

Towards a Substantive Theory of Leadership, Negotiation and Decision Making of Leaders

This paper presents a review of the literature on leadership and a description of the proposed Leadership Framework, through which the leadership capabilities of various leaders would be viewed. The framework has been developed by innovating and adapting from knowledge and information made available from previous literature and research works. The literature review describes source theories of leadership, the early emphasis on great man theories, traits theories, behavioral theories, the contingency theories and finally the 'new theories of leadership', which place great importance on vision, and the concept of transformational leadership, in which charisma and a leader's motives, beliefs and values are equally important. The leadership framework proposed consists of six elements or windows; namely vision, strategy, structure, process which involves negotiation and decision making, personal proficiency and leadership grooming.

Key words: *Leadership, Negotiation, Decision making, Charisma, Transformational Leadership, Leadership framework, Vision, National leaders*

INTRODUCTION

In the face of greater complexity of the twenty first century environment, intuition, intellect and charisma are no longer enough for leaders to face global challenges. Leaders need tools and approaches to guide their organizations through less familiar waters (Snowden & Boone 2007). They will need to know when to share power and when to wield it alone, when to look to the wisdom of the group and when to take their own counsel, to reach the right decision and negotiate successfully. A deep

understanding of the problem and its context, the ability to embrace complexity and paradox, the willingness to flexibly change leadership, negotiation and decision making competency will be required for leaders who want to make things happen in a time of increasing uncertainty.

It is not enough during these times to explore leadership in isolation as leadership involves negotiation and decision making. Making decisions is one of the most important functions performed by leaders (Yukl & Becker 2006). However, it is also often said that great leaders are great negotiators (Nanus & Dobbs 1999); thus in this sense, negotiation and decision making merges with issues of leadership.

But what are the attributes of those leaders and how do they negotiate and make decisions? In many developing countries, leadership has become more difficult due to

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technological advances, domestic and global competition as well as increasing complexity of the global issues that leaders encounter. However, are the leaders well prepared to provide the necessary leadership, negotiate and make the right decision? Different leaders approach leadership, negotiation and decision making differently. It is necessary to understand the nature of leadership, negotiation and decision making and how these are perceived by various leaders.

This paper presents the literature review of leadership and describes the proposed leadership framework, which shall form the basis of a multiple case studies research to be carried out, involving conducting face to face interviews with leaders to explore the basic parameters of leadership, negotiation and decision making; a research seeking to discover what our selected leaders think, how they behave in certain situations, what character or attributes do they consider necessary and important in leading, negotiating and decision making.

LITERATURE REVIEW

Leadership theories

Leadership has been a popular phenomenon in the literature of social sciences. Many theories seem to have confused researchers and therefore sprinkled ideas about leadership continue to appear from time to time. At the turn of the twentieth century, it was generally recognized that leadership, as an area of study for management scholars, had appeared in vogue for the better part of two decades. This turn around in scholarly attention to leadership research could be attributed to a renaissance of interest in

charismatic leadership (Conger & Kanungo 1987; House & Studies 1977; House, Wright and Aditya 1997) and the introduction of the transformational leadership concept (Bass 1985; Burns 1978). These leadership theories are summarized as shown in Table 1.

Rising and falling interest in these “new” (Bryman 1993) or “neo-charismatic” (House, Wright & Aditya 1997) theories of leadership brought new researchers to the field and attracted experienced scholars who had turned their concentration to other topics back into the fold. Hunt (1999) observed that the field had been revived by a paradigm shift to transformational/charismatic leadership. On the other hand, other authors (Day & O’Connor 2003) argued that there is a shift in focus which is taking place towards more focus on the relational context.

Currently a large amount of research on leadership has been concentrated on the level of direct supervision, with the main unit of analysis being the relationship between leaders and followers. This analysis has focused on leaders and followers’ characteristics and their relationship. Leader communication behavior has received, by far the most attention in the literature (Zaccaro & Klimoski 2001). This concern dates to the Ohio State research program on leadership behavior patterns - as described by constructs “structure” and “consideration” - where “structure” includes behavior in which the leader defines group activities and the roles expected of members whilst “consideration” includes behavior indicating mutual trust, respect and deeper concerns for followers’ needs (Fleishman 1953; Fleishman et al. 1973).



Table 1: A Summary of Leadership Theories	
Great Man Theories	Based on the belief that leaders are exceptional people, born with innate qualities, destined to lead. The use of the term 'man' was intentional since until the latter part of the twentieth century leadership was thought of as a concept which is primarily male, military and Western. This led to be the next school of Trait Theories.
Trait Theories	The lists of traits or qualities associated with leadership exist in abundance and continue to be produced. They draw on virtually all the adjectives in the dictionary which describe some positive or virtuous human attribute, from ambition to zest for life.
Behaviorist Theories	These concentrate on what leaders actually do rather than on their qualities. Different patterns of behavior are observed and categorized as 'style of leadership'. This area has probably attracted most attention from practicing managers.
Situational Leadership	This approach sees leadership as specific to the situation in which it is being exercised. For example, whilst some situations may require an autocratic style, others may need a more participative approach. It also proposes that there may be difference in required leadership styles at different levels in the same organization.
Contingency Theory	This is a refinement of the situational viewpoint and focuses on identifying the situational variables which best predict the most appropriate or effective leadership style to fit the particular circumstances.
Transactional Theory	This approach emphasizes the importance of the relationship between leader and followers, focusing on the mutual benefits derived from a form of 'contract' through which the leader delivers such things as rewards or recognition in return for the commitment or loyalty of the followers.
Transformational Theory	The central concept here is change and the role of leadership in envisioning and implementing the transformation of organizational performance.
Source: Bolden et al., 2003	

Another study by researchers at the University of Michigan (Likert 1961; Kahn & Katz 1989), crystallized mission-oriented and relationship-oriented leadership approaches, and added participative leadership as a third approach. The basic dichotomy between relationship-oriented or consideration approaches and task-oriented or structuring approaches has been leading across numerous interpersonal and social exchange theories of leadership. Fiedler (2005) contingency theory utilizes versions of these two constructs to identify how ongoing leader characteristic interact with

situational parameters to influence leader effectiveness.

Other authors illustrated how leaders apply diverse practices and behaviors according to situational demands (Blake & Mouton 1964; Hersey & Blanchard 1969; Kerr & Jermier 1978; Mitchell 1974; Vroom & Yetton 1973). Interpersonal theories of leadership that have concentrated on follower characteristics include the leader legitimacy framework (Hollander 1964; Hollander 1978; Hollander & Julian 1970) and leader categorization theory (Cronshaw & Lord 1987; Lord et al. 1984). These approaches



observe the perceptions held by followers of the leader and the role these perceptions and cognitions play in legitimizing the leader's efforts at social influence (Zaccaro & Horn 2003). Other approaches (Hersey, Blanchard & Johnson 1984; Hersey & Blanchard 1969; Howell & Dorfman 1981; Kerr & Jermier 1978) explain how follower or subordinate characteristics moderate the actions of their leaders.

Alternatively, Bryman (1996) documented four sequential phases of leadership theory, which is descriptive of changing conceptions of leadership:

- (1) Trait theories, which are concerned with leader's traits.
- (2) Behavioral theories, which are concerned with an identification of behavioral styles of leaders.
- (3) Contingency or situational theories, which are concerned with a focus on fitting behavioral styles to situational factors.
- (4) "New theories of leadership", which are concerned with a focus on the articulation of a vision.



Certainly, such "new theories" of leadership have over recent years evolved as essential to our understanding of leadership with an emphasis on transformational leadership,

where a leader inspires followers to change their motives, beliefs, values and abilities so that the followers' own interests and personal goals become harmonious with the organization (Bass 1985). A key component of this leadership is charisma.

Conger and Kanungo (1987) have built a leadership theory that specially focuses on this aspect. They propose that charismatic leaders vary from other leaders by their capability to create and communicate an inspirational vision and by behaviors that they and their mission are unusual. In both models there is a common suggestion of a leader inspiring followers to a shared vision. This conceptualization of leadership has certainly turned out to be widely accepted in the literature. However, some have inquired such mainstream thinking and call for a greater openness to the consideration of leadership than is presently found (Alvesson & Sveningsson 2003).

The nature of the relationship between transactional, transformational, and transcendental theories of leadership is defined along a hierarchical continuum (Sanders et al. 2003). As leaders move from an external to internal locus of control, and from low to high spirituality, they move from transactional to transformational to transcendental leadership styles (Geroy et al. 2009). Brown and Trevino (2005) noted that transformational, spiritual and authentic theories of leadership all address the moral potential of leadership in some way.

Kanungo & Mendonca (1996) argued that transformational leadership emphasizes ethical influence process, whereas transactional leadership does not. But, Bass (1985) argued that transformational leaders can be ethical or unethical depending upon their motivation. Bass and Steidlmeier distinguished further between authentic and pseudo transformational leaders (1999).



Authentic transformational leaders are said to be ethical leaders because of the legality of their moral values. Authentic leaders are “those who are extremely conscious of how they think and behave and are perceived by others as being aware of their own and others’ values and ethical perspectives, knowledge, and strengths; conscious of the context in which they operate; and who are confident, optimistic, positive, flexible, and high on ethical character” (Avolio et al. 2004). Luthans & Avolio (2003) indicated that authentic leadership is a “root construct” that “could include charismatic, transformational, integrity or ethical leadership”. However, they also argue that these constructs are different from each other.

Upon scrutiny, the literature review of leadership shows that there is no integrative theoretical framework of how leaders lead, negotiate and make decisions. Also there is a limitation in the application of grounded theory in leadership, decision making and negotiation. No study could be found that link leadership, negotiation and decision making. Consequently, researchers tend to search for the tradition of basic research, to clarify and recognize the social influence dynamics of leadership. Future research should present the platform for understanding and determining leadership practices in different context. In other words, leadership literature must be translated into an equivalent range of effective practices to help leaders face the continuous challenges and changes of leadership, and of negotiation and decision making. In light of the preceding exposition, we decided to create a substantive integrative theoretical framework for leadership, negotiation and decision making.

LEADERSHIP AND DECISION MAKING:

Making decision is mainly the most important function made by leaders (Yukl & Becker 2006). However, in most organizations, those who are at the top (the “leaders”) are expected to make the decision and it will be implemented by those lower down the organization (the “managers”). Nevertheless, with increasing competitive pressures and the necessity to generate more flexible, reactive and dynamic organizations, there is a growing need to improve leaders’ skill to make the right decisions within a short time. Current organizations- except maybe hospitals and rescue teams - do not need life-or-death decisions, but decision making differs according to circumstances. Decisions sometimes must be made within a short time and sometimes made by taking careful considerations. These two decision making styles are known by various names – satisfying versus maximizing (Iyengar, Wells & Schwartz 2006) and restricted versus comprehensive (Tatum & Eberlin 2007). However, the necessary components are the same: fast decision making versus considered decision making.

These phenomena of decision making styles are not new and emerged in the classic work of Simon (1957), and Tversky and Kahneman (1974). A plethora of empirical facts supporting these decision behaviors are also well highlighted (De Groot 1978, Driver, Brosseau & Hunsaker 1993; Driver & Streufert 1969; Eisenhardt 1989) and have even been discussed in the popular press (Gladwell 2005). These different decision making styles are connected to leadership. Transformational and transactional leadership gravitate to diverse decision styles. Transformational leaders are intelligent, charismatic, inspire their followers, and seek new options. They seek to collect and integrate as much information



as possible in order to shape their vision and stimulate their followers. Therefore, transformational leaders implement a more integrative and comprehensive decision making style.

On the other hand, transactional leaders tend to focus on the job at hand and aim to resolve instant problems. These characteristics of transactional leaders are

linked to less comprehensive decision styles and reflect a style that limits the quantity of information that is processed (Tatum & Eberlin 2007, Tatum et al. 2003). Tatum and Eberlin proposed a hypothetical relationship between leadership style and decision making style, which assumes that different types of leaders will demonstrate different types of decision making styles as shown in Figure 1.

		Decision Style	
		Restricted	Comprehensive
Leadership Style	Transactional	Strong Relationship +	Weak Relationship ○
	Transformational	Weak Relationship ○	Strong Relationship +

Figure 1: Leadership Vs Decision Making Style. Source: Tatum & Eberlin 2007

Leader is expected to generate a fair, caring and open organizational system. In any ethical organization, the decisions that leaders make must reflect fair management of people, concern for workers' welfare and responsibility to the environment and the larger external community.

LEADERSHIP AND NEGOTIATION:

According to traditional leadership literature, leadership requires vision, personality, and confidence but not negotiation skills (Braker 2008). This is proven wrong as leadership frequently requires negotiation (Russell 2010). A leader needs to persuade people to follow, needs to appeal to their interests, communicate with them efficiently and sell a vision. Charisma, vision, and authority may affect how others relate to the leader; but it would not necessarily make them follow. Individuals follow leaders when they are convinced that it is the best choice. Just as effective

negotiators focus on the counterparts' interests, good leaders try to recognize and satisfy the interests of their followers. This helps the leader to achieve organizational goals. A famous poet said, "Surely, whoever speaks to me in the right voice, him or her I shall follow". These words underline two fundamental concepts. Firstly, convincing communication is necessary to effective leadership. Secondly, the style of communication is important in leadership to meet individual concerns and interests (Braker 2008).





Furthermore, presently many people look to their leaders to establish vision. They think that an organization vision comes from its leader and that without a strong leader the organization has no clear vision. A leader negotiates support from followers by fulfilling their interests, communicating with each of them in the right way and creating a single convincing vision that all can follow.

After extensive review of leadership and negotiation literature, the number of research linking leadership with negotiation is very limited. But most of the existing research found a positive relationship between leadership and negotiation. Fells and Savery (1984) suggested that a strong leadership strategy is an important aspect of securing agreements in negotiation. While Politis (2001) found that leadership styles that are characterized by participative behavior, mutual trust and respect for subordinates' ideas and feelings are positively related to negotiation. However, when examining the relationships between emotional intelligence and negotiation outcomes, it was found that a person who has a high emotional intelligence achieves greater objective gain and a more positive negotiating experience (Der Foo et al. 2004). If we consider that emotional intelligence is an essential leadership attribute, then indirectly this means emotional intelligence can be positively linked to leadership.

CONCEPTUAL FRAMEWORK

This paper recognizes the contributions to the reservoir of knowledge in leadership by so many past researchers which in one way or another influence the thinking towards the development of the proposed conceptual framework. This paper proposes a framework built on some of the works of earlier research (Siegel 2001; Ulrich, Smallwood & Sweetman 2008). The proposed leadership framework, as illustrated in Figure 2, looks at leadership competencies from six windows namely: vision, strategy, structure, process, personal proficiency and leadership grooming.

The framework implies that leadership competencies are not a matter of inborn skills or gifted talent as the great man theory suggested. Neither are leadership competencies a group of acquired behaviors or relationships. Instead they are a group of talents and behaviors which need to be improved and developed, so that leaders can inspire and influence others to achieve common goals. In this framework, a leader should excel in at least personal proficiency and process; personal proficiency creates followers' trust while process involves negotiation and decision making which are vital to leadership. Without the existence of trust, a leader cannot influence others, and without the capability to influence people, he will have no followers (Bennis 1999). Meanwhile the importance of process comes from the leader's ability to make bold decisions and communicate with followers to persuade them to follow him, to appeal to their interests, to communicate with them efficiently, and to sell his vision - all of which are part of successful negotiation. Otherwise, again the leader will have no followers and the basis of leadership is diminished



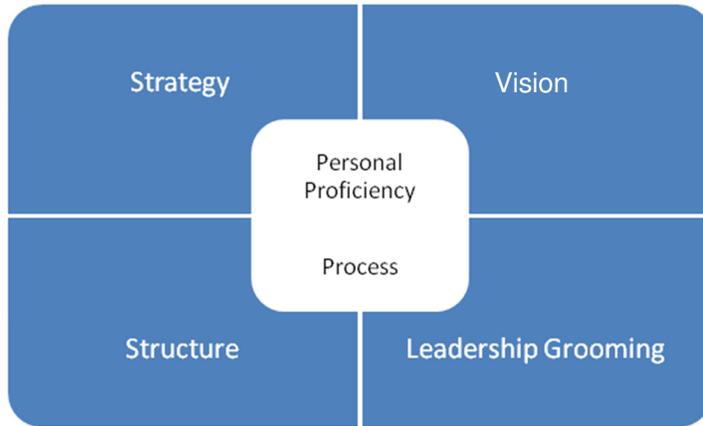


Figure 2: The Proposed Leadership Framework

1. Vision

Reviewing the literature of visionary leadership, Conger and Kanungo (1998) noted that most researchers in leadership field define vision around future-oriented objectives that are extremely significant to followers and thus define vision as "a set of idealized goals established by the leader that represent a perspective shared by followers". Also, numerous leadership authors have mentioned the image of the future in the definitions of vision based on the fact that it provides direction to be persuaded. Moreover, a vision explains a set of principles, gives a sense of purpose, and underlines the exceptionality of an organization. A main feature of strong a vision is inspirational, and such visions have been as linked with higher organizational performance (Baum, Locke and Kirkpatrick 1998). Devanna and Tichy (1990) described visions as inspiring, optimistic and stimulating followers to take on complicated challenges. Basically it is about purpose. What is the leadership purpose? Where does he want to take the country or the organization? What is his long term goal (Wallin & Ryan 1994). Hallinger and Heck (2002) mentioned that the ability to set clear

goals and explain them to others in an effective manner is critical in leadership.

Vision is an influential instrument of leadership because it assists the leader to explain his purposes and priorities (Nanus 1992). Bennis (1989) said the first degree of leadership is guiding a vision. Most researchers in leadership field (Bass 1985; Bennis & Nanus 1985; House & Studies 1977; Baum, Locke & Kirkpatrick 1998) agreed that successful leaders are usually described by their followers as being visionary and inspirational. Generally, the literature on leadership, especially charismatic transformational leadership, tends to consider vision as a basic component in leadership that inspires people to higher level of effort and performance.

2. Strategy

Strategy in many circumstances means politics. It is defined as a plan to achieve a desired long term goal. It means the leader's ability to transform vision into reality or to get things done. In other words, it is the skill needed to implement one's vision, to influence others and at the same time build correlations for change. It is about execution, with the details of delivery. This is how leaders are going to implement their



vision. Who are they going to recruit to help them? How are they going to influence the followers? Leaders can have a vision but if they cannot get it done it is meaningless. Many leaders failed because they could not execute their visions. Good leaders must enable things to be done. There are two critical aspects of strategy for a leader; to master the details of implementation and the persuasion aspect of the job (Siegel 2001). Firstly, the leader must understand the requirements of the strategy or policy implementation. The second aspect of strategy relates to a leader's facility with persuasion and with retail politics. Negotiation, bargaining, influencing, building coalition, enlisting the support of competent people, all of these are requisite skills of a successful strategic leader. Dahl and Lindblom (1953) said "because he is a bargainer, a negotiator, the politician does not often give orders. He can rarely employ unilateral controls; the leader's control depends on his skill in bargaining".

3. Structure

In leadership context structure means management: a leader must develop a sense of structure in his management. This refers to the design skills needed to set up an effective organization structure and change operation in a smooth manner (Siegel 2001). It is a management question - a question about how leaders are going to organize their organizations. It is a very important decision which a leader needs to very consciously make. Structure is all about surrounding yourself with good people. Successful leaders make sure they have the right people around them and make effort to improve individual strengths. Those who surround themselves with similar traits will always be in trouble in the long run compared to those who surround themselves with complementary traits with different skills and abilities. A leader has to make sure he gets people who are competent, so

he can use them efficiently in a way that helps the organization to accomplish its goals. Hiring well qualified people is important and valuable to build an environment of trust and confidence, enabling the leader to confidently delegate some of the tasks.

4. Process: Negotiation and Decision Making

There are two important functions of leadership which are negotiation and decision making. Within the boundary of this study, it refers to the leader's ability to actively listen to opinions and make clear decisions, and the ability to resolve conflicts among the followers. The leader must determine whether he wants a great diversity of opinion, or a narrowly drawn range of options. How do leaders make and announce decisions? How do they handle conflicts? Will they build in diversity into their administration? Process is about decision making, conflict resolution, and making sure the best information that is needed is obtained to make the right decision. Decision making is central to the leader's task performance and a leader needs to develop process, techniques, and strategies for effectiveness in decision making and negotiation. One vital aspect of effective decision making is the leader's interest in hearing diverse views. The leader in this case can have a great influence on the ability of his aides to express diverse opinions. A leader can actively solicit diverse points of view, consider them seriously and then reach a clear decision (Goodwin 1998). Alternatively, a leader can signal impatience with dissenting opinions and seek a closure on issues prematurely. Leaders' aides must summon the courage to give their boss honest and direct advice (Riggio, Chaleff & Hipman-Bluman 2008).

Sometimes a leader is unsure of how aligned some people in the organization are with his



strategy and goals. This can be done through effective negotiation and persuasion. A leader persuades people by doing a lot of talking, listening, and sharing information to understand them better. However, it often takes time to make the change. Persuasion is a conversation with the aim of influencing your audience to your point of view. There are many ways to persuade such as one to one meeting and open door policy. It is about managing change, it concerns moving from what you are today to your goal of where you want to be.

5. Personal Proficiency

An effective leader starts with the self. Hence this current study posits the idea of personal proficiency as a central concern. If any leader wants to build leadership in his organization, he needs to model what he want others to know and do. Ulrich and Smallwood (2007) define personal proficiency as "acting with integrity, exercising social and emotional intelligence, making bold decisions, and engendering trust". In addition, they listed unique characteristics that must be inherent in leaders: strong vision, foster teamwork and demonstrate emotional intelligence. What this means is that leaders must be passionate about their beliefs, interests, personal energy and attention on whatever matters to them. They must inspire loyalty, integrity, trust, and goodwill. Decisive and impassioned, they are capable of bold and courageous moves. Being confident in their ability to deal with situations as they arise, they can tolerate ambiguity.

6. Leadership Grooming

Leadership grooming is an important responsibility of visionary leaders who set up organizations and sustain the success for the next generation. Such leaders will ensure that the organization has the longer term competencies required for future strategic

success. In addition, they engage in managing today's talents, identify, develop, and create loyalty to get immediate results. Ulrich and Smallwood (2008) describe it as encouraging, engaging, and communicating with workers and grooming them for future leadership. In this competency, the leader must answer two questions: who comes with me in my journey and who stays and sustains the organization for the future? By answering these questions, the leader ensures the management of current talents to achieve short term results while developing the longer term human capital required for future success. Developing and managing talent plays an essential role in developing future leaders. Talent Management includes recruitment, strategy, organizational culture, and development of talent within the organization for its future success. Talent management is the top issue for 75% of respondents of a survey (Sandler et al., 2006). The potential for a 'talent' shortage in the near future highlights the importance of leaders' role in identifying, developing and communicating with the 'talents'. Leaders are required to invest in their followers and help future leaders to be successful.

CONCLUSION:

Leadership is a process by which a person influences others to achieve the objectives and common goals. It can be viewed from various perspectives. However, the proposed leadership framework challenges the followership to view through six windows of leadership. Leadership is about having a strong belief of the future which means having a vision. Leadership is also about developing influence strategy in order to translate vision into reality. Leadership means persuasion and negotiation - which are the fundamental aspects of leadership - are needed as to negotiate with the followers



and persuade them to follow the vision of the nation or the organization. Because it facilitates the leader's task in grooming leadership, a pool of potential leaders should be created by identifying current talents and develop it to get immediate results and sustain future organizational success of the nation. Above all, a leader must possess the personal skills to perform leadership role. These six leadership windows will assist the researcher to understand how leaders have

been able to lead their nations over the years.

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