture value internal maintenance, concern for people, and sensitivity to the customer, this executive team spent a great deal of time inquiring and reporting. They had difficulty coming to a final decision and decided to return from their retreat with a draft strategic plan that would be shared with all employees for further feedback and input.

After the Meeting

More directing occurred when the executive team asked employees to review and offer feedback on the draft plan. Inquiring and reporting continued as they bounced the draft plan around the organization. Finally, at a weekly executive management team meeting, after additional advocating and envisioning, the group agreed upon a finalized strategic plan. Declaring was used when the executive director launched the strategic initiatives, unveiling the plan during an All-Hands meeting, officially instituting the plan through his announcement. The executives, directors, and managers used pledging when they committed themselves to implementing the strategic initiatives through individual development plans and unit-level operating plans that supported the strategic plan. Though a broad range of leadership practices were used in this situation, a danger within teams or organizations with a clan culture is valuing cohesion and participation to such a degree that they have difficulty coming to a final decision or resolution. Cultivating the practice of directing could help in taking more firm action or clearer direction sooner, without sacrificing input and buy-in.

Leadership Scenario #4: An Entrepreneurial Start-Up Company – Leadership in an Adhocracy Culture

Background and Overview

This scenario describes occurrences before, during, and after a meeting among professional colleagues to establish a new consulting firm together. Similar to a market culture, there is an external focus on productivity and competition, without the focus on stability and control. There is also a commitment to innovation, creativity, and being on the leading edge that puts this newly forming organization mainly into the adhocracy culture of the Competing Values Framework (Cameron & Quinn, 2006). There is a long-term emphasis on growth and acquiring new resources and the encouragement of individual initiative and risk-taking.

Before the Meeting

A group of four long-time professional colleagues – three of whom have built their careers in the same large, well-known consulting firm, and the other who has been an independent practitioner for more than ten years – have discussed the idea of pulling together and establishing their own firm. They have concluded that the timing is right for all of them and that they are ready to make this commitment. Inquiring and reporting have been used to bring them to this step. They have all used inquiring and reporting as they researched such topics as various forms of organization and incorporation, tax and liability issues, health benefits, bookkeeping and accounting, marketing and web design, and hiring of employees. This was all for the purpose of understanding their options so that they could weigh the pros and cons. Of course envisioning has been part of this process too. Each of them has, at one point or another, imagined and described what life would be like, what sorts of projects and clients they would

take on, if they started their own company. This meeting is to make that dream a reality. They soon discover that more leadership is required to make the necessary final decisions.

During the Meeting

This team of entrepreneurs came into the meeting having already made the decision that they will establish a company together. The purpose of the meeting was to settle on details that would enable them to follow through on this intention. For example, they would need to decide on the form of incorporation, what roles and titles each of them will take, how they will pool their financial resources, whether they will operate virtually or rent office space, what they will name their new organization, where they will direct the bulk of their marketing resources, and what types of sectors or clients will they go after, among other decisions.

Advocating and envisioning were used the most during this meeting. For example, individuals took a position on what form of organization they believed to be the best. They presented reasons and arguments for why their choice was better than other options. Other team members used inquiring and reporting to gain a better understanding of the various positions and arguments. Envisioning was used to inspire and influence others to believe that a certain direction or action would serve their interests better than another. For instance, one person described how they would travel the globe to serve clients in their organizations, relying on email and cell phones to communicate and coordinate as they wait in airports for their next flight, collaborating on proposals and downloading documents from their website. She portrayed this vision as a way to inspire her colleagues to operate virtually and spend money on technology, not rent for office space that clients would never see. Ultimately, the team made their final decisions and were ready to proceed.

At this point, some directing occurred related to next steps. One person suggested that everyone submit marketing ideas by the end of the week, such as logo, slogan, colors, design, format and he would pull it together and have something to present at the next meeting. Another person requested that everyone pass along referrals for recommended web designers so that they could lock in a contractor. As with the previous scenario, this was the more polite form of directing. Even though it was not framed as a command or an order, it was an attempt to obligate others.

Finally, all four of them employed pledging when they committed themselves, their careers, and their money to setting up this corporation. Constituting was used when they opened a bottle of champagne and toasted the new company that they had just created. Legal paperwork has not been filed, but the company had been established as a social reality through their discussion and decisions and upon their pronouncement.

After the Meeting

Declaring occurred when the legal forms were filed and the state sent them the officially stamped documents pronouncing the existence of the new corporation. There was also more pledging as each new founding partner followed through with financial investments and commitments of time, talent, and effort. The core leadership practices continued to be employed as the group got their business off the ground and began to work with clients. Since there is such an emphasis on individual initiative and risk-taking, along with innovation, growth, and flexibility, this type of organization is likely to have difficulty using directing and declaring. As they move forward and need to create more stability and control as the organization matures, developing these capabilities will strengthen leadership in the organization.

Summary

These leadership scenarios are meant to provide a sense for how the eight core leadership practices of this framework operate together. They demonstrate how the core practices secure action in service of interests claimed by or for a community. In some scenarios, all eight core practices are implemented. In other scenarios a smaller set of four or six are used. The scenarios also depict how the core practices are often used in pairs, sequentially, or in service of one another. They show how all members of a team, organization, or community can participate in leadership. However, to do so effectively requires not only individual skills and capabilities, but an understanding of both the culture and of the core practices to use in that context.

The scenarios are also designed to convey how leadership practices shape and are shaped by organizational culture. Various types of organizational cultures feature certain practices over others. Two different types of cultures might rely heavily on the same leadership practice, but use the practice in different ways. For example, the practice of directing in a hierarchical culture is more likely to be ordering, commanding, or telling, whereas directing in a clan culture will probably be more polite, such as requesting, inviting, or suggesting. This indicates opportunities for developing organization-wide leadership capabilities and success by broadening the range of practices that are invited and used. Finally, these scenarios are meant to elicit implications. They raise questions, represent hypotheses, and suggest possibilities. The next step is empirical testing of the theory.

CHAPTER VI: CONCLUSION

Summary of Study

The communicative theory of leadership practice built in this study is intended to contribute to the empirical research, practice, and development of leadership. The theory is premised on a philosophical analysis of "leadership" as a social strategy for securing action in service of interests claimed by or for a community – an action performed intentionally via symbolic behavior accessible to any and all members of a community. The analysis and definition are rooted firmly in leadership research and literature and are based upon the linguistic intuitions of scholars in the field. The definition resulting from the philosophical analysis served as a foundation for the development of a framework of four functions of leadership and eight core communicative leadership practices (see Figure 3). These core practices emerged as four pairs. Each pair shares the same function of leadership, but achieves that function differently. The core practices are fundamental to initiating and participating in leadership. They are:

- reporting and inquiring - to build dialogue and facilitation
- directing and pledging - to cultivate commitment and obligation
- envisioning and advocating - to inspire and motivate
- declaring and constituting - to create or change social reality

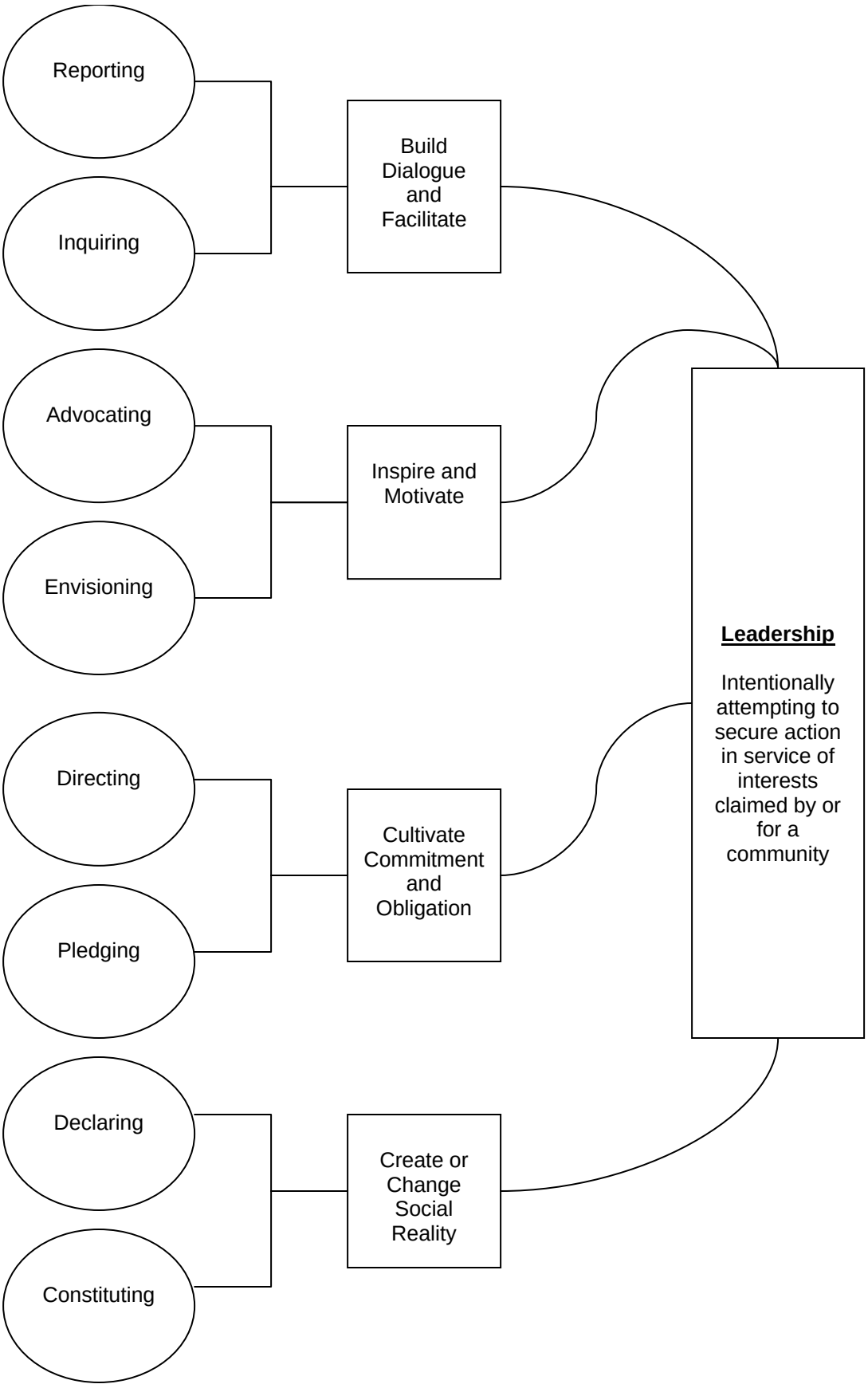
The function of each practice supports the purpose of securing action in service of interests claimed by or for a community.

The primary guiding question has been "How do we participate in leadership?" If we are not clear about what leadership is and what we are doing when we are leading, then it will be difficult to develop leadership well. Leadership is not a position, title, attribute, quality, or characteristic. Leadership is a social strategy that is enacted among and between people. As such,

it is communicative in nature and, consequently, dependent upon social, cultural, and linguistic norms of a community in which it is performed.

Each core practice was analyzed pragmatically based on conditions for speech act analysis. Norms and conventions were identified for the performance of each practice. This analysis showed us what conditions constitute each practice. The practice-based leadership scenarios illustrated how the framework operates as a whole and clarified the relationship between leadership practice and organizational culture. The scenarios pointed to opportunities for developing leadership as a cultural resource, as well as an individual capability. Ultimately, a thoroughly analyzed theory of leadership practice – grounded solidly in the field and integrated with scholarship from other disciplines – is provided with a set of implications and suggestions for the practice, development, and empirical study of leadership.

Figure 3 – Communicative Framework of Leadership Practice



Implications

This theory is a framework for understanding leadership practice. It identifies what leadership is and describes how leadership is practiced. Three key implications for this study are detailed below: testing and using the theory empirically, integrating knowledge and theories from other disciplines, and applying the theory to the practice and development of leadership as both an individual capability and as a cultural resource.

Empirical Study of Leadership

This theory – grounded in solid empirical evidence, clarified conceptually, and analyzed thoroughly – is ready for empirical testing. We need to know empirically whether and how the functions and practices of this framework work together in this configuration. This requires empirical study at two levels, beginning with the functional leadership level. The theory posits that four broad functions of leadership secure action in service of interests claimed by or for a community. We need to understand if these four functions represent the central functions of leadership. To what extent are all four functions necessary? Do all four functions need to be fulfilled in order for leadership to occur? What set of contextual conditions would determine which functions would most likely lead to securing action in service of interests claimed by or for a community? If these four functional categories are demonstrated to be the functions of leadership, then we also need studies at the practice level.

This second round of empirical testing requires us to examine the degree to which the practices achieve their assigned function and secure action in service of interests claimed by or for a community. To what extent do reporting and inquiring build dialogue and facilitate action in service of interests claimed by or for a community? To what extent do advocating and envisioning inspire and motivate others to act in service of interests claimed by or for a

community? To what degree do directing and pledging build commitment and obligation to act in service of interests claimed by or for a community? To what degree do declaring and constituting create or change social reality enabling action in service of interests claimed by or for a community? Are particular forms and types of these practices more effective? If so, in what situations? Are all eight practices required in order to secure action in service of interests claimed by or for a community?

Another set of questions at the practice level are contextual in nature. What are the situations that call for the use of reporting? inquiring? advocating? envisioning? directing? pledging? declaring? constituting? Which cultures and contexts are receptive to the use of each of these eight core practices?

Research and literature from several other disciplines can be brought to bear on the empirical testing of the core practices. These research areas are introduced in the next section on integrative scholarship. Once this communicative theory of leadership practice is empirically tested and developed it can serve as a heuristic for the empirical study of leadership practice and development.

The framework can be used to examine which practices are used most often, in what ways, by whom and in what context. For example, are there variations across title/position, gender, age group, race, ethnicity, type of team, industry, sector, type of organizational culture, or the purpose, task, or goals of the team, group, or community? A qualitative, multi-method study could be designed to subsequently explore the variations and understand why a group or individual might be willing to use certain practices, but reluctant to use others, or why some behaviors of a specific practice are viewed as more effective or implemented more frequently than others. For instance, why does a group tend to select more polite modes of directing, such as

requesting or suggesting, over commanding, ordering, or demanding? Furthermore, this framework could serve as the basis for examining the ethical guidelines for using each core practice or success criteria for the use of the core practices in various combinations or situations.

The theory can also be used to investigate the relationship between outcomes or consequences on teams, organizations, or communities and the predominant use of certain practices or minimal use of others. For example, what type of dynamics or climate is created on a team that uses a greater amount of reporting and inquiring versus a team that uses a lesser amount or none? Or, what is the difference, in terms of action and decision making or level of commitment, between teams that use commanding and ordering forms of directing compared to those that use requests and suggestions? Findings from such studies could then be extended or applied to understanding the development of leadership. This theory is particularly conducive to studying leadership as a process among actual groups, teams, organizations or communities, rather than focusing on the behaviors of individual formal leaders.

Integrative Scholarship for the Practice and Development of Leadership

In addition to empirical study, this communicative theory of leadership practice presents an opportunity for integrative scholarship. A great deal of knowledge and research is already available that relates to these communicative leadership practices. Theories and literature from various disciplines inform the performance and development of each core practice. Below I will identify scholarship from communication, social psychology, philosophy, rhetoric, linguistics, and social influence that could be usefully integrated with this theory and/or applied to its practice and development.

Reporting and Inquiring. Early social psychology research on group roles and facilitation (Bales, 1950; Cartwright & Zander, 1968; Olmsted, 1959) as well as group decision-

making and problem solving (Allport, 1924; Asch, 1951; Bergum & Leher, 1963; Farnsworth & Behner, 1931; Kelley & Thibaut, 1968; Zajonc, 1965; Zajonc & Salas, 1966) sheds light on the development and practice of both reporting and inquiring. For instance, Bales (1950) provided a framework for small group problem solving called interaction process analysis. He described twelve categories of behavior that can be used to observe and analyze group process. Six behavior categories perform task functions: (1) give suggestions, (2) ask for suggestions, (3) give opinions, (4) ask for opinion, (5) give orientation, (6) ask for orientation. Another six behavior categories perform socio-emotional functions: (1) show solidarity, (2) show antagonism, (3) show tension release, (4) show tension, (5) agree, (6) disagree. The six task behaviors particularly pertain to the practices of reporting and inquiring.

More recent literature in the areas of dialogue (Bohm, 1996; Isaacs, 1999; Senge, 1990) and appreciative inquiry (Cooperrider, Sorensen, Yaeger, & Whitney, 2001; Cooperrider, Whitney, & Stavros, 2003; Whitney & Trosten-Bloom, 2003) relate to how we use reporting and inquiring together. The purpose of dialogue is for people to think together, listen to each other, speak their voice, and understand in a new way. It is about creating a context for learning, understanding, and problem-solving. These are the functions that reporting and inquiring serve and, perhaps, knowledge on dialogue can be applied to these core practices. Similarly, appreciative inquiry is an approach to organization change that is affirmative or positive, inquiry-based, and collaborative and participative. Reporting and inquiring are key steps in the process, as is envisioning.

Dialogue and appreciative inquiry are both rooted in theories of learning, action research, and social constructionism (Argyris, 1970; Argyris & Schon, 1978; Gergen, 1978, 1982, 1985, 1994, 1999; Kolb, 1983, 1984; Lewin, 1951). Action learning (Marquardt, 2000, 2005; Peters &

Smith, 1998a, 1998b, 1997; Raelin, 1994, 1997a, 1997b, 1997c, 1998; Revans, 1972, 1977, 1979, 1980, 1982a, 1982b) is another related area that could support our understanding of this pair of leadership practices. Action learning attempts to integrate thinking with doing and theory with practice and relies upon a problem-based process of inquiry, reflection, and experience for both learning and change.

Advocating and Envisioning. The function of advocating and envisioning is to inspire or motivate others to take action in service of interests claimed by or for a community. Advocating does this by convincing or influencing others about what is or what soon will be. Envisioning inspires others to act related to what should or ought to be. Theories of argument (e.g., Perelman & Olbrechts-Tyteca, 1969; Toulmin, 1972, 2003; van Eemeren & Grootendorst, 1984, 1987, 1988, 1990, 1992, 2004) are applicable to advocating. Research on persuasion (e.g., Petty & Cacioppo, 1981, 1986; Petty, Priester, & Wegener, 1994; Petty, Schumann, Richman, & Stratham, 1993; Schwarz, Bless, & Bohner, 1991) and rhetoric (e.g., Aristotle, 1991; Bitzer, 1968, 1980; Gill & Whebee, 1997) offer support for both advocating and envisioning.

For instance, Toulmin (2003) detailed six elements of the structure and layout of arguments. Argument, according to his model, is the form or structure of laying out support, backing, evidence, and explanation for one's claims. Van Eemeren and Grootendorst (1984, 1987, 1988, 1990, 1992, 2004) developed a systematic theory of argumentation integrating descriptive and normative aspects. Their Pragma-Dialectical approach is useful to both the analysis and practice of argument. Either structure can be applied to the practice or development of advocating.

The leadership practice of advocating involves more than argument, reason, or logic. It can include other sorts of emotional or psychological appeals in order to influence others to act.

These appeals are also used when envisioning. Petty and Cacioppo (1981, 1986) created a dual process model of persuasion called the Elaboration Likelihood Model. This model includes a central and a peripheral route for persuasion. In essence, the central route is built on the argument quality of the message. The peripheral route relies on variables like communicator attractiveness or expertise, or the message recipient's mood (Petty, Schumann, Richman, & Stratham, 1993; Schwarz, Bless, & Bohner, 1991) Studies using the Elaboration Likelihood Model identify the conditions necessary for people to use each route and the effectiveness and persistence of persuasion from each route. Most compelling is the finding that attitudes formed or changed by the central route are relatively persistent and resistant to change until challenged by convincing counterarguments. Attitudes formed or changed by the peripheral route are relatively fleeting and short-lived (Petty & Cacioppo, 1986; Petty, Priester, & Wegener, 1994). Presumably, a person engaging in leadership through the practice of advocating or envisioning will be more successful at cultivating constant and enduring attitude change if the central route is available and used.

In addition to social scientific approaches to persuasion, the practice and development of advocating and envisioning can be served by applying rhetorical strategies. Rhetoric is concerned with the use of discourse to persuade and influence others. It is a field of study with Ancient Greco-Roman roots back to Aristotle and Cicero. More modern traditions include Bitzer's (1968, 1980) framework for developing successful rhetorical strategies. He conceives of the rhetorical situation as the use of discourse to persuade an *audience*, in response to a specific *exigence*, within given *constraints*. This framework could also be applied to the core practices of advocating and envisioning.

Finally, research on metaphor (e.g., Black, 1979; Lakoff & Johnson, 1980) narrative (e.g., Boje, 1991, 1994, 2001; Gabriel, 1995, 2000; Gardner, 1995; Polkinghorne, 1988; Ricoeur, 1984) and framing (e.g., Fairhurst & Sarr, 1996; Schon & Rein, 1994) supports both advocating and envisioning in that they are rhetorical or communication devices for meaning-making that have the power to inspire, influence, or motivate action.

Directing and Pledging. The function of directing and pledging is to build commitment or obligation to act. Research on conformity and social facilitation (Deutsch & Gerard, 1955; Festinger, 1953; Kelman, 1958; Moscovici, 1985), compliance gaining (Festinger, 1953; Kelman, 1961; Marwell & Schmitt, 1967), social exchange (Blau, 1964; Homans, 1958, 1961), and delegation (Tannenbaum, 1950; Tannenbaum & Massarik, 1950, 1951; Tannenbaum & Schmidt, 1958), as well as social identity (Hogg, 2001; Hogg, Abrams, Otten, & Hinkle, 2004; Hogg & Terry, 2000) and politeness theory (Brown & Levinson, 1987) all tell us a great deal about how and why this sense of obligation is created, and the approaches that result in long-term commitment and internalization versus those that result in short-term compliance. For example, Festinger (1953), Deutsch and Gerard (1955), and Kelman (1961) studied the distinction between public conformity with and without private acceptance, the difference between merely gaining compliance and being able to secure commitment.

Marwell and Schmitt's (1967) compliance-gaining research shifted the emphasis from why people conform to how to get people to conform. Their study described 16 compliance-gaining strategies. Their list includes strategies such as expertise; promises and threats; debt; liking; moral appeal; esteem; and altruism. They based their list of strategies on a variety of theories, including French and Raven's (1960) bases of social power; Etzioni's (1961) types of power; Kelman's (1958, 1961) types of conformity; and Thibaut and Kelley's (1959) description

of inducement and deterrence. These strategies have implications for the application of the core leadership practice of directing.

Social exchange theories (Blau, 1964; Homans, 1958, 1961) inform both the leadership practices of directing and pledging. Social exchange processes secure compliance and cooperation by leveraging a sense of obligation. Essentially, by doing or offering a favor to another, an obligation is created for the other person. There is an expectation of some unspecified reciprocation at some point in the future. The function of directing and pledging is to build a sense of commitment and obligation. As reviewed in chapter two, several leadership theories are premised on social exchange theory (e.g., Dansereau, Graen, and Haga, 1975; Hollander, 1978; Jacobs, 1970).

Sustained success in leadership depends upon building internalized commitment and strong identification with the goals and interests of the group, team, community, or organization. Research on social identity (Hogg, 2001; Hogg & Abrams, 1998; Hogg & Turner, 1987; Tajfel, 1972; Turner, 1982), impression management and face work (Goffman, 1955, 1959), and promises and obligations (Atiyah, 1981; Rawls, 1971; Raz, 1977; Scanlon, 1998; Searle, 1969, 1979) also offer support for the practice of pledging, and to a lesser extent, envisioning.

Tajfel (1972) defined social identity as "the individual's knowledge that he belongs to certain social groups together with some emotional and value significance to him of the group membership" (p. 31). Hogg and Abrams (1998) discussed an individual's commitment to a group, and commitment to act on behalf of the interests or goals of that group, as a result of the individual making the group part of his or her identity. Pledging, as well as envisioning, are leadership practices that build or leverage identification and commitment that can be employed

on behalf of the group's, team's, or organization's goals. Social identification is concerned with belonging to a group. This identification helps to build solidarity and conformity.

Social identity researchers have linked social identity explicitly to leadership (Hogg, 2001; Hogg, Abrams, Otten, & Hinkle, 2004; Hogg & Terry, 2000). Hogg and his colleagues found that as people identify more strongly with a group, they increasingly confer leadership on fellow members who most exemplify the ideal group member. These findings are consonant with Hollander's (1964, 1969) studies of an idiosyncrasy credit theory of leadership. The processes of attribution and social attraction support who is identified as a prototypical group member. Therefore, building strong identification among members with the group, team, or organization is a way of developing leadership via the commitment and identification of others. Pledging, in particular, is a practice that can be used to model and follow through with group prototypical behavior, thus building identification strengthens commitment to act in service of interests claimed by or for a community.

Finally, research on delegation and politeness theory can offer insight into the practice of directing. Delegation (Tannenbaum, 1950; Tannenbaum & Massarik, 1950, 1951; Tannenbaum & Schmidt, 1958) is an attempt to obligate others and, so, is a form of directing. Understanding how to delegate well is one way of developing this practice. Politeness theory (Brown & Levinson, 1987), based on Goffman's (1959) work, analyzes and delineates conversational rules and strategies for politeness, tact, and deference that allow us to save face, smooth things over, and manage impressions in interactions that are awkward, unfriendly, offensive, or aggressive. This theory is particularly applicable to the effective use of directing.

Declaring and Constituting. The practices of declaring and constituting can be explicated through work on meaning making and the construction of social reality (e.g., Searle, 1995;

Smircich & Morgan, 1982; Weick, 2001). The use of both practices involves the use of language or symbolic behavior to create or change institutional, cultural, or social reality. It is the use of symbols that calls that reality into existence. Integrative scholarship can increase understanding of how this happens and under what conditions and would inform the practice and development of declaring and constituting.

Developing Leadership as an Individual Capability and as a Cultural Resource

This theory of communicative leadership practice points to one more set of implications – developing leadership as both an individual capability and as a cultural resource within organizations and communities. Understanding, adapting to, and developing organizational culture is the only way, ultimately, to optimize the practice and development of leadership. We still need to explore empirically how to do this. Developing leadership through individual skill-building does not necessarily translate into individuals applying those skills and practices. Just because someone has a capability does not mean that he or she will use it, especially if the culture or climate is not receptive to that practice. We need to develop leadership as both an individual capability and as a cultural resource. Organizational culture determines the reception and success of leadership practices. The wider the range of practices an organization accommodates, the greater the leadership versatility and capability developed.

Language and communication are always embedded in a social context. As such, we cannot consider the practice and development of the core leadership practices without also considering the cultural milieu. One shapes the other. They each reveal and create (see e.g., Alvesson, 2002; Alvesson & Berg, 1992; Geertz, 1973; Morgan, 1997; Smircich, 1985; Weick, 2001). For example, an organizational culture is created through the interactions and symbolic behavior of the people in that organization, and the culture subsequently influences the

interactions and symbolic behavior used by the people in that organization. This symbolic behavior reveals or expresses something about the culture, just as it also shapes or creates that culture.

The leadership scenarios in chapter five, though based on contemporary literature and derived from my own professional experiences, only suggest possibilities for leadership practice in different organizational cultures. We need to empirically test these hypotheses in a number of ways. First, as mentioned earlier in this chapter, which practices are used most frequently, by whom, and in which types of team climates or organizational cultures? Why? Second, does that shift when the culture is changed or developed? How much can a culture change to accommodate a broader range of leadership practices? For example, could a strong hierarchical culture, such as the military, adapt enough to invite more inquiring and different types of directing and to what extent? If so, what would be the result or impact? Should a strong hierarchical culture attempt such adaptations? If so, how would that be achieved?

Next Steps

The communicative theory of leadership practice developed in this study is now positioned for empirical testing. Once it is tested and developed empirically, it can be applied to the practice, development, and empirical investigation of leadership. The analyses, examples, and leadership scenarios have clarified and addressed some questions and generated testable propositions and hypotheses for empirical research. Such study, application, and development will help us to expand our capacity to secure action in service of interests claimed by or for our teams, organizations, and communities.

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