HUMAN RESOURCE DEVELOPMENT RESEARCH CENTER

THE DEVELOPMENT OF "A THEORY OF RESPONSIBLE LEADERSHIP FOR PERFORMANCE"

Susan A. Lynham

July 2000

UNIVERSITY OF MINNESOTA
DEPARTMENT OF WORK, COMMUNITY AND FAMILY EDUCATION
ST. PAUL, MN

Table of Contents

List of Figures

List of Tables

CHAPTER ONE
INTRODUCTION, PURPOSE AND IMPORTANCE

This thesis is a developmental study of a theory of leadership. The focus of this study is twofold. The primary focus is that of the phenomenon of leadership. The secondary focus is that of theory building. It is the intention of this study to bring these two points of focus together and to do so by developing and operationalizing "A Theory of Responsible Leadership for Performance." This first and introductory chapter consists of four parts. First, a high level overview and critique of the leadership literature is used to introduce the need for this study. Second, the need, problem, and purpose of the study are made explicit. Third, an overview of the chapters is presented. And finally, an overview of the theory building journey from the authors' perspective is provided.

AN INTRODUCTORY CONSIDERATION OF THE PHENOMENON OF LEADERSHIP

Evidence suggests that the study of leadership as a phenomenon has been an issue since long before the days of Plato. In the classical philosophy of the early Greeks, leadership was thought to be restricted to the intellectually elite and leadership education to those of the more socially and economically elite classes. Plato, in *The Republic*, proposed a three-tier system of government, reflecting the ideal city-state, consisting of the guardians or the rulers, the auxiliaries or the army executive and those engaged in economic activity like farmers, traders, and manufacturers (Lee, 1987). Plato strongly supported rule and leadership by the guardians, whom he felt should be deeply schooled in the issues of society and philosophy to adequately fulfill this role. He also believed that these guardians should be in service to society. These early thoughts and philosophies continue to be reflected in the literature on leadership and have left an indelible mark on the study and practice of leadership.

The works of key authors like Bass (1990), Gardner (1990), Clark & Clark (1994), Northouse (1997), and others from the Center of Creative Leadership, indicate that quite a bit has been done to gather up the literature on studies of research and practice on leadership. Bass (1990) presents an eloquent synopsis of the leadership literature--a field that has paralleled the development and evolution of civilization. According to Bass, interest in and study of leadership dates back as far as 2400BC starting with the Egyptian portrayals of leadership observed in their pharaohs and described in their hieroglyphics. These studies were built on by the classical Chinese teachings of Confucius in the 6th century BC, and followed by numerous concepts of leadership being offered by the Greeks, Plato being one of these. Notable during the Renaissance (1500s) were Machiavelli's teachings on leadership in *The Prince*, as well as the later works of Hegel on leadership in his work *Philosophy of the Mind* in the early 1800s. A military slant to leadership first gained prominence during the rise of the British Empire (from the early 1600s to the late-1800s). Napoleon is known to have listed 115 qualities necessary for a military leader!

The early 1900s saw the beginning of the study of leadership as a universal phenomenon, in both humans and many other species. As leadership studies began to emerge in the domain of the social sciences, and in particular in social psychology, these studies tended to be predominantly concerned with theoretical issues. This theoretical slant to leadership was replaced in the 1940s by a preoccupation with empirical research inquiry, a focus that lasted through the 1960s and later returned to theory driven perspectives in the 1970s. Since the 1970s there has been an upsurge in leadership literature. Early such literature closely equated leadership to management, and was later replaced, in the late 1980s and early 1990s, by an increasing recognition of fundamental differences between leadership and management. Notably in this regard are the works of Gardner (1990), Kotter (1990a, 1990b), and Kouzes and Posner (1987). During the 1900s leadership has expanded beyond the domain of social psychology and traditional management studies literature, where it was traditionally housed, into that of the broader social sciences and humanities.

Since the mid-1980s we have seen an increase in leadership-related literature with Bass and Stogdill's (1990) seminal work including over 8000 citations in this regard. This upsurge is further underscored by the *Leadership Education: Source Book* published every two years by the Center for Creative Leadership listing the thousands of studies, books, programs, and educational courses available in leadership around the USA. The concern with this proliferation of leadership related literature lies in an increasing number of faddish, unsubstantiated works and claims and an increased number of consulting firms and practices being centered on such work (Micklethwait & Wooldridge, 1996). Many who have been in a notable position of leadership are offering theories of leadership in the form of a latest book or approach. Most of these offerings are based on experience, but very few are informed by sound research and scholarly study (Boyett & Boyett, 1998; Northouse, 1997).

Research concerning leadership is inextricably linked with the age-old debate of whether leadership is an issue of nurture or nature. Some authors, like Kotter (1990a, 1990b), Kouzes and Posner (1987, 1996), Gardner (1990), and Drucker (1967; 1980; 1994), believe that leadership can be taught and learned. Others, as demonstrated in the earlier writings of Bennis (Bennis & Nanus, 1985; Boyett & Boyett, 1998) believe the opposite. These two extremes of nature and nurture continue to impact and dominate the field of leadership study resulting in the emergence over the past ten years of more contingent and inclusive views of leadership (Northouse, 1997; Yukl & Van Vleet, 1992). Today it is more accepted that leadership is a phenomenon of both nature and nurture.

An initial review of related literature shows not only a vast increase in the number of publications on leadership (Bass, 1990; Clark & Clark, 1994; Center for Creative Leadership Education: Sourcebook, 1996-1997), but that the field of leadership studies is "riddled with paradoxes, inconsistencies and contradictions" (Klenke, 1993, p. 112). Leadership theories have shifted from model to model with many approaches only dealing with one or two narrow aspects of leadership. Common classifications of the approaches to leadership sort the research and theory into one of five categories (Bass, 1990; Brungardt, 1996; Northouse, 1997; Yukl & Van Fleet, 1992), namely: (1) traits

theory--emphasizing the personal attributes of leadership, (2) behavioral theory--emphasizing what leaders actually do and the identification of different styles and their effects on group performance, (3) situational theory--emphasizing the different demands different situations place on leadership, and therefore, leadership style, (4) power-influence theory--which explains leadership in terms of the amount, type and use of power and influence tactics, and (5) transformational theory--emphasizing the leader's role in the creation of culture and revitalization of organizations. Newer approaches, like the 3E's of Responsible Leadership (White Newman, 1993), *The Seventh View* (Terry, 1993), *Leadership for Community* (Bryson & Crosby, 1992) provide frameworks for integrating the many approaches to leadership.

Clearly, a review of the literature on leadership theories and models points to general inadequacy in a few arenas. First, the direct link between leadership and business performance is implied rather than explicit. This highlights a potentially false leap of logic that leads organizations to believe that leadership is indeed a direct driver of performance--yet there is little evidence to support this leap of logic (Meindl & Ehrlich, 1987; Yukl & Van Fleet, 1992). Second, the impact of leadership on performance is not considered in multiple domains of performance, but rather as a broad, organizational outcome, if indeed at all (Bass, 1990; Lynham, 1998; Yukl & Van Fleet, 1992). Third, missing from the literature on leadership theories and models is the multi-dimensional notion of responsibility (White Newman, 1993). Although some notions of leadership include the importance of value-centeredness (Clark & Clark, 1996; Covey, 1991), and others allude to the importance of renewal in leadership (Gardner, 1990), being responsible in leadership is predominantly associated with effectiveness (Bennis, 1994; Bhatia, 1995; Tannenbaum & Schmidt, 1973)--with getting things done, rather than with an integration of effectiveness, ethics *and* endurance. Fourth, generally missing from this body of literature is agreement on the dependent variable of leadership, as well as the multi-dimensional nature of responsible leadership. Furthermore, although these many approaches to leadership have provided us with different insights into the nature of leadership, they all tend to consider leadership as an object, as an outcome in itself. In spite of the numerous definitions of leadership as a process (Gardner, 1990; Kotter, 1990a, 1990b; Northouse, 1997; White Newman, 1993; Yukl & Van Fleet, 1992), the phenomenon of leadership is still largely treated as an end in itself and as a desirable one at that. This treatment of leadership as an object, an end-state, has significant implications for the study and practice of leadership and indeed, for leadership development. It also imposes significant limitations on related research and practice.

That the phenomenon of leadership may be a system, with inputs, processes, outputs and feedback, and in service to a larger performance system, is not deeply considered in the literature and represents a notable void in this body of knowledge. Given the huge amounts of money being spent on the training, coaching and development of leadership capabilities, and the increasingly diverse environs in which leadership is both applied and judged, the above are troublesome theoretical gaps and inadequacies (Boyett & Boyett, 1998; Brungardt, 1996; Yukl & Van Fleet, 1992).

THE PROBLEM AND THE NEED

Companies spend huge amounts of money in pursuit of recipes for leadership success. In fact it has been estimated that 86% of companies offers some form of leadership training (Boyett & Boyett, 1998). Conversely, few companies can attest to the directly verifiable contribution of this investment to their business performance, although much of the research literature claims leadership as critical to organizational performance and profitability (Bass, 1985; Bass, 1990; Kotter, 1990a, 1990b; Meindl & Ehrlich, 1987; Rottenberg & Saloner, 1993; Yukl & Van Fleet, 1992). Leadership and leadership development will increasingly need to show a direct link to business performance. Leadership is decreasingly about recipes of actions and characteristics that are transferable to infinite contexts, reflected in the likes of popular leadership models such as that of Covey's principle-centered leadership (1989, 1991).

In the light of increasingly complex, chaotic and unpredictable business environments, the long-term success of any business is closely linked to gaining a new sense and understanding of what leadership means (Wheatley, 1992). In this emerging context, leadership will need to be more appropriate for an information and knowledge age of business, an age in which leadership must demonstrate responsibility for both the people and performance side of the business equation, and do so in an integrated, systemic way (Bolwijn & Kumpe, 1996; Drucker, 1994; McLagan & Nel, 1996; Melrose, 1995). Despite the profusion of leadership models and theories, the majority of these, particularly those developed in the past five to ten years, seem to be more of a pop (atheoretical) rather than a scholarly nature often lacking theoretical and empirical rigor.

Brungardt (1996) highlights that, in spite of the abundance of leadership research over the last several years which has given us a "much better understanding of leaders and the leadership process," the field of leadership studies continues to be "riddled with paradoxes, inconsistencies and contradictions" (p.82). This lack of theoretical and empirical rigor in existing leadership models and theories is underscored by Klenke: "...contributing to the messy state of the art [of leadership] are controversies about theoretical and methodological issues as well as tensions between the disciplines contributing to leadership studies" (1993, p.112). Swanson (1995a) stressed that as the role of performance improvement in organizations increasingly takes on strategic and global importance, executives are, and should be, increasingly held accountable in this arena. Leadership and leadership development should be seen as "core organizational efforts at improving performance" and must, like other organizational efforts, "recognize the organization's major business processes and their connectedness to core inputs and outputs for the purpose of adding value"(p. ix). In short, the stresses and demands of the emerging global organization and accompanying chaos and complexity of these business realities will likely call for leadership that can think and act fundamentally differently in the future (Lynham, 1998).

With executive salaries and compensation raised to astronomical heights, their less fortunate workforces have developed extreme cynicism in response to upper management's betrayal of trust (Lee, 1997). Workers "...do not understand why these things are going on. Leadership has failed to make the case, which fuels anger and

frustration" (Lee, 1997, p. 35). The paradox of what seems to be happening in the realm of leadership is that greed and self-interest among top executives is contrasted against the calls for these same people at the top of organizations to view themselves as servant-leaders (Swanson, 1996). This alludes to what Greenleaf (1991) describes as a leader who serves first, making sure that other people's highest priority needs are being served, and leads second (Block, 1993; Greenleaf, 1991). Much of the leadership development response is focused on the strength and characteristics of the individual leader rather than looking at leadership needing to take place at multiple levels, in an integrated way, and within a particular performance system. Covey's (1989, 1991) popular leadership model is an example of this self-centered view of leadership that never directly deals with performance nor constituency. How to integrate the performance demands and the realities of humanity are challenges to those interested in leadership. The field of Human Resource Development (HRD) should have something to say in response to the uni-dimensional, leader-at-the top, short-term economic view of leadership driven by stock market investors.

THE PROBLEM STATEMENT AND PURPOSE

The problem statement driving this study is that available leadership theories do not explicitly nor adequately address the nature and challenges of leadership that is both responsible and focused on performance. The problem under investigation is the need for a theory of leadership that satisfies the multiple domains of concern for responsibility and performance. The theory must integrate the practical overarching concerns for people *and* performance (Lynham, 1998; Melrose, 1995). Leadership theories and models in the current popular and scholarly literature are neither adequate nor explicit enough for this purpose. It is therefore the purpose of this study to address this inadequacy by developing and operationalizing a theory of leadership that satisfies and makes explicit the nature and challenges of leadership in multiple domains of responsibility *and* performance.

THE STRUCTURE OF THIS STUDY

Chapter One provided a brief introduction to, and clarification of, the purpose and importance of this study. A high level overview of the leadership literature, together with a description of the problem statement and purpose of the study, was offered.

Chapter Two presents a review of the theoretical approaches to leadership theory. Five key theoretical approaches commonly used to categorize and study leadership theory and research are presented, analyzed and discussed: trait, behavioral, situational, power and influence, and transformation. Also reviewed is the literature on performance improvement theory, and theory and theory building, and general systems theory in Human Resource Development (HRD).

The third chapter describes the methodology used in this study. Included in this chapter are the research question and two sub-questions addressed by the study: theory building terms and concepts core to the study, a detailed description of the methodology

of the study, and an overview of the connection between the research questions and methodology used in the study.

Chapter Four represents the body and major outcome of this study, namely, the completion of the first phase of theory building--the development of the theory that is the focus of this study. Presented in detail are the three units, four laws of interaction, two boundaries and two system states that form the theoretical framework of the theory.

The fifth chapter describes the process and outcomes of theory building phases two, three and four: operationalization, verification and ongoing refinement of the theory. Initial propositions and key empirical indicators for the theory are specified and described. The requirements for future verification and ongoing refinement of the theory are then presented.

The final chapter discusses the implications of the study. Implications of the theory developed and partially validated in the study are considered for leadership research and practice. Also highlighted are the implications of the theory building methodology used in this study for both theory building and theory building research in HRD.

OVERVIEW OF THE THEORY BUILDING JOURNEY

The journey of theory building is a lonely and demanding one of the researcher-theorist. Dubin (1978) described theory building as both a heartening and a disheartening journey. Theory building is heartening in that the outcome of the journey made explicit by the researcher-theorist is one of simplicity and common sense. Theory building is disheartening in that the outcome of the theory building journey is a simple, common sense model of the real world.

The journey of applied theory building, such as the nature of this study, requires that the researcher-theorist relies on informed imagination--an imagination informed by both existing research and literature and by her own experience of the nature of the phenomenon of the theory in the real world. In developing "A Theory of Responsible Leadership for Performance" I allowed my imagination to be informed in both of these ways--from a review of existing literature and research, and from my practice in and experience with leadership. I have been involved in leadership and leadership development since the late 1980s. From this experience I came to know that the phenomenon of leadership is more a puzzlement than a certainty--that we really know much less about this phenomenon than what popular literature and research sometimes leads us to believe. During my involvement with leadership and leadership development in South African business during the crucial period preceding the enormous transitions facing the country, I came to understand and experience business leadership as a phenomenon lent to and constantly earned by those in positions capable of influencing the direction and future of business and ultimately a nation. Through experience I came to know leadership not just as a phenomenon of position, but also as a phenomenon of representing constituency in an effective, ethical and enduring manner. I also came to realize, that it was the responsibility of leadership to help and enable performance--in the short, medium and long term, and on many fronts or in many domains. This experience

gave birth to the insight that leadership wasn't so much about individuals, as the literature would lead us to believe, but rather about a system of inputs (from constituency), processes (in the form of practices, habits and resources), and outputs (in the form of multiple domain performance). I came to understand leadership as a system in-service to a performance system. Subsequent years of experience in leadership development in the United States served to further confirm this understanding of the phenomenon of leadership.

In a community-based society one earns the right to stand up as one (the right of leadership), a right extended by constituency as long as the recipient of that right continues to represent and satisfy the needs, goals and desires of the constituency. When responsible representation of constituency is no longer true the right of leadership can be removed from an individual or the group to whom it was initially extended. The same appears to be true of leadership in a democracy-based society and system. It appears that it is the system of leadership, conducted in a responsible manner, and resulting in specific outcomes deemed desirable by constituency, that is important to constituency and that gives rise to the need for and phenomenon of leadership.

I have allowed this leadership-related experience, gained in South Africa and the United States, to inform my theory building imagination in a number of ways. First, this experience has informed me in the choice of the three key units of the theory of this study--which reflect the input-process-output notion of the phenomenon of leadership. Second, this experience has informed me in the framing of leadership as a focused, purposeful system in-service to a performance system. Furthermore, in the spirit and responsibility of scholarly theory building, I have drawn on insights gained from a thorough review of related leadership research and literature. I have also followed, with scholarly rigor, a thorough and tested applied theory building methodology which allowed me to integrate my best understanding and knowledge of the phenomenon of leadership with my experience in the real world of that phenomenon. At the end of the day, the outcome of this theory building study, "A Theory of Responsible Leadership for Performance," therefore reflects my integration of my knowledge and experience of leadership--my best informed imagination on the phenomenon of leadership. This integration of knowledge and experience of a real-world phenomenon, in an informed, imagined and methodical way, is the task of applied theory building and the task of this study.

CHAPTER TWO
REVIEW OF THE LITERATURE

The purpose of this study is to develop and begin to operationalize "A Theory of Responsible Leadership for Performance." In developing a theory, the researcher-theorist is first informed of the need for a new theory from practice. The next step is to reach into existing literature to conceptualize, build and validate the content of a theoretical framework that will model and explain the real world phenomenon in such a way as to address this need (Dubin, 1978; Torraco, 1997). The literature used to inform the theory of this study includes a review of theoretical perspectives of leadership, performance improvement theory in Human Resource Development (HRD), and theory, theory building and general systems theory in HRD, all of which are presented in three parts.

The first part considers five key category approaches to leadership theory, namely, trait, behavioral, situational, power and influence, and transformation. Each of these five category approaches reveals very different theoretical dimensions--essences, driving assumptions, definitions, theoretical roots, time period, variations, target outcomes, variations to, and strengths and weaknesses--inherent in leadership theory (Northouse, 1997; Yukl & Van Fleet, 1992).

The second part reviews performance improvement theory as applied in HRD. HRD "is the process of developing and/or unleashing human expertise for the purpose of performance improvement" (University of Minnesota, 1994). As such, leadership research and practice falls well within the focus and concern of HRD (Holton & Lynham, 2000; Lynham, 1998, 2000a). Furthermore, the multidisciplinary roots of HRD provide a unique integrated, interdisciplinary lens from which to consider the phenomenon of leadership (Holton & Lynham, 2000). In this section performance improvement theory is therefore reviewed from an HRD perspective.

Finally, a general review of theory and theory building is offered. Also included in this third part of the review are the importance and challenges of theory building in HRD, as well as a consideration of general systems theory in HRD.

PART ONE: THEORETICAL PERSPECTIVES OF LEADERSHIP

A number of hallmark studies reviewing and classifying leadership studies and theories have been undertaken during the past decade, most notably those by Bass (1990), Yukl & van Fleet (1992), and Northouse (1997). It is not the purpose of this literature review to repeat the comprehensive review journey of these scholars. Instead, this section of the literature review considers the key theoretical perspectives of leadership that have been the outcome of these scholarly endeavours. It is the varying nature of these theoretical leadership perspectives that have informed the building of "A Theory of Responsible Leadership for Performance."

In his renowned *Handbook of Leadership*, Bass (1990) noted that although much progress has been made on what is known about the phenomenon of leadership, there still remains a proliferation of perspectives, definitions and theories on leadership. This confusion and inconsistency in the leadership body of knowledge continues today

(Counts, Farmer & Shepard, 1995). This observation about the contradictory and elusive nature of leadership knowledge is confirmed by Yukl and Van Fleet in their 1992 article on *Theory and Research on Leadership in Organizations*. In their article, Yukl and Van Fleet (1992) pointed to a number of controversies underlying the differing perspectives, definitions and theories that abound in the leadership literature. The first of these controversies is around the definition of leadership, which seems to differ with every person who attempts to define the phenomenon (Burns, 1996; Counts, Farmer & Shepard, 1995; Forker, 1986; Greenwood, 1995). The second controversy relates to the "locus of leadership in organizations" (Yukl & Van Fleet, 1992, p. 148). One view of the locus of leadership is the perception of leadership as a shared influencing process. An opposing view argues that leadership must be understood in the context of role specialization, leadership being a specialized role within an organization. A third controversy rests on conflicting views on the difference and similarity between leadership and management (Bass, 1990; Burns, 1996; Capozzoli, 1995; Kotter, 1990b; Lester & Kunich, 1997). The literature ranges on a continuum from leadership being equated to management, to leadership and management being considered as mutually exclusive and essentially different phenomena. Leadership literature that has emerged in the last few years appears to have taken a middle ground on this leadership-management issue, reflecting an *and, both* perception of leadership and management (Burns, 1996; Gardner, 1990; Holton & Naquin, 2000; Ulrich, Zenger & Smallwood, 1999; Vaill, 1998).

This proliferation of perspectives on leadership underlies the continued confusion and contradictions that typify the leadership literature. However, in order to understand the available literature on leadership, it is helpful to use the various theoretical categories of leadership theory to access the available literature. At the same time, there is not one agreed-upon schema for categorizing the different theories of leadership. How the leadership theories and research are categorized depends on whose review of the leadership literature is being used for the purpose of categorization (Bass, 1990; Brungardt, 1996; Burns, 1996; Greenwood, 1995; Northouse, 1997; Paige, 1998; Terry, 1990; Yukl & Van Fleet, 1992). Yukl and Van Fleets' (1992) five category approach to leadership theory is utilized to organize and access the leadership literature used to inform this study--trait, behavioral, power and influence, situational, and transformation theory. The essences of the comparative theoretical approaches offered by Bass (1990), Brungardt (1997), Greenwood (1996), and Northouse (1997) are integrated with that of Yukl and Van Fleet (1992), resulting in an overview analysis and synthesis of the core literature on leadership theory.

Using this five-category approach made it possible to reveal a number of useful theoretical dimensions inherent in the leadership literature, for example: the essences, driving assumptions, definitions, theoretical roots, time period, target outcomes, variations to, and strengths and weaknesses related to each key approach to the leadership theory. Each of these five category approaches to leadership research and theory (trait, behavioral, situational, power and influence, and transformational theory) is considered against each of these theoretical dimensions, as indicated in the schema outlined in Figure 2.1 below.

Figure 2.1. A Schema of the Theoretical Dimensions used to Compare the Five Category Approaches to Leadership

Theoretical Dimensions	Five Category Approaches to Leadership				
	Trait	Behavioral	Situational	Power & Influence	Transformation
Essences					
Driving Assumptions					
Definitions					
Theoretical Roots					
Time Period					
Target Outcomes					
Variations to					
Strengths					
Weaknesses					

Trait Approaches

In essence, trait approaches to leadership have been characterised by the study of leadership traits "to determine what made certain people great leaders" (Northouse, 1997, p. 13). Typical of this approach is so-called Great-Man theories of leadership (Bass, 1990; Northouse, 1997). Great-Man theories of leadership were based on the belief that great leaders had innate, hereditary qualities and characteristics and were men. Leadership from the trait perspective was seen as a phenomenon of individuals and based on the assumption that selection of the *right* people would lead to organizational effectiveness.

From the trait approach, leaders are born and not made; that is, leaders are a product of nature rather than nurture (Bass, 1990; Bennis, 1984; Bennis & Nanus, 1985; Boyett & Boyett, 1998; Fiedler, 1981; Goodwin, 1978; Northouse, 1997; Paige, 1998; Yukl & Van Fleet, 1992; Wren, 1995). Informed by psychology, the trait approach was guided by the belief that "people were born with special traits that made them great leaders" (Northouse, 1997, p. 29). Traits therefore became a predictor of effective leadership. Leadership was seen to be about the study and identification of innate qualities and characteristics of leaders with the intent that people with these traits could be recognized and selected into organizations and positions of influence.

The trait approach typified leadership theories and research of the early 1900s and persisted to the mid-1900s when this approach fell into disfavor and "leadership was reconceptualized as a relationship between people in a social setting" (Northouse, 1997, p. 14). It is widely recognized that in the mid-1980s and 1990s there has been a resurgence in the trait approach with an increased emphasis on theories and models of charismatic and visionary leadership skills (Bass, 1990; Boyett & Boyett, 1998; Byrd, 1987; Conger & Kanungo, 1987; Kirkpatrick & Locke, 1991; House, 1977; Nanus, 1992; Northouse, 1997). Although no longer referred to as trait approaches, modern day variations to this approach include so-called visionary, charismatic, attribute and

principles theories of leadership (Arsenault, 1997; Davis & Luthans, 1984; Den Hartog, Koopman & Van Muijen, 1995; Kunich & Lester, 1997; Mintzberg, 1994a).

The trait approach focuses on leadership, not followship, and is preoccupied with the study of who does and who does not have leadership traits. The target outcome of this approach is effective leadership, encapsulated in a list of traits to be cultivated and developed by aspiring leaders (Bass, 1990; Northouse, 1997; Yukl & Van Fleet, 1992). Having a leader with specific sets of traits is considered essential for effective leadership. It is assumed, therefore, that employing individuals with these traits is a necessity for effective leadership. The outcome focus is on effective leaders, making leadership the outcome variable of this approach.

As with all approaches to leadership, the trait approach reflects both strengths and weaknesses. A number of perceived strengths of this approach to leadership are as follows. This approach is considered to be intuitively appealing--as people like to view a leader as special and this approach appeals to this need (Northouse, 1997). The trait approach is backed by more research than any other approach to leadership (Bass, 1990; Northouse, 1997; Yukl & Van Fleet, 1992). This approach has led to a deeper understanding of how the process of leadership is linked to personal attributes and considerations of personality and has, as a result, provided people with benchmarks for what leaders should look like (Bass, 1990; Greenwood, 1995; Northouse, 1997; Yukl & Van Fleet, 1992). At the same time the trait approach to leadership has some inherent weaknesses. The trait approach has failed to result in a definitive set of leadership traits, resulting instead, in endless and ambiguous lists of leadership skills, traits, atttributes, practices, and competencies (Bass, 1990; Boyett & Boyett, 1998; Davis & Luthans, 1984; Northouse, 1997). This approach has not been able to take situational variables and their impact on leadership into account, resulting in an oversimplification of leadership (Bass, 1990; Greenwood, 1996; Husband, 1985; Northouse, 1997; Yukl & Van Fleet, 1992). Related research studies have generally been questioned in terms of objectivity and reliability of research methods used (Bass, 1990). This approach is perceived as having failed to identify traits in relationship to leadership outcomes like productivity and employees satisfaction (Davis & Luthans, 1984; Dubin, 1979). Furthermore, the focus on the emergence of the individual is not considered useful for training and development due to the fundamental premise that leadership is born and not made (Bass, 1990; Boyett & Boyett, 1998; Northouse, 1997; Vroom, 1975).

Behavioral Approaches

According to Yukl & Van Fleet (1992): "The behavioral approach emphasizes what leaders and mangers actually *do* on the job and the relationship of this behavior to leader effectiveness" (p. 154). Brungardt (1996) highlighted the essence of behavioral theories of leadership as the emphasis of what leaders actually do and the identification of different styles and their effect on group performance. Behavioral approaches to leadership theory therefore rests on the assumption that leaders demonstrate specific behaviors that can be studied and developed. One is reminded in this approach of Aristotle's advice that to understand virtue we must study virtuous men (Macintyre,

1966; Urmson, 1988). To understand effective leaders we must therefore study and understand what they do, how they act, and then try to emulate their actions.

Recognizing the need to consider more than leader traits, behavioral theories of leadership began to emerge in the late 1920s (Bass, 1990; Burns, 1996; Northouse, 1997). Behavioral theories, rooted in psychology, emerged with the consideration of the need to replace leadership as a function of persuasion by personality with that of leadership as a function of "observable behaviors of leaders that change the behaviors of subordinates" (Bass, 1990, p. 48).

Two hallmark studies in the behavioral approach to leadership were those conducted by Ohio State University and the University of Michigan. Both related variation of leadership styles to a contrasting interaction between concern for relationships and concern for task or production (Greenwood, 1996; Northouse, 1997; Yukl & Van Fleet, 1992). The essence of these studies was later made popular by Blake and Mouton in their managerial (leadership) grid that contrasted appropriateness of leadership style on an interacting grid of concern for people versus concern for production (Blake & Mouton, 1982; Northouse, 1997). Other variations of the behavioral approach included theories on managerial activities, taxonomies of behavior, two-factor taxonomies of behavior, participative leadership, and typologies of specific leader behaviors and practices (Bass, 1990; Husband, 1985; Northouse, 1997; Rotemberg & Garth, 1993; Vroom, 1975; Yukl & Van Fleet, 1992).

Influenced by its psychological roots, leadership from the behavioral perspective is viewed as a form of activity (actions or behaviors); a focus on what leaders both do and how they act to influence the actions or behavior of others, particularly their subordinates (Fiedler, 1981; Northouse, 1997). The target outcome of leadership from the behavioral perspective is leader effectiveness in group action, making leader performance the outcome variable of this approach (Bass, 1990; Davis & Luthans, 1984; Northouse, 1997; Yukl & Van Fleet, 1992).

Behavioral approaches to leadership have both strengths and weaknesses (Bass, 1990; Northouse, 1997; Yukl & Van Fleet, 1992). There are a number of perceived strengths to this approach. First, the significant shift in the emphasis and focus of leadership research marked by this approach--away from traits to behavior and the recognition that leadership was concerned with the interactive behavior between leaders and subordinates (Northouse, 1997). Second, there is a large body of research informing this area of leadership studies--particularly on participative leadership and leadership styles (Yukl & Van Fleet, 1992). And third, the heuristic nature of behavioral approaches provided a broad conceptual map for understanding the complexities of leadership (Northouse, 1997). Similarly, some perceived weaknesses of this approach are reported. First, that the results from the masses of related studies are generally thought to be contradictory and inconclusive (Bass, 1990; Blake & Mouton, 1982; Brungardt, 1996; Yukl & Van Fleet, 1992). Second, that this approach has failed to identify behaviors universal to effective leadership, resulting instead in endless lists and taxonomies of effective leadership behaviors and practices (Boyett & Boyett, 1998; Northouse, 1997; Yukl & Van Fleet, 1992).

Situational Approaches

Recognizing that leadership was not just about inherent traits or influencing behaviors on others, and that leadership effectiveness was significantly impacted by the situation in which leadership occurred, situational theories of leadership began to emerge in the 1960s. From the situational approach, leadership became about matching appropriate skills and styles to changing environmental conditions (Graeff, 1983; Paige, 1998). The basic premise for the situational approach is that "different situations demand different kinds of leadership" (Northouse, 1997, p. 53). In direct opposition to the trait approach, the situational approach assumed that the leader was the product of the situation (Bass, 1990).

Leadership from the situational perspective emphasized "the importance of contextual factors" (Yukl & Van Fleet, 1992, p. 167) in leadership, "that leadership is composed of both a directive and a supportive dimension, and each has to be applied appropriately in a given situation" (Northouse, 1997, p. 53). Further embedded in the situational approach is an assumption that employee skills and motivation change over time and that leadership can effect and shape these changes (Northouse, 1997; Yukl & Van Fleet, 1992).

Rooted in psychology (social, behavioral, cognitive and organizational psychology) and systems and management theory, according to the situational approach, effective leaders are viewed as "causal agents who shape events rather than be shaped by them" (Yukl & Van Fleet, 1992, p. 167). Effective leaders are those who can recognize the situation and what employees need and adapt their behavior and style to meet the situation and needs (Bennis, 1984; Hersey, 1984, 1985; Northouse, 1997). The situational approach was popularized by Herseys' four styles of leadership which contrasted subordinates' need for support with directiveness of the leader and the developmental levels of the followers (Hersey, 1984; Northouse, 1997; Yukl & Van Fleet, 1992). Also included in the situational approach are leadership theories of role expectation, attribution, path-goal, leadership substitute, normative decision making, contingency, cognitive, multiple linkage, and leader-environment-follower-interaction (Yukl & Van Fleet, 1992).

Group performance and increased productivity are desired outcomes of effective leadership from this approach, with leadership viewed as a causal variable to these outputs. Leader effectiveness is often measured in this approach by role fulfillment, appropriate style, decision making, employee motivation, and relationship with employees or groups of influence (Davis & Luthans, 1984; Graeff, 1983; Greenwood, 1995; Northouse, 1997; Yetton & Vroom, 1973; Yukl & Van Fleet, 1992).

Some perceived strengths of the situational approach include: its practicality and intuitive sensibility and the provision of principles that can be used across a wide range of settings, the prescriptive nature of many of the models (such as the four leadership styles) informing one of what should be done in what situation, the relatively large amount of research supporting many situational approaches, and the emphasis on the need for flexible leadership inherent in this approach (Northouse, 1997). At the same time, the situational approach has a number of weaknesses. Many of the theories are very

general, making them difficult to test and use (Bass, 1990; Yukl & Van Fleet). Although supported by a fairly large body of research, the research available is considered fairly weak, raising questions about the validity of this approach (Bass, 1990; Northouse, 1997; Yukl & Van Fleet, 1992).

Power and Influence Approaches

Power and influence approaches perceive leadership as a process that is centered in making a difference by challenging, motivating and influencing people to take action (Paige, 1998; Northouse, 1997). Emerging in the 1960s this approach includes theories on types of power, how leadership gains and loses power, the relationship between amounts of leader power and leader effectiveness, and the relationship between influence behavior and effective leadership (Yukl & Van Fleet, 1992).

The power and influence approach assumes that "the power possessed by a leader is important not only for influencing subordinates, but also for influencing peers, superiors, and people outside the organization, such as clients and suppliers" (Yukl & Van Fleet, 1992, p. 160). The difference between power and influence is highlighted by Hollander: "...power implies features of coercion and control, whereas influence indicates greater persuasion" (1985, p. 485). Inherent in this approach is the recognition of hierarchy in leadership and the power and influence embedded in hierarchy (Katz & Kahn, 1978).

Rooted in psychology, sociology, social systems and organization theory, this approach views power and influence as key to the role of leadership. The desired outcome of leadership from this perspective is to use power and influence towards the achievement of certain goals, where the latter can be either those of the leader or shared by the leader and followers (Paige, 1998; Hollander, 1985; Yukl & Van Fleet, 1992). Effective leadership, from this perspective, is therefore the successful use of power and influencing processes to achieve singular or joint goals.

An accepted example of the power and influence approach is a theory of reciprocal influence, commonly known as leader-member exchange theory (Bass, 1990; Northouse, 1997; Yukl & Van Fleet, 1992). Originally conceived by Dansereau, Graen, & Haga (1975) and Graen & Cashman (1975), leader-member exchange (LMX) theory challenged the assumption that leadership is something done to followers. LMX theory perceived leadership as a dyadic relationship between the leader and the follower and showed that there can be different kinds of relationships (in-group or out-group) between leadership and followers (Northouse, 1997; Yukl & Van Fleet, 1992). Further studies have been conducted on, for example, how leader power and behavior impacts on perceptions of leadership (Palich & Hom, 1992).

The power and influence approach has a number of perceived strengths and weaknesses. Strengths of this approach include: the introduction of the importance of reciprocal influence to the notion of leadership, the gaining of new insights about leadership emergence and effective leadership, and making leader-member relationships the focus and output of the leadership process (Northouse, 1997; Yukl & Van Fleet, 1992). Some weaknesses inherent in this approach are: the tendency to oversimplify

leadership in terms of power-influence relationships between leadership and organizational membership, and a perceived lack of research attention in terms of related studies (Yukl & Van Fleet, 1992; Northouse, 1997).

Transformation Approaches

Emerging in the late 1970s, the transformation approach to leadership marked the development of a new paradigm in leadership theory (Bass, 1990). Credited first to James MacGregor Burns (1978), transformational leadership was conceptualized as a process whereby followers are required to "transcend their own self-interests for the good of the group, organization or society" (Bass, 1990, p. 53). Both founding theorists of the transformation approach, Burns (1978) used the concept of transforming leadership which he described as "a relationship of mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agents" (p. 4). Bass, on the other hand, speaks of transformational leadership as a condition or state, suggesting that transformational leadership is a state of being or a character rather than a process (Burns, 1996).

A key assumption in the transformation approach is that leadership can take people to new heights, both in terms of motivation to perform and morality (Bass, 1990; Block, 1993; Burns, 1996; Deluga, 1998; Greenleaf, 1991; Goodwin, 1978; Northouse, 1997). From this perspective, leadership is considered to be about "doing what has never been done before" (Paige, 1998, p. 58), and as a result is often considered to include visionary and charismatic leadership (Bennis, 1985; 1994; Bennis & Nanus, 1985).

Rooted in psychology, sociology, business, ethics, systems, organization and culture theory, the transformation approach views leadership as a shared process. The dependent variable and output of effective leadership is, according to this perspective, the ability to transform oneself, others and the organization to new, unimagined heights of motivation and performance (Northouse, 1997; Tichy, 1997; Yukl & Van Fleet, 1992).

As with each approach, the transformation approach has some notable strengths and weaknesses. Strengths of this approach include: the important contribution to our conceptualization of leadership, particularly as a process of making of meaning and not just things; it puts forward an appealing notion of leadership (as one who makes vision and meaning and inspires new levels of possibility), and it emphasizes the importance of needs, values and morals in both leaders and followers (Bass, 1990; Block, 1993; Gardner, 1990; Greenleaf, 1991; Northouse, 1997; Yukl & Van Fleet, 1992). Some weaknesses associated with this approach are: that it is relatively new and as yet lacks a strong base of empirical research; being dominated by descriptive and qualitative research, the increasing emphasis on charismatic and visionary leadership, which tends to link back to trait theory raising the question of whether this type of leadership can be developed; and, that leadership from this perspective has the potential to be abused (Northouse, 1997; Yukl & Van Fleet, 1992).

These five approaches to leadership--trait, behavioral, situational, power and influence, and transformation--encompass some of the core perspectives and theories on leadership. As indicated each theoretical category approach is governed by specific

assumptions about the nature, challenges and purpose of leadership, and each has added to our understanding of what remains a much studied yet still confusing phenomenon (Greenwood, 1996; Wren, 1995).

PART TWO: PERFORMANCE IMPROVEMENT THEORY

A second body of literature used in the building of "A Theory of Responsible Leadership for Performance" is that of performance improvement theory. This literature was reviewed from the perspective of Human Resource Development (HRD), a perspective which was used to frame and focus the pool of literature on performance improvement.

The desired outcome of HRD has long been an issue of energetic debate in the profession (Holton, 2000a; Weinberger, 1998). In recent years, two distinct camps have formed around this debate . The first claims that the outcome of HRD should be one of learning (Barrie & Pace, 1998, 1999; Watkins, 1995; Watkins & Marsick, 1993). The second claims it should be one of performance (Holton, 1998; Swanson, 1995a, 1995b, 1998, 1999; Swanson & Torraco, 1995). Recently it has been proposed that *both* learning and performance can be entertained as dependent variables of HRD endeavors by re-perceiving learning as an indicator of future performance (Holton, 1999, 2000a).

Performance improvement is increasingly seen as a necessary, but not necessarily sufficient, outcome of performance (Holton, 1998; Leimbach & Baldwin, 1997; Torraco, 1998; Ruona, 1998; Swanson, 1998; Swanson & Holton, 1999). Holton (1999) offered *An Integrated Taxonomy of Performance* that highlighted how performance should be linked to whole system performance by considering performance from multiple domains--mission, process(es), social subsystems, and individual(s) (Holton, 2000b, personal conversation). Through the perspective of multiple domains of integrated performance, learning can be considered as a driver of performance and therefore a predictor of future performance outcomes (Boudreau & Ramsted, 1997; Holton, 1999; Swanson & Holton, 1999).

Two considerations are useful in reviewing theories and models of performance improvement in HRD. The first is the theoretical foundations that inform HRD research and practice. The second is the notion of whole system and multiple domain performance.

The Theoretical Foundations of Human Resource Development (HRD)

HRD is considered a multidisciplinary profession, drawing on many and varied bodies of knowledge for models and theories of research and practice (Barrie & Pace, 1998; Chalofsky, 1998; Dahl, 1989; Holton, 1998; McLean, 1999; Ruona, 1998; Swanson, 1995, 1998, 1999b; Torraco, 1998; Watkins, 1995; Willis, 1997). Given its multidisciplinary nature, HRD's theory and practice sometimes runs the risk of theoretical relativism, where any theory or model, if deemed useful, can be used to inform the profession (Ruona & Lynham, 1999). Since 1989 there has been an increased

recognition of the need for unifying theories for HRD (Dahl, 1989). Swanson (1995b) was the first to put forward a framework of three core theoretical foundations to guide research and practice in HRD--psychology, systems, and economics (Passmore, 1997; Ruona & Swanson, 1998). In a 1998 Academy of HRD symposium on the theoretical foundations of HRD, Holton (1998), Ruona (1998), Swanson (1998) and Torraco (1998) offered further explanation and description of these three theoretical foundations and how they could be used to guide and inform HRD. Swanson (1998) used the metaphor of the three legged stool to highlight the need for the use of psychology, systems and economic theory in an integrated and balanced way in HRD research and practice.

Using this analogy of the three legged stool, psychological theory is considered useful because it informs us about how and why people behave the way they do (Holton, 1998; Ruona & Swanson, 1998; Swanson, 1998). Three perspectives of psychological theory are considered of particular import to HRD research and practice, namely gestalt, behavioral and cognitive psychology (Holton, 1998; Swanson, 1998, 1999).

Gestalt theory is considered useful because it informs HRD of the need to see stimuli in integrated wholes and that "people experience the world in meaningful wholes" (Swanson, 1999, p. 15). Behavioral psychology is useful because it is concerned with what can be seen and emphasizes the importance of external reinforcers on the behavior of humans (Holton, 1998; Swanson, 1998). Cognitive psychology, on the other hand, is concerned primarily with the self, and focuses on the internal processes of individuals (Holton, 1998; Swanson, 1998). Together these three arenas of psychological theory inform HRD research and practice of the behavior of individuals and how to reinforce, change and develop these behaviors.

Three areas of economic theory are also highlighted by Swanson (1998, 1999) in the theoretical foundations of HRD research and practice--scarce resource theory, sustainable resource theory, and human capital theory. Scarce resource theory informs HRD that "there are limitations to everything" (Swanson, 1999, p. 15). The realization that individuals and organizations must constantly make choices among scarce resources is important for HRD research and practice (Torraco, 1998; Swanson, 1999). Sustainable resource theory is similar to scarce resource theory except for the emphasis on the long term rather than the short term. This theory informs HRD of the importance of focusing on both short and long term horizons of performance and emphasizes the significance of sustainable performance processes, both for the individual and organizations (Thurow, 1996; Torraco, 1998). Human capital theory, made known by Becker (1993), conceptualizes human expertise and performance as capital to organizations. It brings to HRD the notion of human performance as an investment (Boudreau & Ramsted, 1997; Provo, 2000; Torraco, 1998; Swanson, 1998, 1999).

The third leg of foundational theory core to HRD is that of systems thinking (Passmore, 1997; Swanson, 1995, 1998, 1999). Three core areas of systems theory are considered of particular import to HRD research and practice. The first is that of general systems theory (Boulding, 1956; Von Bertalanffy, 1968). The second is chaos theory (Gleick, 1987), and the third is futures theory (Schwartz, 1991; Van der Heijden, 1996). General systems theory focuses attention on the importance of understanding the interdependence of inputs, processes, outputs and feedback and also informs HRD of the

reality of open systems (Ruona, 1998; Swanson, 1998, 1999). Chaos theory is the acknowledgement of the opposite of determinism, and informs HRD of the need and methods for studying unsystematic, unpredictable phenomena (Ruona, 1998). Futures theory considers the role of insights and alternative futures in planning processes. "Futures theory is critical for sustainable performance because it prepares one to recognize and cope with an evolving future state" (Swanson, 1999, p. 17).

Together these three foundations--psychology, economics and systems--are useful to HRD in ensuring a balanced and integrated framework for research and practice. This three part framework of core theoretical foundations is also useful to HRD in reaching into specific bodies of knowledge in purposeful and focused ways to draw out theory of special significance to HRD. In 1999 Swanson suggested this use of the three legged stool for identifying core psychological, systems, and economic theory applicable to performance improvement issues in HRD.

Whole System Performance Theory

According to Swanson (1999), "performance refers to the way in which something or someone functions. It is accomplishment and fulfillment, not potential or capability" (p. 1). Swanson offered the following definition of performance in a system, namely, "Performance is the valued output of a system in the form of goods or services. The actual fulfillment of the goods or services requirement is thought of in terms of units of performance" (p. 5). Holton (1999) takes this notion of system performance further and says that "each profession defines performance to fit its unique needs" (p. 27). Similarly, each performance system defines performance to fit its unique needs.

Performance improvement theory in Human Resource Development (HRD) is often grouped in similar performance domains, the most common grouping consisting of organization, process and individual performance (Rummler & Brache, 1995; Ruona & Lyford-Nojima, 1997; Swanson, 1995; Wimbiscus, 1995). As indicated earlier, Holton (1999) identified system performance as integrated performance in four performance system domains--mission, process(es), social subsystem(s), and individual(s). Holton's performance improvement model was developed from a comprehensive analysis and synthesis of the available literature and research on performance improvement. This model is informed by more than three years of scholarly debate and study of performance improvement spearheaded by HRD scholars at the Academy of Human Resource Development. As such, this model represents a hallmark conceptualization of performance improvement in the HRD profession. The core performance improvement theory applicable to HRD is organized by using Holton's Integrated Performance Taxonomy.

Performance Improvement Theory – Mission (Organization) Level

The domain of mission is, according to Holton, "The [performance] system's mission, and the goals derived from it, specify the expected outcomes of the [performance] system" (1999, p. 29). The role of the mission is to reflect the relationship of the system with its external environment, and will include the relationship of the

performance system with competitors, suppliers, stakeholders (internal and external), community, industry and society (Cummings & Worley, 1997; Gibson, Ivancevich & Donnelly, 1994; Holton, 1999; Mintzberg, 1994; Senge, 1990; Tichy, 1983).

In order to serve this relationship with and responsibility to its external environment, the performance system must exchange information with its external environment and adapt to ensure alignment between itself and its external environment. Alignment can be described as the "ability of an organization to respond as a whole" (Van der Merwe, 2000). Semler (1997) described strategic alignment as "the extent to which the different components of organizational strategy, culture and systems reinforce each others' contributions to organizational performance" (p. 161) and offered a Strategic Alignment Model (1999, p. 402) to achieve this alignment. Theories and models of alignment are therefore important for understanding and pursuing organization-wide or whole system performance (Boudreau & Ramsted, 1997; Hamel & Prahalad, 1989; Mintzberg, 1987; 1994a, 1994b; Nadler & Tushman, 1989; Rummler & Brache, 1995; Semler, 1997, 1998, 1999; Swanson, Ruona, Lynham & Provo, 1998; Tichy, 1983, 1997; Tosti & Jackson, 1997).

The notion of the learning organization is also considered central to organizational performance. Theories and models of the learning organization point to the need for learning to become a way of doing business, of developing and retaining core expertise, and of staying nimble in the ability to respond to internal and external performance demands on the organization (Argyris & Schon, 1996; Barrie & Pace, 1998; Dean, 1997; Eccles, 1998; Holton, 2000; Kaplan & Norton, 1998; McHargue, 2000; Redding & Catalanello, 1992; Senge, 1990; Senge, Roberts, Ross, Smith & Kleiner, 1994; Swanson & Holton, 1998; Van der Heijden, 1996; Watkins, 1995; Watkins & Marsick, 1995, 1993).

Performance Improvement Theory – Process(es) Level

The importance of performance improvement at the process level has been emphasized by the total quality and reengineering movements that became popular in the USA in the 1980s (Cummings & Worley, 1996; Gibson, Ivancevich & Donnelly, 1994; Hammer & Champy, 1993; Holton, 1999; Juran, 1995; Lindsay & Petrick, 1997; Ruona & Lyford-Nojima, 1997; Rummler & Brache, 1995; Swanson, 1994; Wimbiscus, 1995). Process performance refers to the value chain of how things core to the business get done in an organization (Boudreau & Ramsted, 1997; Leimbach & Baldwin, 1997). Rummler and Brache (1995) described process as follows: "A process can be seen as a value chain. By its contribution to the creation or delivery of a product or service, each step in a process should add value to the preceding steps" (p. 45). A process can therefore be defined as "a series of steps designed to produce a product or service" (Rummler & Brache, 1995, p. 45).

The importance of understanding performance improvement from the process domain is the recognition that process cuts across many systems within an organization, each of which must be considered in terms of how it adds value to the core business of the organization or performance system (Holton, 1999; Rummler & Brache, 1995; Wimbiscus, 1995). Informed by action research, models of process improvement abound

in the literature, for example, from Shewhart's Plan-Do-Check-Act, to McLean & Rothwell's eight-steps of action research (Lindsay & Petrick, 1997; Schultz & Parker, 1988; Rothwell, Sullivan & McLean, 1995). This body of knowledge from the quality and re-engineering movement was instrumental in helping organizations to re-perceive themselves as horizontal, interdependent systems of core business processes which had to be managed in an integrated, purposeful manner to ensure performance of the organization (Amburgey & Dacin, 1994; Buzacott, 1996; Cusins, 1994; Dean, 1998a, 1998b; Holton, 1999; Rummler, 1997; Rummler & Brache, 1995; Pfeffer, 1994; Swanson, 1994).

Process improvement and reengineering literature has become an integral part of the HRD body of knowledge and is used to inform HRD researchers and practitioners of the importance of integrating people issues with process issues. It is now common wisdom in process performance improvement that if people are placed in poor processes it is unlikely that they will be able to perform successfully (Dean, 1998a, 1998b; Gilbert, 1994; Kauffman, 1980; Pfeffer, 1994; Rummler & Brache, 1995; Senge, 1990; Swanson, 1994; West, 1997). It is has become important for HRD to recognize the importance of integrating people and processes through job and work redesign, training and development for core competence, workplace expertise, performance management, and process reengineering (Cummings & Worley, 1996; Herling, 1998; Herling & Provo, 2000; Kuchinke, 1997; McLagan, 1989; Petty, McGee & Cavender, 1984; Rothwell, Sullivan & McLean, 1995; Rummler & Brache, 1995; Holton, 1999; Holton & Swanson, 1998; West, 1997).

Performance Improvement Theory – Social Subsystem(s) (Group) Level

The social subsystem domain is equated by Holton (1999) to critical performance subsystems. A critical performance subsystem, according to Holton, is "an internal subsystem for which performance goals have been set that are derived from and contribute to the mission of the overall (performance) system" (p. 31). The domain of social subsystems involves systems internal to the organization, like teams, divisions, departments, functions and culture and which are critical to the accomplishment of the mission of performance (Holton, 1999).

Two important social subsystems of organizations are teams and culture (Cummings & Worley, 1995; Dean & Ripley, 1998; French & Bell, 1999; Rothwell, Sullivan & McLean, 1995; Russ-Eft, Preskill & Sleezer, 1997). Culture is widely considered an important performance subsystem and core to an organization's capability to change and adapt to its external environment (French & Bell, 1999; Hampden-Turner & Trompenaars, 1993; Hofstede, 1991; Sleezer & Swanson, 1992). Models and theories of culture, like the six dimensions model of organization culture offered by Hofstede (1991), have helped HRD to understand culture as an important means to and driver of performance. Understanding of culture has also impacted international HRD research and practice significantly (Bennett & Bennett, 1996; Cummings & Worley, 1995; Paige, 1998; Rothwell, Sullivan & McLean, 1995).

An increasing body of literature is that concerning teams, both from a developmental and a performance perspective. Dyer (1995), in his book on *Team*

Building and Katzenbach & Smith (1993) in their book on *The Wisdom of Teams*, highlighted concepts and models on the structure, development, use and management of teams in organizations. Techniques on team communication, team building, team management and dealing with team dynamics are an increasingly important part of the organization development literature, stressing the building emphasis on understanding, developing and managing teams as a key subsystem in organizations (Akaraborworn & McLean, 1999; Cummings & Worley, 1995; French & Bell, 1999; Osburn, Moran, Musselwhite & Zenger, 1990; Marshall, 1995; Rothwell, Sullivan & McLean, 1995).

Performance Improvement Theory – Individual(s) Level

Performance improvement at the individual level concerns technologies and processes designed to optimize the performance of the individual within the context of the organization (Cummings & Worley, 1996; Holton, 1999; Ruona, 2000a, 2000b; Rummler & Brache, 1995; Swanson, 1994, 2000). Performance improvement in the individual domain is concerned with a focus on jobs and how to design and structure those jobs in an integrated way to ensure maximum motivation and performance of the individual (Cummins & Worley, 1996; Gibson, Ivancevich & Donnelly, 1994; Holton, 1999; Rummler & Brache, 1995; Swanson, 1994; Swanson & Holton, 1999). Holton pointed out that "the essence of performance improvement has been the improvement of individual human performance, particularly through expanded human expertise, which is believed to enhance organizational performance" (p. 32). The development and unleashing of human expertise for the purpose of performance improvement is the business of HRD (Lynham, 2000a; Swanson, 2000). Models and theories of how to fulfill this purpose abound in the literature and include "optimizing learning and expertise, incentives and consequences, feedback, information, resources, and work conditions required for the individual to function in the [performance] system" (Holton, 1999, p. 32).

Rummler and Brache (1995) offered a model of The Human Performance System thereby stressing the importance of a systemic view of the individual performer in the performance system (West, 1997). According to Rummler and Brache "people are part of the performance engine" (p. 65), requiring that performance improvement from the individual domain be studied and understood as an integrated, interdependent system of inputs, process, outputs, consequences and feedback. This systemic view of individual performance has had an important impact on HRD, for example, for developing expertise, ongoing learning, job design and incentive systems. This view has led to a significant shift away from fragmented and often isolated development interventions to understanding learning, training, expertise development and work design as important parts of a human performance system (Argyris & Schon, 1974; Brethower & Smalley, 1992; Gilbert, 1978, 1994; Hackman & Oldham, 1980; Harless, 1975; Kunneman & Sleezer, 1998; Mager & Piper, 1984; McLagan, 1989; Torraco, 1994; Skinner, 1968; Sleezer, 1991; Swanson, 1994, 1996, 1998; 1999; Swanson & Holton, 1998, 1999; Swanson & Torraco, 1995; Watkins & Marsick, 1993, 1995, 2000; West, 1997; Wimbiscus, 1995).

The above literature considers performance improvement theory in HRD in terms of the four domains of performance--mission, process(es), social subsystems, and individual(s)--highlighted by Holton (1999). Also important in this literature is the notion of performance measurement which must be applied to the performance domains of the performance system (Holton, 1999; Rummler & Brache, 1995; Ruona & Lyford-Nojima, 1997; Swanson, 1999). In the implementation and measurement of performance improvement interventions, HRD researchers and practitioners are cautioned to consider the distinction between performance outcomes and performance measures (Boudreau & Ramsted, 1997; Holton, 1999; Swanson & Holton, 1999; Kaplan & Norton, 1996). Performance outcomes are "measures of effectiveness and efficiency relative to core outputs of the system, subsystem, process, or individual" (Holton, 1999, p. 33). Performance drivers "measure elements of performance that are expected to sustain or increase system, subsystem, process, or individual ability and capacity to be more effective or efficient in the future" (Holton, 1999, p. 33). The significance of understanding how to deliver and measure performance outcomes and drivers is aptly noted by Holton: "Only when outcomes and drivers (of performance) are jointly considered will long-term performance improvement occur" (p. 34). This notion of integrated performance intervention and measurement is well supported by Rummler & Brache (1995) and Swanson (1994, 1999), who both offer a matrix of performance variables and levels to diagnose and achieve integrated system performance.

Performance improvement theory has become critical to HRD as the profession attempts to partner more strategically with business (Torraco & Swanson, 1995). It has also had significant impact on the way HRD pursues research and practice, demanding the use of systemic thought and practice from both HRD researchers and practitioners. As a result, progress and development of HRD-related performance improvement literature can be expected to continue to grow in the future.

PART THREE: THEORY AND THEORY BUILDING

It is the purpose of this section of the chapter to review literature available on the role of theory, theory building and general systems theory in Human Resource Development (HRD). This purpose is achieved by way of the following three parts: an overview of theory and theory building; the role and importance of theory and theory building in HRD; and general systems theory in HRD.

Theory and Theory Building – An Overview

Science tells us what the world contains and produces new knowledge of the observable world (Ruona & Lynham, 1999). Theory is a purposeful scientific endeavor for producing new knowledge about the world we live in. The purpose of theory is a scientific one: to provide a typology or means of classification, to be useful for explanation and prediction, to provide a sense of understanding of phenomena, and, if possible, to enable control of phenomena (Reynolds, 1971).

According to Thomas (1997), theory can be defined in many ways, almost as many as there are theorists. From the American Heritage Dictionary (1996) it is evident that the term *theory* can stand for a range in rigor of knowledge. According to this dictionary the word theory is derived from the Greek word *theoros*; meaning a spectator, a viewing, seeing; and is defined as:

> 1a. systematically organized knowledge applicable in a relatively wide variety of circumstances, especially a system of assumptions, accepted principles, and rules of procedure devised to analyze, predict, or otherwise the nature or behavior of a specified set of phenomena. b. Such knowledge or such a system. 2. Abstract reasoning; speculation. 3. A belief that guides action or assists comprehension or judgement. 4. An assumption based on limited information or knowledge; a conjecture. (p. 1861)

Theory is, according to Torraco (1994), "an attempt to model some aspect of the real world"(p. 104). How theory is defined depends, however, on ones perspective of what makes for knowledge (Ruona & Lynham, 1998; Lynham, 2000b) (also see Table 3.1).

Lewin in 1933 is reported to have coined the oft-used expression that 'there is nothing as practical as good theory' thereby emphasizing the apparently contradictory notion of the practical utility inherent in good theory. Informed by Dubin (1978), Torraco (1994) described theory as "a system for explaining a set of phenomena that specifies the key concepts that are operative in the phenomena and the laws that relate the concepts to each other" (p. 104). It is therefore the purpose of theory to make sense of the real world by identifying concepts or elements that describe a phenomenon, and ordering these concepts in a meaningful way through the exploration of relationships between them. This is done in the development of "A Theory of Responsible Leadership for Performance," where the main phenomenon of interest in responsible leadership for performance arise from the concepts of *constituency*, *responsibleness* and *performance*.

Dubin (1978) developed a widely recognized research methodology and accompanying language for building theory in an applied field, like that of HRD. The *units* of the theory, also known as the concepts of the theory, are the things or variables whose interactions constitute the subject matter of attention. Describing the units of a theory and specifying how these units interact (also known as the *laws of interaction*) makes for the major contribution to knowledge that is generated by a theory. Dubin's methodology for conducting theory building research consists of eight steps (displayed in Figure 3.1) and includes: clarifying the *boundaries* of the theory, identifying the *system states* in which the theory operates, specifying the *propositions* of the theory, identifying the *empirical indicators* of the theory, deriving the *hypotheses* from the theory, and finally *testing* the theory through research. The first four steps of Dubin's methodology represent the development of the theory, the fifth and sixth step the operationalization of the theory, the seventh and eighth steps the verification of the theory, and the feedback from steps one through eight the ongoing refinement of the theory (see Figure 3.3). Completion of steps one through four, and partial completion of steps five and six, represent the scope of this study.

Dubin's theory building research methodology is used to develop "A Theory of Responsible Leadership for Performance." Dubin's methodology is considered well suited to the challenge and nature of theory building in the behavioral sciences and has been successfully used for theory building in HRD (Campbell, 1990; Jacobs, 1989; Torraco, 1994, 1997; Swanson, Lynham, Ruona & Torraco, 2000).

Theory and Theory Building in HRD

A review of the existing body of knowledge on theory building in HRD reveals that this topic has only begun to draw attention in HRD since the early 1990's and somewhat increasingly so since 1996. Authors outside of HRD were the first to attend to the topic of theory building, the most noteworthy of whom include Dubin (1976, 1978) from industrial psychology, Hearn (1958) from social work studies, Reynolds (1971) and Cohen (1991) from sociology, Patterson (1986) from social psychology, and Bacharach (1989), Gioia & Pitre (1990), Eisenhardt (1989), Van de Ven (1989), Weick (1989), Whetton (1989) and others from organizational studies.

Within HRD there are a small number of authors who have started to turn their attention to theory building, most notably, Chalofsky (1996, 1998), Hansen (1998), Hardy (1999), Hatcher (1999), Lynham (2000b), Marsick (1990), Mott (1996, 1998), Ruona & Lynham (1999), Shindell (1999), Swanson & Holton (1997), Swanson, Lynham, Ruona and Torraco (2000) and Torraco (1994, 1997, 2000). There is also evidence that a monograph on *Systems Theory Applied to HRD*, edited by Deanne Gradous in 1989, played an important role in sparking attention to theory building in HRD by provoking the need to look at the importance and role of theory building in the profession.

The Importance of Theory Building in HRD

Theory building is important to the HRD profession for a number of reasons : (a) to advance professionalism in and maturity of the field, (b) to help dissolve the tension between HRD research and practice, and (c) to develop multiple and inclusive methods of research for theory building and practice in HRD. A discussion of each of these points of importance follows.

To Advance Professionalism and Maturity

Good HRD theory is practical because it advances the development of knowledge in HRD, guides research towards critical questions in HRD, and enlightens the worth of HRD (Van de Ven, 1989). Many scholars in the field believe that the development of good theory in HRD is essential for the maturation and professionalization of HRD (Chalofsky, 1996; Hatcher, 1999; Marsick, 1990a, 1990b; 1998; Mott, 1996, 1998; Swanson & Holton, 1997; Torraco, 1997).

In explicit support of the above, Torraco (1997) drew attention to a number of roles that are played by theory and, by association, theory building. Each of these roles is important in guiding HRD research and practice and in advancing the HRD profession as a whole, an emphasis that is supported by Dubin (1976), Bacharach (1989), and Van de Ven (1989). These roles include "Interpreting new data....Responding to new

problems....Defining applied problems....Evaluating solutions....Discerning priorities....Identifying new research directions....Developing common language....Defining boundaries, and....Guiding and informing research" (Torraco, 1997, pp. 116-119).

Because HRD is a relatively young profession, the issue of theory building has only recently received attention and emphasis by HRD scholars (Marsick, 1990). At the heart of the attention to theory building in HRD is the drive for more rigorous and good HRD research and theory. This is fueled by an increasing concern over building evidence of atheoretical practice or "practice that occurs without the guidance of theory" (Swanson, 1997, p. 4), as well as ascientific theory in HRD or theory building and research that occur without the guidance of scientific discipline or rigor (Chalofsky, 1996, 1998; Dubin, 1976; Passmore, 1990; Swanson & Holton, 1997). It is, however, generally recognized in the literature that the development of good HRD theory and theory building methods is essential for advancing maturity, credibility and professionalism of both thought and practice in HRD.

To Dissolve the Tension between Research and Practice

Because HRD is of an applied nature, there is, like in any applied field, a tension between HRD researchers and practitioners. As a result of this tension, the output of knowledge in HRD is judged primarily by its usefulness in practice, a judgement that is generally executed by HRD practitioners. On the other hand, the standards of research and theory (and theory building) in HRD seem to fall more under the charter of the HRD researcher, who is judged more by rigor than relevance (Marsick, 1990a, 1990b). This has resulted in an increasing tension and dilemma between research and practice, between the HRD researcher and the HRD practitioner--a tension further typified by what Van de Ven (1989) described as validity versus usefulness.

Numerous scholars in the field have expressed the need for a closer partnering between researchers and practitioners in HRD. This call for researcher-practitioner partnering is perceived as a way to step up to the challenges of professionalizing and maturing the HRD field and to get HRD practitioners more involved in and committed to contributing their practical knowledge and experience to the recognized knowledge base of HRD. Researcher-practitioner partnering is also perceived as a way to get HRD researchers to ensure that the output of their theories and research is more directly applicable to effectiveness in the field. This partnering ensures that HRD research and theory are useful to HRD practice.

To Develop Multiple, Inclusive Methods of Research

A common complaint by HRD practitioners is the inaccessibility to the results of research. HRD research is criticized by practitioners for being not understandable and/or published in inaccessible journals and periodicals (Chalofsky, 1996, 1998). What's more, according to the reportedly dominant positivistic paradigm of research in HRD (Hardy, 1999; Marsick, 1990a, 1990b; Mott, 1996; Passmore, 1990; Torraco, 1997), research and the production of knowledge are perceived to be reserved for the scholar with an underlying assumption that it cannot be done well by the practitioner. There are, however, some solutions to this apparent false assumption.

Other authors of theory building in an applied field; for example, Bacharach, (1989); Gioia and Pitre, (1990); Klein, Tosi and Cannella (1999), Morgeson and Hofmann (1999) and Van de Ven, (1989), have indicated that theory can be built from multiple perspectives, paradigms or worldviews of knowledge. According to these authors when theory is perceived and built from multiple research perspectives, the results are a more comprehensive, inclusive and complete view of human/social and organizational phenomena. A multi-paradigm view of knowledge production is more conducive to assumptions of alternative research paradigms, to the multifaceted nature of human and organizational realities, and to the constantly transforming contexts of human and organizational reality (Gioia & Pitre, 1990; Klein, Tosi & Cannella, 1999).

It has also been suggested that theory can be developed from multiple domains of HRD. Swanson (1997) proposed a Research-Practice-Development-Theory Cycle that shows how theory can flow from research, development and practice (where development involves new knowledge obtained through practical, new ways of organizing for and/or developing HRD interventions). This Research-Practice-Development-Theory Cycle is of both an epistemological (nature of knowledge) and ontological (nature of reality) nature and encourages HRD to entertain multiple paradigms/perspectives of building knowledge and theory in HRD. Given the reported dominance of a positivistic research paradigm in HRD, the absence of clear definitions of theory, and the lack of multi-paradigm methods of theory building, it is not surprising that it is currently difficult to integrate knowledge that comes from HRD development and practice with that from HRD research. Like Swanson, Gioia & Pitre (1990), Hansen (1998), Hardy (1999), Marsick (1990a, 1990b), Mott (1996, 1998), and Torraco (1997) have made compelling arguments for the use of alternative, inclusive paradigms in HRD research and theory building.

Challenges of Applied Theory Building

There are two key challenges facing the development of theory building in an applied field. The first involves dealing with the pressure that is put on the relationship between the researcher and the practitioner. The second involves recognizing that the outcomes of theory building in an applied field are enriched by building theory from multiple research perspectives.

Dealing with the Researcher-Practitioner Relationship

The notion that *there is nothing more practical than a good theory* epitomizes the nature of theory building in an applied field (Lewin, 1951). An applied field, like HRD, is first and foremost concerned with application. This concern for application, according to Dubin (1976), changes the emphasis among the various aspects of theory building. Dubin (1976) stressed that a particular concern in building applied theory is that of the practitioners who expect to use the theory and who usually play a crucial role in defining the content of the theoretical model to be developed. "The demand that theory be useful therefore characterizes an applied field" and requires that there "be a market orientation [a practical, real world need] for the theory" (Dubin, 1976, p. 19). Dubin clearly suggested that research and theorizing in an applied context is done with the explicit intent that the results affect and improve conditions in the field.

The ultimate judge of good theory in an applied field is primarily through practice. This adjudicating role of praxis makes for an interesting relationship between the researcher and the practitioner. First, it demands that the researcher develop a deep understanding of the recursive nature of inductive and deductive processes in theory building (to ensure optimum connectivity between abstractions and the real world). Secondly, it requires that the researcher partner closely with the practitioner in terms of how the problem gets defined and how the empirical indicators used to test the theory are defined and selected. It also, however, demands that the practitioner be patient with the researcher/theorist in the theory building process. If the researcher is not able or permitted to build theory through the application of required and rigorous process, then the outcome of the theory is unlikely to meet the demands of relevance commonly made by the practitioner.

Dubin (1976) pointed out that the theory building disconnect between the researcher and the practitioner arises from a difference in the knowledge focus, interests and goals of each. For example, theory and theory building produce two kinds of understanding--the first is a practical outcome of explanation and prediction, and the second an intellectual outcome of a sense of understanding of the nature and characteristics of the phenomena being studied. It is usually the first of these two kinds of knowledge that the practitioner finds compelling in theory, but it is usually the second of these that is often the more compelling to the researcher (Dubin, 1976). As indicated earlier, Marsick (1990a) and Van de Ven (1989) aptly described the nature of this knowledge, and one could venture process, disconnect between the HRD researcher and HRD practitioner as typified by that of relevance versus rigor, or usefulness versus validity.

In an applied field like HRD it is, however, important to constantly bear in mind that the practitioner needs to be afforded the responsibility of exerting constant pressure on the theorist and theory builder for the purpose of ensuring that the HRD theory meets the test of HRD application. "For when it does we have a fruitful interplay between practitioner and theorist" (Dubin, 1976, p. 39).

Recognizing the Value of Multiple Theory Building Research Paradigms

As noted earlier, there are a limited number of scholars in the area of applied theory building, most notably Dubin (1976, 1978), a scholar of industrial psychology; Hearn (1958), a scholar of social work; Patterson (1986), a scholar of social psychology; and Reynolds (1971) and Cohen (1989/1991), scholars of sociology. Hearn, Dubin, Reynolds and Cohen all offered methodologies for theory building in their particular applied fields, while Patterson offered an eight-step framework of criteria for judging soundness of applied theory. Another source of literary insight and learning regarding theory building in applied fields comes from the area of organizational studies (Van de Ven, 1989). The results of this invaluable work can be reviewed in a 1989 special forum issue on theory building published by the *Academy of Management Review.*

While the theory building work of Dubin, Hearn, Reynolds and Cohen comes from a positivistic research perspective (demonstrated in their preference for the hypothetico-deductive method of theory building), the work of authors in the area of organizational studies (Van de Ven, 1989) tended to push for a multiple paradigm

research perspective on theory building (although some of these authors still demonstrate a preference for theory building from a positivistic perspective).

It is therefore clear from the literature that theory building can be conducted from multiple research perspectives. To date, however, most of the theory building methodologies/approaches made explicit by HRD and business and education professionals tend to be of a positivistic nature (Chalofsky, 1996; Gioia & Pitre 1990; Hardy, 1999; Marsick, 1990; Mott, 1998; Shindell, 1999; Torraco, 1997; Van de Ven, 1989; Weick, 1989; Whetton, 1989). As a result of this positivistic-dominant research paradigm, Gioia and Pitre (1990) report that theory building approaches are not entirely consistent with the assumptions of alternative research paradigms that are now assuming prominence in organizational and social studies. Furthermore, they argue that the use of any one single research paradigm promotes too narrow a view to reflect the multi-faceted nature of organizational and human reality.

A research paradigm is grounded in "differing fundamental assumptions about the nature of phenomena [ontology], the nature of knowledge about those phenomena [epistemology], and the nature of ways of studying those phenomena [methodology]" (Gioia & Pitre, 1990, p. 585; Kuhn, 1970). Burrell and Morgan (1979) offered a useful matrix of four different research paradigms, namely, that of the functionalist, the interpretivist, the radical humanist, and the radical structuralist. To put this matrix into a more commonly understood research framework, the functionalist paradigm corresponds with what Hultgren and Coomer (1989) described as positivistic/analytical research, the interpretivist paradigm with their description of interpretive research, and the radical humanist and radical structuralist paradigms with what they described as critical research.

Adapted from the original schematic offered by Gioia and Pitre (1990), Table 2.1 offers a comparative clarification of some of the theory building paradigm concepts they presented and add some general and HRD-related examples and references to these theory building paradigms.

Table 2.1. Four Key Research Paradigms Affecting Theory Building

Theory Building Concepts	Regulation Research Paradigms		Radical Change Research Paradigms	
	1. Functionalist	2. Interpretivist	3. Radical Humanist	4. Radical Structuralist
Research Goal:	To search for regularities and test so as to predict and control.	To describe and explain so as to diagnose and understand.	To describe and critique so as to change (achieve freedom through revision of consciousness).	To identify sources of domination so as to persuade and guide revolutionary practices (achieve freedom through revision of structures).
Theory-Research Intent:	• Relationships • Causation • Generalization.	• Social construction of reality • Reification process • Interpretation.	• Social construction of reality distortion • Interests served.	• Domination • Alienation • Macro forces • Emancipation.
Theory Building Approaches:	• Refinement through causal analysis • Example: Hypothetico-deductive and Applied or particularized theory.	• Discovery through code analysis • Example: Action and Feminist theory.	• Disclosure through critical analysis • Example: Historical and Critical theory.	• Liberation through structural analysis • Example: Marxist, Critical and Feminist theory.
Theory Building Goals:	• To write up results – to show how the theory is refined, supported, or disconfirmed; to show what it tells the scientific community and the practitioners.	• To write up a substantive theory – to show how it all fits together.	• To write up a dialectic analysis – to show how the level of consciousness should change.	• To write up a rhetorical analysis – to show how the praxis should change.
HRD-Related Examples:	• Cause-and-effect theories of purposive behavior (e.g. motivational theory).	• Constructive theories of communication and learning (e.g. cognition and learning theories)	• Dialectic theories of critical change (e.g. critical research and change theory)	• Liberation or emancipatory theories of structural change (e.g. action research and systems theory)
HRD-Related Theory Building Reference Examples:	• Herzberg (1959,1966) • Dubin (1976,1978).	• Knowles, Holton & Swanson (1998) • Argyris & Schon (1996).	• Lewin (1951) • Mezirow (1981).	• Von Bertalanffy (1968) • Katz & Kahn (1978).

Assumptions of the dominant functionalist (or positivistic) paradigm become problematic when dealing with subjective views of social and organizational phenomena

(Eisenhardt, 1989; Gioia & Pitre, 1990). The need to accommodate the subjective nature of social and organizational phenomena is resulting in an increasing call from HRD scholars to question the general appropriateness of the dominance of the objective science research paradigm (Chalofsky, 1996, 1998; Kuhn, 1970; Lincoln, 1985; Marsick 1990a, 1990b; Mott, 1996, 1998; Thomas, 1997; Torraco, 1997; Van de Ven, 1989; Weick, 1989). There is a paradoxical push towards paradigm-based theory building and a corresponding definition of theory that can entertain multiple research paradigms for theory building. As a result, theory building is becoming not so much about the search for truth, but the search for comprehensiveness stemming from different worldviews that leads to the production of more complete views of organizational and social/human phenomena (Eisenhardt, 1989; Gioia & Pitre, 1990).

The push to study and understand organizational and human/social phenomena demands that the assumptions of multiple research paradigms be accepted and embraced in the process of developing the HRD body of knowledge. This, in turn, will enable multi-paradigm and inclusive research approaches to theory building in HRD, an approach to knowledge generation and building that is more likely to facilitate partnering between the HRD researcher and practitioner. Gioia and Pitre (1990) further pointed out that multi-paradigm approaches to theory building can not only generate a more complete body of knowledge, but that they imply a broadening of the concept of theory and of the theory building process itself. Both of these points are of worthy note for theory building in HRD.

Human Resource Development is concerned with practice. Thus, the conversations in the field often focus on the how rather than probing for deeper understanding of the what and why of the phenomena of HRD (Chalofsky, 1996; Ruona & Lynham, 1999). Theory building research in HRD is essential for addressing some recurring conversational problems in the profession. Theory building research can not only help HRD address the call for HRD theory, but it also offers a means for stepping up to the perennial problems in HRD practice, many of which are amenable to being solved through theory.

General Systems Theory in Human Resource Development (HRD)

Systems theory first came to the behavioral sciences through biology and the early pioneering work of Von Bertalanffy in his book titled *General Systems Theory* (1968). Sortly afterwards systems theory was applied to other fields. Boulding, for example, applied systems theory to economics, while Katz and Kahn were the first to apply systems theory to organizational behavior (Torraco, 1994). Gilbert was credited for applying systems theory to human performance technology (Dean & Ripley, 1998; Gradous, 1989). Systems theory has also been widely applied in operations research, cybernetics, business forecasting, organization and management theory, psychology, sociology and education, to name a few (Dubin, 1978). Common to these areas is the need to deal with complex problems and to understand wholes. Systems theory is particularly well suited to this kind of knowledge requirement.

The increasing application of systems theory can be attributed to the systems nature of theory and theory building. Dubin (1978) describes a system in much the same way that he describes a theory. *A system*, according to Dubin (1978, p. 240), is:

> (1) something consisting of a set of entities (2) among which a set of relationships is specified, so that (3) deductions are possible from some relations to others or from the relations among the entities to the behavior or history of the system. (p. 240)

As implied by Dubin, any system can be perceived and influenced by studying and understanding its key parts, how those parts interact with each other, and its relationship with the external environment (Torraco, 1994).

A milestone work of literature in the integration of systems theory to HRD research and practice was compiled and edited by Gradous in 1989. In the resulting monograph, titled *Systems Theory Applied to Human Resource Development,* various first time applications of systems theory are made to HRD issues. In this monograph McLagan, for example, proposed a tiered view of systems, putting the organization and its subsystems at the center of a model of increasingly larger systems as one moves from the organization to industry, from industry to the socio-economic political system, and from the socio-economic political system to the ecological system. In the same monograph Jacobs explored the notion of systems theory as a unifying theory for HRD. Swanson (1994) later applied systems theory to training and development, by proposing the application of systems thinking to documentation and diagnosis of training and development.

The building of theory is a task of applied systems theory. The building of theory in the HRD profession is therefore a task of applying systems theory to the studying, understanding and influencing of HRD phenomena. The purpose, method and outcome of this theory building task and journey is the focus of this study and will be made explicit in the development and validation of "A Theory of Responsible Leadership for Performance."

This chapter has presented an overview of the three core areas of theory that were used to inform and guide this study. The theoretical perspectives on leadership and the performance improvement theory reviewed played an important role in the development and operationalization phases of the theory, presented in chapters Four and Five. The theory and theory building literature reviewed was instrumental in informing the researcher-theorist of the methodology required to build the theory of this study, as well as for identifying key implications of the study for future research and practice in leadership and for theory and theory building research in HRD. The next and third chapter presents and describes the nature and requirements of the theory building research methodology used to build "A Theory of Responsible Leadership for Performance."

CHAPTER THREE
METHODOLOGY

It is the purpose of this chapter to make explicit and clear the rationale for and methodology of this study. To this end the chapter is structured around the following four components:

- The research question and sub-questions
- A brief presentation and clarification of core theory building terms and concepts
- An overview of Dubin's theory building research methodology, and
- The connection between the research questions and the methodology of this study.

THE RESEARCH QUESTIONS AND SUB-QUESTIONS

The problem statement underlying this study is that available leadership theories do not explicitly nor adequately address the nature and challenges of leadership that is both responsible and focused on performance. As a result, this study focuses on the need for a theory of leadership that satisfies the nature and challenges of leadership in multiple domains of responsibility *and* performance. The following research question and two sub-questions have been formulated to develop and guide this study. The main research question is:

> Can "A Theory of Responsible Leadership for Performance" be developed and validated?

This main research question is broken down into two sub-questions, which are:

1) Can "A Theory of Responsible Leadership for Performance" performance be developed?
2) Can "A Theory of Responsible Leadership for Performance" be validated?

The research question and sub-questions are of a developmental nature and are intended to enable the development and validation of "A Theory of Responsible Leadership for Performance" (Borg, Gall & Gall, 1981; Gall, Borg & Gall, 1996). These research questions are to be addressed through rigorous inquiry into existing scholarly literature on leadership and performance improvement, and the application of an applied theory building research logic and methodology. The theoretical notion of responsible leadership for performance was initially prompted and informed by the leadership work of White Newman (1993) on responsible leadership as effective, ethical, and enduring leadership, and by the performance improvement work of Swanson (1994) on performance improvement as the interaction between multiple levels and variables of performance. This study includes a perspective of the nature of responsible leadership gathered from extensive business experience by the author in the South African business environment. It is the author's intention to integrate this alternative business perspective in the literature review, scholarly inquiry and synthesis of the outcomes of this study to ensure that the outcomes are not limited to a purely American way of thinking.

CORE THEORY BUILDING TERMS AND CONCEPTS

For purposes of understanding and conceptual context it is necessary to clarify some of the key concepts and terms associated with theory building. To this end the following terms and concepts are briefly presented and discussed: theory, theory building, the product or intended outcome of applied theory building, a knowledge base, and research.

Theory

According to Thomas (1997) the concept of *theory* is defined in almost as many ways as there are authors on the topic. Dubin (1978) defines theory as "the attempt of man [*sic*] to model some theoretical aspect of the real world" (p. 26). This definition is refined by Torraco (1997) for the purposes of describing theory in the context of Human Resource Development (HRD): "Theory simply explains what a phenomena is and how it works" (p. 115). Dubin (1976) stated that the purpose of theory "is to make sense of the observable world by ordering the relationships among elements that constitute the theorist's focus of attention in the real world" (p. 26). Bacharach (1989) offered a similar definition of theory to that of Dubin, describing theory as a "statement of relationships between units observed or approximated in the empirical world" (p. 496). Senge et al. (1994) described theory as "a fundamental set of propositions about how the world works, which has been subject to repeated tests and in which we have gained some confidence" (p. 29). The definition of theory to be used for purposes of this discussion is based on one offered by Gioia and Pitre (1990), namely, that *theory* is a coherent description, explanation and representation of observed or experienced phenomena (Lynham, 2000b). The choice of definition of a theory is a fundamental issue in theory building in that the definition dictates the purpose of theory building and ultimately what is produced.

Theory Building

In spite of the growing amount of literature on theory building, a review of this literature indicates a lack of definitions of theory building itself. At the risk of sounding trite, theory building is the process of building theory, a process which is obviously informed and influenced by ones' view or definition of theory. Torraco (1997) provided a crisp description of theory building as "the process of modeling real-world phenomena" (p. 126). Building off Torraco's description of theory building and Gioia & Pitre's (1990) definition of theory, *theory building* will be taken to be the process or recurring cycle by which coherent descriptions, explanations and representations of observed or experienced phenomena, are generated, verified and refined (Lynham, 2000b).

The Product/Intended Outcome of Theory

The product or intended outcome of theory, and by association theory building is, according to Dubin (1976), two fold, namely: (1) outcome knowledge in the form of, for example, explanation and predictive knowledge, and (2) process knowledge, in the form of increased understanding of how something works. Reynolds (1971) suggests that theory and theory building should meet as many of the following goals of science as possible: (a) to provide a typology (a means of classification), (b) to be useful for explanation and prediction (of phenomena), (c) to provide a sense of understanding (of the phenomenon being studied), and (d) if possible, to enable control of the phenomenon. It must be noted that both Reynolds' and Dubins' perception of the intended outcomes of theory and theory building are informed by a specific philosophy of the nature of scientific knowledge.

A Knowledge Base

Another important term is that of a *knowledge base*. This term can be understood as the collection and integrated system of intellectual and practical concepts, components, principles, theories and practices that undergird and form the foundations of a discipline or field of study and practice. A knowledge base defines the unique body of knowledge and thus the boundaries of knowledge for thought and practice in a field (Campbell, 1990; Chalofsky, 1996; Passmore, 1997).

Research

A last term crucial for clarification is that of *research.* The terms of research and theory go hand-in-hand in the theory building literature and warrant distinction. Research is a form of scientific inquiry and is often thought of as the process by which new knowledge and understanding is generated (Hultgren & Coomer, 1989; Swanson, 1986, 1997). In the conduct of research, the researcher must engage in disciplined inquiry, meaning that at all times they are required to endeavor to remain true to the standard process, the methodology, which is thought to give the particular kind of research its rigor (Brown, 1976). In Hultgren and Coomer (1989), Habermas is presented as having provided us with a framework of three different kinds of scientific inquiry. This framework of scientific inquiry indicates that each type of research can be differentiated on the basis of various characteristics, for example, its purpose, its method, the meaning of explanation that results from it, and the primary interests and applications that the research serves. The results of research can therefore be varied, usually being considered in the light of their contribution to theory and/or new professional understanding and knowledge. For purposes of this study research will be taken to mean "scholarly or scientific investigation or inquiry; close and careful study" (Swanson, 1997, p. 10). As indicated earlier, and underscored by Campbell (1990) and Swanson (1986), the product of research should be new knowledge and understanding, but the process of research may or may not be one of theory building. Thus, research can result in new

knowledge in the form of theory, but theory is only one form of new knowledge produced by research. Other forms of new knowledge produced by research, for instance, include problem solving methods to improve practice and the discovery of new organizational, social and human phenomena.

For ease of reference, a summary of the key theory building terms used in this study is presented in Table 3.1 following.

Table 3.1. Working Definitions

Key Terms and Concepts	**Working Definitions**
Theory	A coherent description, explanation and representation of observed or experienced phenomenon (adapted from Gioia & Pitre, 1990).
Theory Building	The process or recurring cycle by which coherent descriptions, explanations and representations of observed or experienced phenomena are generated, verified and refined (Lynham, 2000b).
Product/Intended Outcome of Theory	Has a two-fold nature (Dubin, 1976): 1. Outcome knowledge, in the form of, for example, explanation and predictive knowledge; and 2. Process knowledge, in the form of, for example, increased understanding of how something works.
A Knowledge Base	The collection and integrated system of intellectual and practical concepts, components, principles, theories and practices that undergird and form the foundations of a discipline or field of study and practice. A knowledge base defines the unique body of knowledge and thus the boundaries of knowledge for thought and practice in a field (informed by Chalofsky, 1996; Passmore, 1997).
Research	"Scholarly or scientific investigation or inquiry; close and careful study" (Swanson, 1997, p. 10).

THE METHODOLOGY OF THIS STUDY

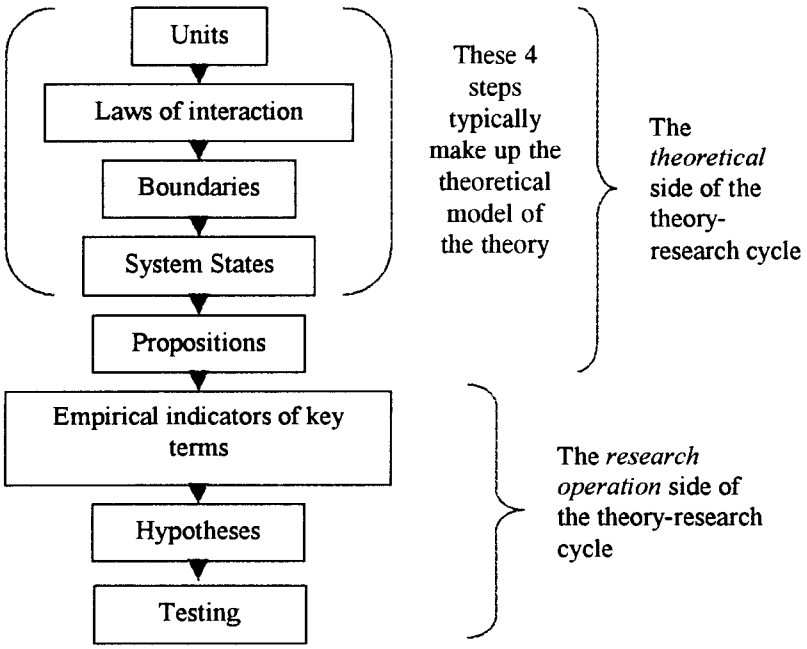
Like Human Resource Development (HRD), leadership is an applied field, meaning that its primary concern is with application (Campbell, 1990; Dubin, 1976, 1978; Lynham, 1998, 2000b; Swanson, 1986, 1997). As a result of the applied nature of leadership it is imperative that an applied theory building methodology, designed to deal primarily with issues of application, be used to answer the research questions of this study (Torraco, 1994, 1997).

Dubin (1976, 1978), a well known and respected author of and authority on applied theory building, provides a comprehensive methodology for theory building that

is particularly well suited to and relevant for applied fields like leadership and performance management (Torraco, 2000). Using an eight-step methodology Dubin outlines an explicit theory building map and template for the researcher-theorist, namely: (1) identification of the units or concepts of the theory, (2) determining the *laws of interaction* among the concepts, (3) specifying the *boundaries* in which the theory is expected to apply, (4) specifying the *system states* in which the theoretical system operates, (5) articulating the *propositions*, comprising the logical deductions or truth statements about the theory in operation, (6) determining the *empirical indicators* used to make the propositions and therefore the theory testable, (7) identifying the *hypotheses*, that is, the statements about the predicted values and relationships among the units, and (8) *testing* the predicted values and relationships.

Dubin's methodology is based on a theory-then-research approach to theory building, where the first five steps of the methodology typically represent the theoretical side of the theory-research cycle, and the last three components typically represent the research operation of the theory-research cycle, as depicted in Figure 3.1 following.

Figure 3.1. Dubin's Eight-step Theory Building Research Methodology as a Theory-Research Cycle

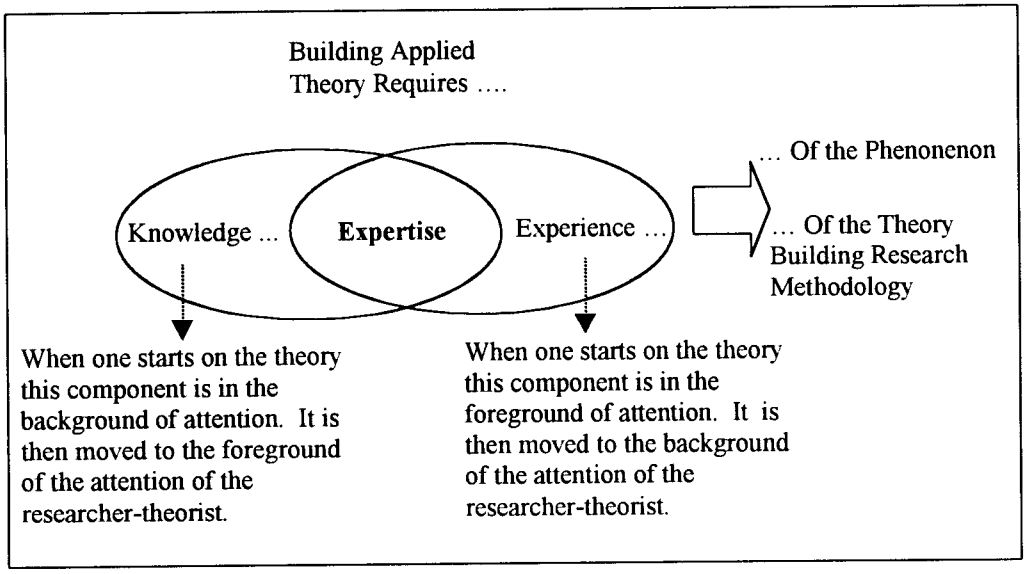


Although it is important for researcher-theorists to consider the entire scope of Dubin's model for effective theory building, the theoretical and the research operation side of the methodology are often separated in the theory building process.

As alluded to above, Dubin's methodology is based on a theory-then-research strategy to theory building, meaning that theory is made explicit through the continuous

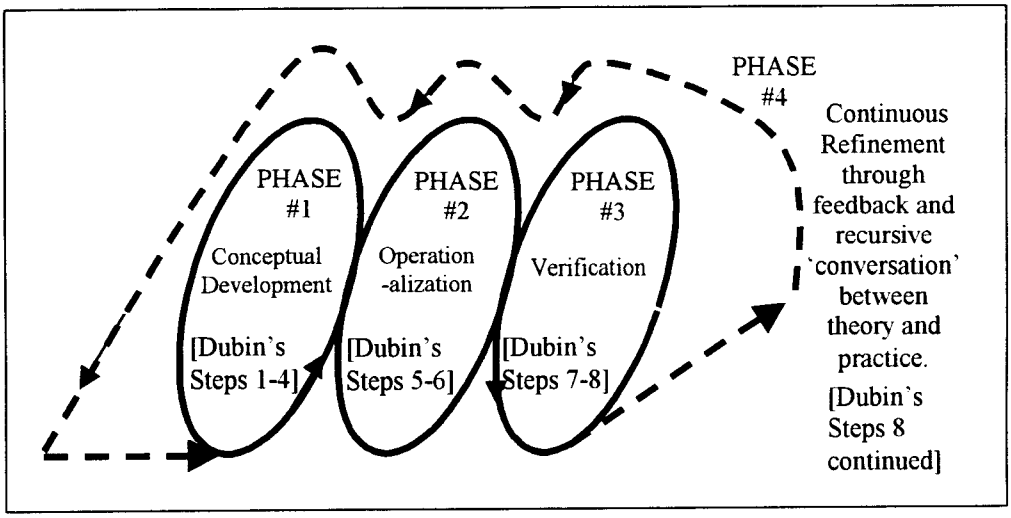
interaction and reiteration between theory construction and empirical research (Reynolds, 1971). This theory-then-research strategy, coupled with the hypothetico-deductive and applied nature and emphasis of Dubin's theory building research methodology, demands that the researcher-theorist have expertise (knowledge and experience) of both the phenomenon central to the theory as well as of the theory building methodology itself (Campbell, 1990; Cohen, 1991; Dubin, 1981; Gioia & Pitre, 1990; Hearn, 1958; Patterson, 1986; Reynolds, 1971; Van de Ven, 1989). Dubin's methodology therefore requires the researcher-theorist to continuously interact with and be influenced and informed by both her experience of the phenomenon in practice and her acquired knowledge/mastery of the phenomenon in theory. In this way both knowledge of and knowledge about the phenomenon central to the theory are brought together through the theory building process and are ordered according to the internal logic and informed imagination of the observer and researcher-theorist (Cohen, 1991; Dubin, 1978; Reynolds, 1971). This continuous and reiterative conversation in theory construction, between knowledge and experience of the phenomenon that is the focus of the theory and the theory building methodology itself, is highlighted in Chapter One and further depicted in Figure 3.2 following.

Figure 3.2. The Continuous Conversation between Practical and Theoretical Expertise Inherent in Dubin's Applied Theory Building Research Methodology



Informed by Figure 3.2 above, another way of conceptualizing Dubin's theory building research methodology is as a recursive process/journey consisting of four distinctly identifiable phases of theory building, namely: conceptual development, operationalization, verification and refinement of the theory. This four-phase conceptualization of Dubin's eight-step theory building methodology is shown in Figure 3.3 following.

Figure 3.3. Dubin's Eight-StepTheory Building Research Methodology as Four Phases of Theory Building



The recursive cycle and nature of theory building represents an ongoing, structured *conversation* between the theoretical and the real world (between knowledge and experience, as indicated in Chapter One and Figure 3.2) and is a necessary requirement of applied theory building (Campbell, 1990; Cohen, 1991; Dubin, 1981; Reynolds, 1971; Torraco, 1994, 1997). This means that in an applied field it is imperative that theory building begins and ends in practice and that theory, and by association theory building, is used as a means to an end, that is, as a means to serving and helping solve/address issues of practice (Campbell, 1990; Cohen, 1991; Dubin, 1981; Torraco, 1997; Swanson, 1997). It is as a result of this recursive interaction between theory and practice that an applied theory is never complete and that it should be subjected to continuous refinement through validation and/or falsification (Cohen, 1991; Reynolds, 1971).

THE CONNECTION BETWEEN THE RESEARCH QUESTIONS AND THE METHODOLOGY OF THE STUDY

The research questions of this study are addressed through the careful and systematic application of Dubin's theory building research methodology to the phenomenon of this study, namely, *Responsible Leadership for Performance*. Because Dubin's eight-step theory building research methodology is essentially of a hypothetico-deductive nature, its primary purpose is one of explanation and prediction (Bacharach, 1989; Cohen, 1991; Gioia & Pitre, 1990; Hearn, 1958; Patterson, 1986; Reynolds, 1971; Van de Ven, 1989). As a result, application of Dubin's research methodology to the questions will enable the researcher to address questions of the nature and challenges of leadership that is both responsible and focused on performance. Dubin's methodology is therefore felt to be particularly well-suited to the purpose of this study, namely, to develop and validate a theory of responsible leadership for performance.

The overall research question of this study, namely, *Can a theory of Responsible Leadership for Performance be developed and validated*? will be addressed through the application of the four phases and corresponding eight steps of Dubin's theory building research methodology. However, the overall research question is to be addressed via two sub-questions. The first: *Can a theory of Responsible leadership for Performance be developed*?; will be answered by completing Phase One and applying steps 1-4 of Dubin's theory building methodology, resulting in a theoretical framework of Responsible Leadership for Performance. Sub-question two, namely, *Can a theory of Responsible Leadership for Performance be validated*? will be addressed through: (a) the operationalization (Phase Two) of the theoretical framework of the theory, by partially completing steps 5-6 of Dubin's theory building methodology; and (b) a plan for the verification and refinement of the theory (Phases Three and Four), by proposing the next critical steps necessary to address steps 7 and 8 of the theory building research methodology.

The relationship between the theory building methodology and research questions is shown in Table 3.2. Table 3.2 brings together the research questions (column A), the eight-steps of Dubin's theory building research methodology (column B), an operational description of the eight steps (column C), and the corresponding alignment of the four general phases of theory building to the three domains, that is, A, B, and C (column D). See Table 3.2, where the key for Table 3.2 is as follows:

Represents the steps of the theory building methodology that will be addressed through research sub-question one.

Represents the verification/testing steps of the theory building methodology that will be partially addressed through research sub-question two of this study. Also represents critical next steps for future verification and ongoing refinement of the leadership theory.

Table 3.2. The Relationship between Dubin's Eight-Step Theory Building Research Methodology and the Research Questions of this Study

A Research Questions	Theory Building Methodology		
	B The EIGHT STEPS in Dubin's Theory Building Research Methodology (see Figure 3.1)	C An Operational Description of the Eight Theory Building Research Steps	D Corresponding Theory Building Phases (see Figure 3.3)
The first four steps together represent the theoretical framework of the applied theory building cycle. Attending to these first four theory building steps enables the researcher-theorist to answer **sub-question one** of this study, namely: ***Can "A Theory of Responsible Leadership for Performance" be developed?***	1. UNITS	• Also known as the 'concepts' of the theory. Involves the translation of the concepts to units, i.e. to things or variables whose interactions constitute the subject matter of attention. A theoretical framework is used to specify the manner in which these units interact with each other. • Addresses step one of Dubin's theory building research methodology, by developing responses to the following theory development question: *What are the UNITS of the theory?* • Compares the outcome to quality criteria for step one.	**Theory Building Phase One** Description: **Conceptual Development** of the theory. Output: An informed, conceptual framework of the theory (a theoretical framework). Process: Addresses steps one-four of Dubin's theory building research methodology, by developing responses to the 4 theory development questions indicated in column C.
	2. LAWS OF INTERACTION	• Specifies the interactions among the concepts and units of the theoretical framework. • Addresses step two of Dubin's theory building research methodology by developing responses to the following theory development question: *What are the LAWS OF INTERACTION of the theory?* • Compares the outcome to quality criteria for step two.	

(table continues)

Table 3.2. The Relationship between Dubin's Eight-Step Theory Building Research Methodology and the Research Questions of this Study

A Research Questions	Theory Building Methodology		
	B The EIGHT STEPS in Dubin's Theory Building Research Methodology (see Figure 3.1)	C An Operational Description of the Theory Building Research Steps	D Corresponding Theory Building Phases (see Figure 3.3)
These first four steps together represent the theoretical framework of the applied theory building cycle. Attending to these four theory building steps enables the researcher-theorist to answer **sub-question one** of this study, namely: ***Can "A Theory of Responsible Leadership for Performance" be developed?***	3. BOUNDARIES	• Theoretical frameworks are generally limited portions of the world – therefore one must explore and set forth the boundaries within which the theory is expected to hold and apply. • Addresses step three of Dubin's theory building research methodology, by developing responses to the following theory development question: *What are the BOUNDARIES of the theory?* • Compares the outcome to quality criteria for step three.	**Theory Building Phase One** continued Description: **Conceptual Development** of the theory. Output: An informed, conceptual framework of the theory (a theoretical framework). Process: Addresses steps one-four of Dubin's theory building research methodology, by developing responses to the 4 theory development questions indicated in column C.
	4. SYSTEM STATES	• Specifies the conditions under which the theory is operative, and reveals the complexity of the complex portion of the real world that the models are presumed to represent – each of the units interact differently in the system states. • Addresses step four of Dubin's theory building research methodology, by developing responses to the following theory development question: *What are the SYSTEM STATES of the theory?* • Compares the outcome to quality criteria for step four.	

(table continues)

Table 3.2. The Relationship between Dubin's Eight-Step Theory Building Research Methodology and the Research Questions of this Study

A Research Questions	Theory Building Methodology		
	B The EIGHT STEPS in Dubin's Theory Building Research Methodology (see Figure 3.1)	C An Operational Description of the Theory Building Research Steps	D Corresponding Theory Building Phases (see Figure 3.3)
These next four steps together represent the operationalization, verification and ongoing refinement of the theory. Attending, in part, to these next four steps enables the researcher-theorist to partially address **sub-question two** of this study, namely: ***Can "A Theory of Responsible Leadership for Performance" be validated?***	5. PROPOSITIONS	• Once the above four basic steps of a theoretical framework are set out one is in a position to derive conclusions that represent logical and true deductions about the theoretical framework in operation, or the propositions of the theoretical framework. • Addresses step five of Dubin's theory building research methodology, by developing responses to the following theory operalization question: *What are the PROPOSITIONS of the theory?* • Compares the outcomes to the quality criteria for step five.	**Theory Building Phase Two** Description: **Operationalization** of the theory. Output: An operationalized theoretical framework (i.e. a theoretical framework that enables the researcher-theorist to take the theory to the real world for verification and/or refinement). Process: Addresses steps five-six of Dubin's theory building research methodology, by developing responses to the two theory operationalization questions indicated in column C.
	6. EMPIRICAL INDICATORS	• The above 5 steps represent the theoretical side of the theory-research cycle of applied theory building. However, if one wants to determine whether the theoretical framework does in fact represent the real world, then each term in each proposition whose test is sought needs to be converted into an empirical indicator. • Addresses step six of Dubin's theory building research methodology, by developing responses to the following theory operationalization question: *What are the EMPIRICAL INDICATORS of the theory?* • Compares the outcomes to the quality criteria for step six.	

(table continues)

Table 3.2. The Relationship between Dubin's Eight-StepTheory Building Research Methodology and the Research Questions of this Study

A Research Questions	Theory Building Methodology		
	B The EIGHT STEPS in Dubin's Theory Building Research Methodology (see Figure 3.1)	C An Operational Description of the Theory Building Research Steps	D Corresponding Theory Building Phases (see Figure 3.3)
These next four steps together represent the operationalization, verification and ongoing refinement of the theory. Attending, in part, to these next four steps enables the researcher-theorist to partially address **sub-question two** of this study, namely: ***Can "A Theory of Responsible Leadership for Performance" be validated?***	7. HYPOTHESES	• Is the next step, and involves substituting the empirical indicators in the proposition statement with testable hypotheses. The research operation then involves measuring the values on the empirical indicators of the hypotheses to determine if the theoretically predicted values are achieved or approximated in the research test. It is here where issues of validity arise in the theory-research cycle. • Addresses step seven in Dubin's theory building research methodology, by developing responses to the following question of theory verification: *What are the HYPOTHESES of the theory?* • Compares the outcomes to the quality criteria for step seven.	**Theory Building Phase Three** Description: **Verification** of the theory. Output: An empirically verified theory. Process: Addresses steps seven-eight of Dubin's theory building research methodology, by developing responses to the two questions of theory verification indicated in column C.
	8. TESTING OF THE THEORY	• Is the eighth, and last, step in theory building and involves testing the theory in practice, i.e. against the real world. Important in this step is that the empirical indicators employed in testing the theory have a reasonable level of reliability. The testing of an applied theory is an ongoing process and must result in continuous refinement of the theory. • Addresses step eight of Dubin's theory building research methodology, by developing responses to the following theory verification and ongoing refinement question: *What is are the CRITICAL NEXT STEPS for verification and ongoing refinement of the theory?* • Compares the outcomes to the quality criteria for step eight.	**Theory Building Phase Four** Description: **Continuous Refinement** of the theory. Output: A continuously refined theory. Process: Addresses step eight of Dubin's theory building research methodology, by developing responses to the question of ongoing theory refinement indicated in Column C.

The application of Dubin's eight-step theory building research steps to the task of building a theory of Responsible Leadership for Performance forms the core method and process of this study. This eight-step theory building research process consists of: (1) developing the *units* of the theory, (2) specifying the *laws of interaction* that describe the relationship among the units, (3) determining the *boundaries* within which the theory is expected to apply, (4) identifying the *system states* in which the theory is expected to operate, (5) specifying the *propositions* or truth statements about how the theory is expected to operate in the real world, (6) identifying the *empirical indicators* used to make the propositions testable, (7) constructing the *hypotheses* that will indicate the predicted values and relationships among the units, and (8) conducting purposeful research to empirically *test* the predicted values and relationships (Torraco, 2000). This eight-step theory building process coincides with four distinguishable phases of theory building, namely, the conceptual development (steps 1-4), operationalization (steps 5-6), verification (steps 7-8), and ongoing refinement (step 8 continued) of the theory (see Figure 3.3).

Developing the *units* of the theory involves developing the concepts which form the building blocks of the theory. The units are the things or variables whose interaction constitutes the subject matter of attention of the study, that is, Responsible Leadership for Performance. Developing the units of the theory forms step one of Dubin's theory building process and answers the first of four theory development questions, namely: *What are the units of the theory*? On completion, the outcome of this first step can then be compared to five quality criteria for the theory development step.

Specification of the *laws of interaction* requires that the relationships among the units or concepts of the theory be clarified. The laws of interaction show how changes in one or more of the units of the theory influence the remaining units. Specifying the laws of interaction of the theory forms step two of Dubin's theory building process and answers the second of four theory development questions, namely: *What are the laws of interaction of the theory*? On completion of this second theory development step the specified laws of interaction can be compared with the quality criterion for this step.

Completion of the third of Dubin's theory building steps, namely, determining the *boundaries* of the theory, involves clarification of the limited portion of the world in which the theory is expected to hold up. The boundaries therefore clarify the aspects of the real world that the theory is attempting to model and therefore bounds the theoretical domain of the theory from other aspects of the real world that the theory is not attempting to model. Determining the boundaries of the theory answers the third of the four theory development questions, that is: *What are the boundaries of the theory*? The outcomes of this step can then be compared to the two quality criteria for this step.

Step four of Dubin's theory building methodology requires the specification of the *system states* of the theory. System states indicate the complexity of the real world that the theory is presumed to represent and the different conditions under which the theory operates. Theories can have numerous or few system states, but all units of the system state are determinant and are measurable and distinctive for each specified state of the theoretical system. Specifying the system states for the theory answers the fourth and last theory development question, namely: *What are the system states of the theory*? The

actual system states specified can then be compared to the three criteria of excellence for this step.

Completion of steps one through four, also completes phase one--conceptual development--and results in a theoretical framework of the theory. Phase two, operationalization of the theory, requires the completion of steps five and six of Dubin's theory building process.

Step five, specifying the *propositions* of the theory, answers the first of two theory operationalization question, namely: *What are the propositions of the theory*? Propositions represent truth statements or logical deductions about the theory in action and are considered true because they are logically derived from the theoretical framework. Once the propositions have been specified they can be compared to the three criteria for this step.

The sixth step in Dubin's theory building process is the identification of the *empirical indicators* of the theory. Identifying empirical indicators are necessary to make the proposition statements testable and involves answering the second theory operationalization question, namely: *What are the empirical indicators of the theory*? Empirical indicators are needed for each unit in each proposition whose test is sought. Once these empirical indicators have been identified they can be compared against the two criteria of excellence for this step.

Completion of steps five and six in the theory building process also represents the completion of the second phase of theory building, that is, the operationalization of the theory. Operationalization of the theory is important in enabling the researcher-theorist to get the theoretical framework ready to be taken to the real world for verification and further (ongoing) refinement.

Steps seven and eight coincide with the third and fourth phase of theory building, namely, verification and ongoing refinement of the theory. Step seven of Dubin's theory building process, constructing the *hypotheses* of the theory, involves substituting the empirical indicators in the proposition statements with testable hypotheses. Completion of step seven answers the one theory verification question of: *What are the hypotheses of the theory*? The eight of Dubin's theory building steps, requires that the theory be subjected to *testing* in the real world and leads to both theory verification and ongoing refinement (phase four) of the theory. Completing step eight answers the theory refinement question of: *What critical next steps are required for adequate testing and/or ongoing refinement of the theory*? This fourth phase of theory refinement represents ongoing research and adjustment based on the results of research so as to both improve and prove the adequacy of the theory.

Development, operationalization, verification and ongoing refinement are necessary phases of an ongoing journey and cycle of theory proof and adequacy. If theories are to hold up in terms of both rigor and relevance in the real world, then this ongoing cycle of theory and research is an onerous and inescapable responsibility of the researcher-theorist. First, however, the theory must be developed. As indicated earlier, this involves development of the theoretical framework and clarification of four key components of theory building, namely, the units, laws of interaction, boundaries and

system states of the theory. This *development* is the task and purpose of the next chapter of this study.

CHAPTER FOUR
THEORY BUILDING PHASE ONE: THE DEVELOPMENT OF A THEORY OF RESPONSIBLE LEADERSHIP FOR PERFORMANCE

It is the purpose of this fourth chapter to *develop* a theory of Responsible Leadership for Performance (RLP), a theory that will address the nature and challenges of leadership that is both responsible *and* focused on performance. As discussed and highlighted in Chapter Three, the first phase of theory building is that of the conceptual development of the theory. The output of this first phase of theory building research, if successfully performed, is an informed, conceptual or theoretical framework of the theory (Dubin, 1978).

This chapter addresses the first research sub-question of the study, namely: *Can a theory of responsible leadership for performance be developed*? In order to address this first sub-question the researcher-theorist must respond to four theory development related questions. These theory development questions correspond with the first four steps of Dubin's theory building research methodology (see Table 3.2). Each of the four theory development steps represents a major output and section in this chapter, namely:

Step 1: *The units of the theory*. Description of the units of the theory enables the researcher-theorist to answer the theory development question: What are the units of the theory?

Step 2: *The laws of interaction of the theory*. Specification of the laws of interaction of the theory enables the researcher-theorist to answer the theory development question: What are the laws of interaction of the theory?

Step 3: *The boundaries of the theory*. Clarification of the boundaries of the theory enables the researcher-theorist to answer the theory development question: What are the boundaries of the theory?

Step 4: *The system states of the theory*. Identification of the system states of the theory enables the researcher-theorist to answer the theory development question: What are the system states of the theory?

For ease of clarity a consistent framework is used to develop the output of each of the above four theory development steps. This framework consists of: providing a description of the method for the theory development step; developing the output of the actual theory development step (that is, the units, laws of interaction, boundaries, and systems states of the theory) through analysis and synthesis of related literature; and comparing the output of each theory development step to the corresponding quality criteria (or criteria of excellence) for each step. The chapter concludes with an integration (Figure 4.7) of the outcomes of the four theory development research steps into an informed, conceptual framework of "A Theory of Responsible Leadership for Performance."

THEORY DEVELOPMENT STEP 1: THE UNITS OF THE THEORY

The *units of a theory* are the variables that together make up the subject matter that is the focus of attention and address of the researcher-theorist. The units interact

with each other in ways specified by the theory. Together, the specification of the units of a theory and the laws by which the units interact constitute the major potential contribution to knowledge generated by the theory (Dubin, 1978; Torraco, 1994).

The units of "A Theory of Responsible Leadership for Performance" are presented by way of the following structure. First, the theory building research methodology for developing the units of the theory is described. Second, the actual units of the theory are developed. And third, the outputs of this theory development step are compared to the corresponding quality criteria for this first theory development step.

Description of the Theory Building Research Methodology for Developing the Units of the Theory

The *units of a theory* are sometimes described as the concepts of the theory, or the basic ideas that make up the theory (Cohen, 1991; Dubin, 1978; Reynolds, 1971). The units represent the things about which the researcher is trying to make sense and are informed by literature and experience. By translating the concepts to units the researcher-theorist is able to identify the things or variables whose interactions make up the subject matter of attention, in this case, that of Responsible Leadership for Performance (Dubin, 1978). It must be noted that units represent the properties of things rather than the things themselves (Dubin, 1978).

The units of the theory can also be described as "the things out of which the theory is built" (Dubin, 1981, p. 26). They are the basic building blocks from which the theorist-researcher constructs the theory; the raw conceptual material from which the theory emerges (Cohen, 1991; Torraco, 2000).

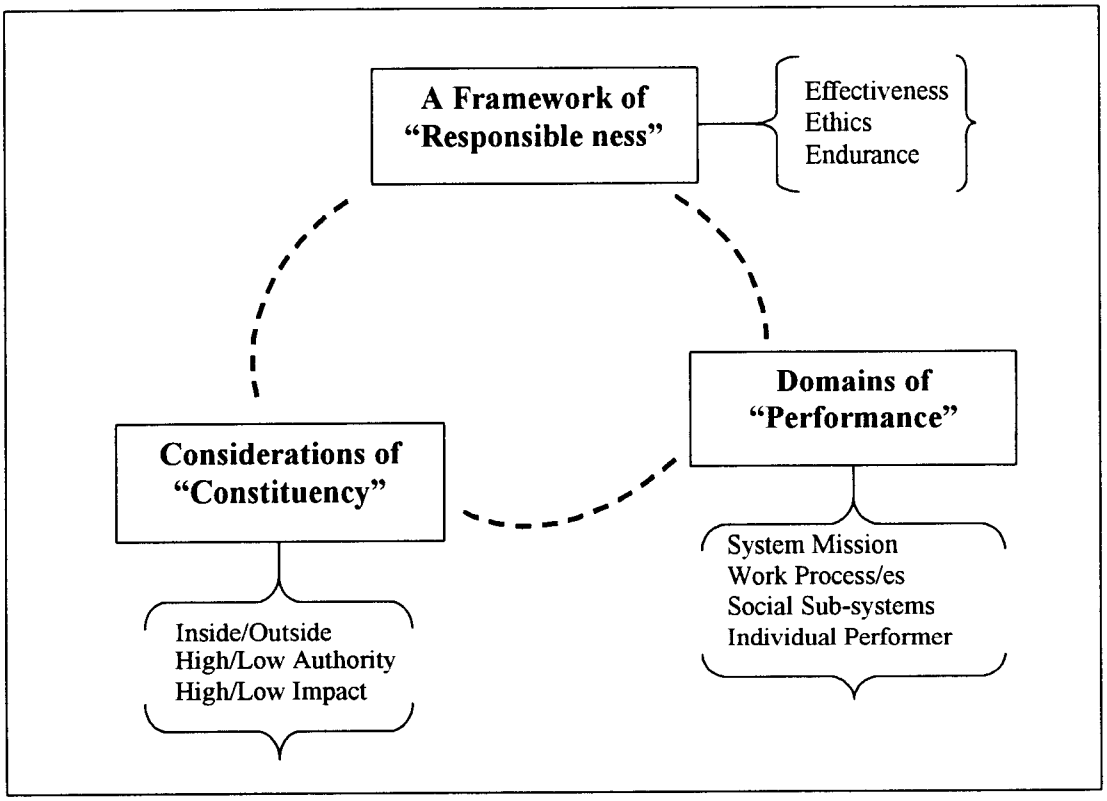
When choosing *units* of a theory, there are five dichotomies of characteristics that must be considered by the researcher-theorist: (1) unit versus event; (2) attribute and variable; (3) real versus nominal; (4) primitive versus sophisticated; and (5) collective versus member (Dubin, 1978). Further to these dichotomies, Dubin identified five types of units among which the researcher-theorist must distinguish, namely, enumerative, associative, relational, statistical, and summative units. The kinds of units used in the theory are determined by the choices made by the theorist-researcher regarding these dichotomous characteristics and unit-types. The kinds of units used in a theory are important as they can effect the theory in a number of ways, for example, its structure, the kinds of predictions the theory can generate, and the extensiveness of the tests that can be made of the theory (Dubin, 1978).

The theory of Responsible Leadership for Performance has three basic units: a framework of *responsibleness*, domains of *performance*, and considerations of *constituency*. The section following is concerned with the development of these three units of the theory. The outcome of this section is therefore three clearly identified and specified units of "A Theory of Responsible Leadership for Performance."

Development of the Units of the Theory

The three basic units of the theory of Responsible Leadership for Performance are: (1) a framework of *responsibleness*, (2) domains of *performance*, and (3) considerations of *constituency*. Each unit of the theory has several conceptual dimensions which expand and bring clarity to the units of the theory. A model of the three units of the theory and their supporting conceptual dimensions is shown in Figure 4.1.

Figure 4. 1. Responsible Leadership for Performance: A Model of the Units of the Theory and Supporting Conceptual Dimensions.



The development of "A Theory of Responsible Leadership for Performance" rests on a number of core premises. The first premise is that leadership is itself a system, meaning it consists of interacting, interdependent inputs, processes, outputs, feedback, and boundaries (Bass, 1990; Bennis, 1994; Bennis & Nanus, 1985; Boulding, 1956; Drucker, 1997; Gardner, 1990; Gradous, 1989; Northouse, 1997; Ruona, 1998; Swanson, 1999; Tichy, 1997; Tuchy & Ulrich, 1984; Ulrich, Zenger & Smallwood, 1999; Von Bertalanffy, 1968; Yukl & Van Fleet, 1992). Informed by system theory, a working definition of *leadership* will be taken to be:

> A system of interacting inputs, processes, outputs and feedback whereby individuals and/or groups influence and/or act on behalf of specific individuals or groups of individuals to achieve shared goals and commonly desired performance outcomes.

A second premise is that leadership takes place within a performance system, that is, within a system of joint, co-ordinated and purposeful action (Rummler & Brache, 1995; Holton, 1999; Northouse, 1997; Swanson, 1999; Swanson & Arnold, 1996). It is within a performance system that leadership takes place and is ultimately judged; and it is the performance system that forms the frame and context and of the leadership as a system-in-focus. Leadership can therefore be spoken and thought of as a system, that is, as a system of specific and interacting inputs, processes, outputs, and feedback that derive meaning, direction and purpose from the larger performance system within which that leadership occurs (Holton & Lynham, 2000; Preskill & Russ-Eft, 2000).

It must be noted that in the development of "A Theory of Responsible Leadership for Performance" the concept of a performance system is used interchangeably with that of an organization. There are various forms of organization, each of which represent a particular performance system with specific missions, values, goals, and expected outcomes, for example, a business organization, a non-profit organization, a government organization, a profession, an industry, or a society (Beauchamp & Bowie, 1997; Gibson, Ivancevich & Donnelly, 1994; Holton, 1999, 2000; Milgrom & Roberts, 1992). It must further be noted that for purposes of the development of this theory the boundaries of the leadership system-in-focus will be taken to correspond with the internal-external environment boundaries of the performance system in which the leadership takes place. These various forms of organization mean that leadership can and does take place within a variety of different performance systems and sub-systems. However, the units and conceptual elements, or dimensions, of this theory relate to the leadership system-in-focus of Responsible Leadership for Performance. It is therefore the leadership system-in-focus that is the subject matter of the development and operationalization of this theory, not the specific components of the performance system, although the latter lends the leadership system-in-focus its meaning and purpose.

The essence and logic of each of the three units of "A Theory of Responsible Leadership for Performance," namely, a framework of *responsibleness*, considerations of *constituency*, and domains of *performance*, are informed by the literature and the experience of the researcher-theorist. The units are presented and discussed in three distinct sections, one for each unit of the theory. For purposes of consistency the three units of the theory are developed and specified by using a recurring structure. First, the unit is named. Next, the unit is defined. Third, a general description of the unit and its conceptual dimensions is provided. Fourth, the validity of the unit, based on the literature, is considered. Fifth, the methodological logic of the unit is provided. And finally, the relationship of the unit with each of the other units of the theory is described.

Unit One: Responsibleness

Name

A Framework of Responsibleness.

Definition

Leadership that is responsible is leadership that demonstrates, and is judged to demonstrate, effective practices, ethical habits, and enduring resources (White Newman, 1993).

Description and Conceptual Dimensions

The Webster II Dictionary (1994) describes the word *Responsible* as:

> (a) being legally or ethically accountable for the welfare or care of another; (b) involving personal accountability or ability to act free from guidance or higher authority; (c) being a source or cause; (d) capable of making moral or rational decisions on one's own, thereby being answerable for one's behavior; (e) capable of being trusted or depended on, reliable; (f) based on or marked by good judgement; (g) having the means to pay debts or meet obligations; and (h) required to render account, answerable. (p. 1001)

Thus, *responsible* is associated with words like answerable, liable, accountable, amenable, reliable, dependable, trustworthy, and care, and share the meaning of "being obliged to answer...as for one's actions...to an authority that may impose a penalty for failure" (American Heritage Dictionary, 1992, p. 1537). The notion of *Responsibleness* is associated with professional action, that is, action that is "based on careful, reflective thought about which response is professionally right in a particular situation" (Tennyson & Strom, 1986, p. 298).

For leadership to be considered responsible it must actively demonstrate effectiveness, ethics and endurance. These are three necessary conditions and conceptual dimensions of responsible leadership. It is not enough for leadership to just be about effectiveness. What makes for and is meant by effective, ethical, and enduring leadership is determined by the constituency and the nature and purpose of the performance system in which the leadership occurs (Bass, 1990; Beauchamp & Bowie, 1997; Frooman, 1999; Jones & Wicks, 1999).

Validity

Leadership of the past and present commonly focuses on effectiveness, on getting things done, on producing economic results, a focus that is strongly fueled by the unidimensional, short-term economic viewpoint of leadership driven by Wall Street (Beauchamp & Bowie, 1997; Bennis, Parikh & Lessem, 1994; Berry, 1999; Brady, 1985; Freudberg, 1986; Frooman, 1999; Holton, 1999; Holton & Lynham, 2000; Knapp & Olson, 1996; Longenecker, 1985; Lynham, 1998; Solomon, 1999; Swanson, 1994; Wallace, 1985; Yukl, 1989). However, leadership, particularly leadership that is responsible, is more than just economic results. From the above definitions of *responsible*, it is clear that the word involves more than just meeting goals unidimensionally. It involves things of ethics and reliability, of being answerable for one's actions and deeds. For leadership to be responsible leadership it must attend to more than just effectiveness--it needs to go beyond just meeting short-term economic

goals (Collins & Porras, 1994; Greenleaf, 1991; Longenecker, 1985; Ulrich, Zenger, & Smallwood, 1999). Although effect is an important outcome of leadership, it is not sufficient for leadership to be considered responsible. White Newman (1993) offered a very workable and appealing framework for responsible leadership. "Too often", said White Newman, "leadership writings and practice have emphasized how to be effective. They need to embrace much more than this singular focus" (p. 1). White Newman aptly described the logic of this framework of responsible leadership as follows:

> Being solely concerned with effect seems inadequate, potentially even dangerous, since it is obvious that a person can be effective--that is, make a difference--yet also be unethical. Knowing the harm such people can cause, I believe most of us want leaders who, because they are ethical, will make beneficial differences to the world.
>
> Conversely, many good people just cannot get things done, they do not make a difference. They are ethical, but ineffective. So, I believe most of us want to follow a good person who can convert ethical ideas into viable actions.
>
> ....Too often, in these stressful times, individuals who are effective and ethical survive as leaders for a brief time. They do not endure. Some are replaced by external factors. Others cave in under the pressure of leadership--they burn out. I do not advocate using up leadership, nor self-immolation as a way to serve a cause. So endurance becomes essential to leadership. Endurance encompasses refreshment for leaders and renewal for their groups [and systems]. I believe most of us wish to follow and be enduring leaders.
>
> ....Being effective, ethical and enduring as a leader. That is the [framework] of the 3E's [of responsibleness in leadership]. (p. 3)

In a study conducted by Lynham (1992) the above framework was used to identify leadership competencies relating the 3E's perceived by leadership and followship to be most necessary to help sustain business organizations in South Africa through the 1992-7 transition period. Table 4.1 provides an example of how this framework can be used by leadership and constituency to divulge their ideal image of responsible leadership, and what the competencies of each E may need to look like to achieve this purpose.

Table 4.1. An Overview of the Competencies of Effective, Ethical, and Enduring Leadership (p. 95)

Effectiveness	Ethics	Endurance
1. Serving the reciprocity and partnership between leadership and followership. 2. Demonstrating through example. 3. Focusing beyond just the immediate environment. 4. Sharing, inspiring and safe-guarding mission, vision and direction. 5. Inspiriting change. 6. Making decisions, appropriately. 7. Nurturing a climate of motivation and learning. 8. Engaging movement and goal achievement.	1. Serving as a symbol. 2. Resonating the needs and feelings of one's constituents. 3. Doing things right. 4. Nurturing differences and nurturing the larger environment. 5. Embracing a sense of inner truth and higher purpose. 6. Possessing toughness, courage, balance, and touch. 7. Holding a deep sense of commitment to and belief in people.	1. Reflecting wellness, wholeness and balance. 2. Embodying both a willingness and an ability to change. 3. Embracing vision, goals, and values that evoke lastingness. 4. Nurturing balance and reciprocity between leadership and followership. 5. Showing toughness and courage. 6. Pursuing learning. 7. Evoking effectiveness and ethics.

Clearly responsibleness in leadership is not just about the demonstration of attributes of effectiveness. "When leaders fail to exhibit concern for results, however many attributes they possess, they will ultimately be ineffective and their tenures unproductive" (Ulrich, Zenger, & Smallwood, 1999, p. 29). Conversely, "leaders who get results but lack attributes often find their successes short-lived" (Ulrich, Zenger, & Smallwood, p. 29). Furthermore, "those lacking attributes may have the raw ability of geniuses, but character flaws inhibit their ability to lead. They repel others, make fatal mistakes, or burn themselves out. Successful leaders get lasting results by aligning attributes with intended outcomes" (Ulrich, Zenger, & Smallwood, 1999).

The literature clearly indicates that being responsible *is* more than just effect. Responsible leadership is the purposeful and integrated demonstration, application and achievement of effective practices, ethical habits and enduring resources (White Newman, 1993). Responsible leadership is therefore actively determining and implementing the framework of the 3E's within the context of the performance system in which that leadership occurs. Based on the literature, the question of content validity in terms of the unit of *a framework of responsibleness* has therefore been established.

Methodological Logic of the Unit

In the development of this theory it is important to consider the nature of the unit of *Responsibleness*. The nature of a unit can differ in two important ways, namely, in terms of dichotomous characteristics and in terms of type. *Responsibleness* is characteristically an attribute unit that is of relational type. A basic explanation of this unit characteristic and type follows.

> A property of a thing distinguished by the quality of being present. The thing always has this quality if the attribute is a property of the thing. All things having a given attribute property constitute a set of identities on the attribute property. All other things are in a set identified by the lack of the given attribute property. (Dubin, 1978, p. 44).

The properties of effectiveness, ethics and endurance are attribute properties of leadership that are considered responsible. Although these attribute properties of the unit may vary in degree, they must always be present, at least to some degree, for that leadership to be judged responsible. Conversely, leadership that is not considered responsible, is leadership that does not demonstrate some degree of all three of these attribute properties, that is, of effectiveness, ethics and endurance.

The unit of *Responsibleness* is of a relational type, meaning that *Responsibleness* is not itself a property of leadership, but a property of leadership due to the presence of the three attribute properties of effectiveness, ethics and endurance.

> A relational unit is a property characteristic of a thing that can be determined only by the relation among properties. These relations may be of two general sorts. The first is the relation based on interaction among the properties. ...The second form of relation is based on the combination of properties. A relational unit...identifies a property of a thing by calling attention to the fact that the property is derivable from at least two other properties. (Dubin, 1978, p. 62)

The relational nature of this unit allows the researcher-theorist to make one term, namely, *Responsibleness*, stand for three properties of the thing, namely, effective, ethical and enduring leadership. Given this description of a relational unit *Responsibleness* in leadership can be presented as being equal to: *effectiveness* x *ethics* x *endurance*, where each term of the equation multiplies the other rather than being cumulative.

Responsibleness in leadership is therefore attributable and relational to the three E's. Thus, only when the three E's are present, together and in varying amounts or to varying degrees, can leadership be considered responsible. The dual nature of this unit makes it possible to measure *responsibleness* in leadership at both the ordinal and interval level.

Relationship of the Unit with the Other Units of the Theory

The unit of *Responsibleness* relates to each of the other two units of the theory, that is, the units of *Constituency* and *Performance*. It does so in the following basic ways.

Responsibleness and constituency. Each performance system has at least one constituency, that is, one individual or group of individuals whose needs and desired goals are served by that performance system (Frooman, 1999). It is not uncommon to identify multiple constituencies of a performance system (Beauchamp & Bowie, 1997; Jones & Wicks, 1999; Milgrom & Roberts, 1992; Tichy, 1983; Ulric, Zenger & Smallwood, 1999). The constituency of the performance system gets to describe what makes for effective, ethical and enduring leadership. *Responsibleness* in leadership must therefore be defined and judged from the perspective and desired outcomes of the constituency of the performance system.

Responsibleness requires that the reciprocity between leadership and followship, or between leadership and constituency, is acknowledged and that the right to lead is constantly earned and re-earned from the constituency of the performance system by whom it is extended (Bass, 1990; Bryson & Crosby, 1992; Cohen & Bradford, 1990; DePree, 1997; Frooman, 1999; Kelley, 1992; Kouzes & Posner, 1990; Perreault, 1997) . Responsibleness also requires the acknowledgement that leadership occurs at all levels of the organization or performance system, that it is not handed down from above, and that it needs to be constantly earned and re-earned, usually from multiple sources or constituencies (Beauchamp & Bowie, 1997; Bennis, Parikh, & Lessem, 1994; Bergmann, Hurson, & Russ-Eft, 1999; Bryson & Crosby, 1992; Cohen & Bradford, 1990; DePree, 1989; Frooman, 1997; Holton, 1999; Rummler & Brache, 1995; Solomon, 1999; Tichy, 1997; Ulrich, Zenger, & Smallwood, 1999).

Responsibleness and performance. For leadership to be considered responsible, that is, effective, ethical and enduring, it must think and act from a whole-systems perspective of performance. This means that leadership that is responsible is leadership that positively impacts multiple performance domains within the performance system that is the focus of that leadership (Holton, 1999; Holton & Naquin, 2000; Ruona, 1998; Rummler & Brache, 1995; Senge, 1990; Senge et al., 1994; Swanson, 1998, 1999; Toracco, 1998, 1999; Wimbiscus, 1995).

Furthermore, it is neither sufficient, nor responsible, for leadership to only impact performance of the system in the short-term. *Responsibleness* in leadership demands an integrated perspective and understanding of performance improvement, of both the performance outcomes and performance drivers that result in multiple-domain, whole-system and long term performance improvement (Bennis, Parikh, & Lessem, 1994; Collins & Porras, 1994; Drucker, 1994, 1996; Holton, 1999; Solomon, 1999; Swanson, 1999; Toracco, 1999; Ulrich, Zenger, & Smallwood, 1999).

Unit Two: Constituency

Name

Considerations of Constituency.

Definition

Every performance system has a constituency that represents those whom the leadership in the performance system serves and for whom the leadership produces desired results (Freeman, 1997; Frooman, 1999; Gardner, 1990; Gibson, Ivancevich & Donnelly, 1994; Greenleaf, 1991; Jones & Wicks, 1999; Kelley, 1992; Milton & Roberts, 1992; Ulrich, Zenger, & Smallwood, 1999).

Description and Conceptual Dimensions

The Webster II Dictionary (1994) describes constituency as: "(1) the body of voters represented by an elected legislator or executive; (2) a group of supporters" (p. 302). The American Heritage Dictionary (1992) adds to this description of constituency as: "(1) a group of supporters or patrons; (2) a group served by an organization or institution; or clientele" (p. 404).

In organizational and resource theory the notion of constituency is often equated to stakeholders, that is, "any group or individual [in an organization] who can affect or is affected by the achievement of the organization's objectives" (Pitman, 1986, p. 46).

In an open, free market economic or democratic political system stakeholders have the ability to remove leadership from the performance system which serves their needs and desired outcomes (Frooman, 1999). This can be achieved through either or both economic or political means. For example, stockholders can dispose of enough stock and/or vote individual and groups of individual out of the right to provide leadership, employees can withhold and withdraw labor to the same end, suppliers can refuse to do business with a performance system or part thereof, and local community can lobby for the closure of an organization or replacement of irresponsible leadership. Due to this inherent electoral and sanctioning nature and power of the stakeholders of a performance system stakeholders are referred to as constituency or constituencies in this theory of Responsible Leadership for Performance.

In an organization or a performance system the constituency therefore consists of those whom the leadership represents and serves, and to whom the leadership is answerable in terms of desired actions and outcomes (Frooman, 1999). In serving these constituency needs within a performance system leadership needs to bear in mind a number of considerations (Beauchamp & Bowie, 1997; Frooman, 1999; Jones & Wicks, 1999). The first is whether the constituency *resides inside or outside* the performance system. For example, employees and management can be viewed as inside the performance system, while suppliers or vendors and customers can be seen to reside outside the performance system. Another consideration of constituency is whether the constituency has potentially *high or low impact* on the performance system. While a third consideration is whether the constituency has *high or low authority* over the performance system. Depending on the nature of the performance system and the context within which the performance system operates, these three considerations of constituency will influence the actions and decisions of leadership.

The three considerations of constituency, namely, whether the constituency resides inside or outside, has high or low impact on, and has high or low authority over the performance system, form the three conceptual dimensions of this unit in this theory of Responsible Leadership for Performance. For leadership to demonstrate *responsibleness* in terms of constituency, it must therefore consider and balance these three considerations of constituency in the pursuit of the purpose and desired results of the performance (Beauchamp & Bowie, 1997; DePree, 1997; Freeman, 1997; Frooman, 1999; Ulrich, Zenger, & Smallwood, 1999; Jones & Wicks, 1999).

Validity

Leadership does not exist on its own. There is a reciprocity between leadership and constituency. It is the constituency that gives voice and purpose to leadership and that allows the individual and/group responsible for delivering leadership to stand up as one (Bass, 1985, 1990; Bennis, Parikh, & Lessem, 1994; Block, 1993; Kelley, 1992; Kouzes & Posner, 1990; Lynham, 1998; Perreault, 1997; Terry, 1993). The constituency exists in relation to the system of performance in which the leadership occurs, as indicated by the conceptual dimensions of this unit of the theory. It is the purpose of

leadership to serve the purpose and goals of the performance system, and in so doing , those of the whole constituency (Autry, 1991; Block, 1993; Bryson & Crosby, 1992; Cohen & Bradford, 1990; DePree, 1989, 1997; Gardner, 1990; Greenleaf, 1991; Kelley, 1992; Kouzes & Posner, 1990; Posner & Kouzes, 1996).

Typically leadership constituency is thought of in terms of a number of categories, namely: employees, management, the organization, shareholders, investors, suppliers/vendors, and the members of the community in which the organization operates (Beadsley, 2000; Beauchamp & Bowie, 1997; Cosby & Bryson, 1992; Gibson, Ivancevich & Donnelly, 1994; Freeman, 1997; Frooman, 1999; Tichy, 1983; Ulrich, Zenger, & Smallwood, 1999). An important task of leadership is to balance the needs of these constituency groups, even though these may at times represent conflicting needs and outcomes (Freeman, 1997; Frooman, 1999; Jones & Wicks, 1999).

Leadership does not exist in isolation. Without followship there is no leadership (Autry, 1991; Bass, 1990; Block, 1993; Gardner, 1990; Kelley, 1992; Kouzes & Posner, 1987; Northouse, 1997; Perreault, 1997). The phenomenon of leadership comes about as a result of a need to pursue desired outcomes, that is, to achieve goals desired by stakeholders located both inside and outside a specific system of performance (Beauchamp & Bowie, 1997; Holton, 1999; Frooman, 1999). As a result, there is a close, reciprocal relationship between leadership and constituency, for it is the constituency that provides the followship necessary for the existence of the phenomenon of leadership (Autry, 1991; Bass, 1990; Block, 1993; Covey, 1991; Gardner, 1990; Greenleaf, 1991; Kelley, 1992; Perreault, 1997).

The literature indicates that leadership can therefore not act in isolation of desired results of constituency and still hope to be judged responsible, that is, to be judged effective, ethical and enduring in its actions and outcomes. Futhermore, leadership that is performance-based must define its performance results by understanding constituency needs, for example, customers, shareholders, employees, investors, and suppliers/vendors, and how their needs are to be met. Leadership that demonstrates *responsibleness* must therefore understand the desired results and goals of these multiple constituency groups and learn to balance these in such a way that they are judged to be adding value to each of these constituencies (Beauchamp & Bowie, 1997; Frooman, 1999; Ulrich, Zenger, & Smallwood, 1999). The desired performance goals of these multiple constituency groups influence and determine, in varying degrees, the performance goals of the performance system in which the leadership is operating.

According to the literature, it becomes important for leadership to therefore align the performance goals of the constituency groups with those of the performance system and to balance the desired performance results across the constituency groups of the performance system (Dean & Rifken, 1997; Frooman, 1999; Ulrich, Zenger, & Smallwood, 1999). For leadership that excels in achieving the desired results of only one constituency group will unlikely be judged responsible (effective, ethical, and enduring) by the other constituency groups, and ultimately by the performance system in which it is in action. Based on the literature, the question of content validity in terms of the unit of *considerations of constituency* has therefore been established.

Methodological Logic of the Unit

The nature of the unit of constituency is twofold: it has the characteristics of an attribute, and is an enumerative-type unit (Dubin, 1978). It is characteristic of an attribute unit in that without constituency there is no leadership. Constituency is therefore a necessary condition, a required attribute, or an attribute property, of leadership.

This conditional relationship of constituency with leadership also makes this unit of *constituency* of an enumerative type, which Dubin (1978) describes as:

> An enumerative unit is a property characteristic of a thing in all its conditions. That is, regardless of the condition of the thing that can be observed or imagined, it will always have that property. We mean by the notion of 'condition', all the states under which the thing will be found. (pp. 58-59)

Responsible Leadership for Performance will *always* have the property of constituency, for the one cannot exist without the other. Although the nature of constituency may differ, based on, for example, the three conceptual dimensions of the unit of constituency, where there is leadership there MUST be constituency. The enumerative nature of this unit thus speaks to the universality of this unit in this theory of Responsible Leadership for Performance.

Relationship of the Unit with the Other Units of the Theory

The unit of *Constituency* relates to each of the other two units of the theory, that is, the units of *Responsibleness* and *Performance*. It does so in the following basic ways.

Constituency and performance. The constituency confirms and ultimately determines the nature of the desired domains and outcomes of performance for which the leadership it to be held accountable. The desired outcomes of the constituency who initiate the need for leadership are also reflected in the performance mission, goals and needs of the performance system in which the leadership occurs. At the same time, if leadership does not pursue and attend to integrated, whole-system performance then it is unlikely to result in performance satisfaction of the constituents. It is, after all, the constituency, that gets to judge whether the desired performance has been attained by the leadership.

Constituency and responsibleness. The constituency gets to describe what makes for effective, ethical and enduring leadership. Thus the meaning of *responsibleness* in leadership must be clarified and determined by the constituency of the particular performance system. It is also the constituency that gets to judge whether the leadership has acted in a responsible, that is an effective, ethical and enduring, manner relative to the needs and goals of the performance system.

In other words, constituency sets and judges desired performance outcomes. Constituency also identifies and judges what makes for effective, ethical and enduring leadership.

Unit Three: Performance

Name

Domains of Performance.

Definition

Performance is the key dependent or outcome variable of leadership. There are multiple discernable domains of performance within a performance system (Cummings & Worley, 1993; Gibson, Ivancevich & Donnelly, 1994; Holton, 1999; Rummler & Brache, 1995; Swanson, 1996; Wimbiscus, 1995). Four such domains of performance include system mission, work process/es, social sub-systems, and the individual performer (Holton, 1999).

Description and Conceptual Dimensions

The Webster II Dictionary (1994) describes the transitive verb of *Perform* as: "(1) to begin and carry through to completion; (2) to take action in accordance with the requirements of: fulfill; (3) to (a) enact (a feat or role) before an audience, (b) to give a public presentation of" (p. 873). And it describes the intransitive verb of *Perform* as: "(1) to carry on: function; (2) to fulfill an obligation or requirement; (3) to portray a role or demonstrate a skill before an audience; (4) to entertain, as a dramatic work, before an audience" (p. 873). *Performance* is described as: (1) the act of performing or state of being performed; (2) style of performing a work or role before an audience; (3) manner of functioning; (4) a presentation, especially a theatrical one, before an audience; (5) something performed: accomplished" (p. 873).

According to The American Heritage Dictionary (1992), *performance* is about carrying something through to completion, that "to perform is to carry out action, an undertaking, or a procedure" and that the word "often connotes observance of due form or the exercise of skill or care" (p. 1345). From these descriptions, and according to Dean (1997), performance must be seen to have two parts: "an activity and the outcome of that activity" (p. 72). *Performance* also occurs within a context of requirements, that is, according to the requirements of a particular system and audience.

Each performance system therefore defines performance to fit and serve its unique needs (Dean, 1997; Gibson, Ivanevich & Donnelly, 1994; Holton, 1999; Kolvitz, 1997; Passmore, 1997; Rummler & Brach, 1995; Tosti & Jackson, 1992; Von Bertalanffy, 1962; West, 1997). The performance of a system is multidimensional. Four commonly identified and significant domains of performance include the system mission, the work process/es, the social sub-systems, and the individual performer (Cummings & Worley, 1993; Gibson, Ivancevich & Donnelley, 1994; Holton, 1999; Mintzberg, 1994; Rummler & Brache, 1995; Smith, 1996; Swanson, 1996; Swanson & Holton, 1999; Tichy, 1993, 1997; Wimbiscus, 1995). It is these four domains of performance that form the four conceptual dimensions of the *performance* unit of the theory.

Performance is a necessary focus and outcome, a necessary requirement, of leadership. A primary purpose of leadership is the attainment of desired outcomes, of what is often referred to as desired results (Bass, 1990; Collins & Porras, 1994; Gardner, 1990; Ulrich, Zenger, & Smallwood, 1999). In a theory of leadership for performance it is important that *performance* be seen as the key dependent variable of leadership. It is not sufficient for leadership to meet performance goals in only one of the four identified

domains of performance. Leadership must positively serve and impact multiple performance domains of the performance system within which it occurs. Unless leadership strives to positively impact these multiple performance domains it will not contribute to whole system performance.

Validity

The literature suggests that leadership is not an end in itself (Bass, 1984; 1990; Block, 1993; Dean & Ripley, 1997; DePree, 1989; Gardner, 1990; Kouzes & Posner, 1987; Moss Kanter, 1996; Northouse, 1997; Posner & Kouzes, 1996; Ulrich, Zenger, & Smallwood, 1999; Yukl, 1989; Yukl & Van Fleet, 1992). Leadership is a system of interacting, interdependent elements that derives its meaning and purpose from the performance system which gives rise to the need for that leadership. Organization systems employ leadership in the belief that leadership will make a positive difference to the ultimate performance of the organization system and sub-systems (Heskett & Schlesinger, 1996; Meindl & Ehrlich, 1987; Bass, 1990). Furthermore, organization systems employ leadership for the purpose of improved results, the desired outcome of leadership (Drucker, 1996; Pollard, 1996; Ulrich, 1996; Ulrich, Zenger & Smallwood, 1999). Performance, as a necessary outcome of leadership, is therefore an important essence of the phenomenon of leadership.

The literature supports that it is not sufficient for leadership to result in performance in only one domain of performance and still claim to demonstrate *responsibleness* (Bass, 1990; Berry, 1999; Collins & Porras, 1994; Drucker, 1996; Holton, 1999; Lynham, 1998; Swanson, 1999; Torraco, 1998; White Newman, 1993). In order for leadership to effect performance improvement of the system in which it occurs performance must be viewed and treated as a whole system of performance, and performance improvement must be pursued in all four performance domains of that system (Dean, 1997; Holton, 1999; Kolvitz, 1997; Rummler & Brache, 1995; Tosti & Jackson, 1992; West, 1997; Wimbiscus, 1995). This multidimensional performance logic is necessary of leadership to ensure integrated and congruent performance of the system as a whole (Holton, 1999; Holton & Naquin, 2000; Tichy, 1997; Tichy & Ulrich, 1984). Based on related literature, the content validity of the unit of *domains of performance* has therefore been established.

Methodological Logic of the Unit

The nature of the unit *Domains of Performance* is twofold. First, this unit is characteristic of a variable. Second, it is an associative-type of unit.

> A variable is a property of a thing that may be present in degree. There may be some of the property present or a lot of it. We may express the degree of presence of the variable property of a thing by either a cardinal or an ordinal scale. (Dubin, 1978, p. 44)

Each of the four performance domains represents a property of leadership that can vary in degree. This means that the degree or amount of performance in each performance domain can vary as an outcome of leadership. The degree of performance can be expressed at both the ordinal and interval levels of measurement for each of the four performance domains of leadership.

An associative unit is a property characteristic of a thing in only some of its conditions. In all respects save one it is identical to an enumerative unit. The one difference is that there is a real zero or absent value for associative units (Dubin, 1978).

> The existence of a zero value for a unit is a critical feature of that unit. There are consequences, for example, for measurements that relate to the possibility of a zero value existing for a unit. There are other kinds of consequences in which we have both positive and negative values of the unit. (p. 60)

The performance outcome of leadership, that is, the dependent variable of leadership, can be positive, negligible/zero, or negative. The performance impact of leadership relative to the desired outcomes of each performance domain can be assessed as meeting or exceeding the desired outcomes, having not met the desired outcomes, or having achieved negative or undesirable outcomes. Although *performance* can be taken to be a characteristic property of leadership it is associated with leadership in multiple-value ways.

Relationship of the Unit with the Other Units of the Theory

The unit of *Domains of Performance* relates to each of the other two units of the theory, that is the units of *Responsibleness* and *Constituency*. It does so in the following ways.

Performance and responsibleness. Leadership that is responsible, that is leadership that is effective, ethical and enduring, needs to improve and integrate performance in all four of the identified domains of performance. Leadership efforts are often aimed at only one or two of the four domains of performance resulting in, at best, unidimensional, disconnected transformation and performance (Berry, 1999; Rummler & Brache, 1995; Lynham, 1998; Ulrich, Zenger, & Smallwood, 1999). It is a task of responsible leadership to both optimize and co-ordinate performance in each domain of performance (Gibson, Ivancevich & Donnelly, 1994; Holton, 1999; Kaplan & Norton, 1992; Lynham, 1998; Rummler & Brache, 1995; Swanson, 1996; Tosti & Jackson, 1992; West, 1997; Wimbiscus, 1995). In other words, leadership that is responsible will pursue optimization and transformation of performance in all four domains of performance within the performance system and, in so doing, ultimately of the whole performance system.

Performance and constituency. Constituency is a key independent variable of leadership performance and ultimately determines and confirms the importance and degree of the domains of performance for which the leadership is held accountable. Depending on the nature of the performance system, the nature of the constituencies of the performance system, and the desired outcomes of the constituencies of that performance system, the domains of performance can vary in importance.

Comparison of this Theory Building Research "Unit" Step to the Criteria of Excellence

The outcome of developing the units of a theory can be considered against a number of criteria, identified by Dubin (1978), for this first theory development step.

Five criteria can be identified for this first step in the theory building process, namely: rigor and exactness, parsimony, completeness, logical consistency, and the degree of conformity to the limitations on employment and combination of the units. A brief description of each criterion and of the way in which the researcher-theorist was mindful of these criteria in the development of the units of "A Theory of Responsible Leadership for Performance" follows.

Rigor and Exactness

The criteria of rigor and exactness relate to the use of attribute and/or variable units in the development of the theory. Attribute units are considered to be more primitive and therefore less exact than variable units. Although variable units are preferred to attribute units in a theory, the use of a combination of attribute and variable units are preferred over attribute units only. However, use of primitive terms is also considered typical of an emerging theory such as the nature of A Theory of Responsible Leadership for Performance (Dubin, 1978).

In the development of the units of "A Theory of Responsible Leadership for Performance" a purposeful attempt was made to satisfy this preferred combination of attribute and variable units in a theory. As a result, two of the three units of this theory, namely, *a framework of responsibleness* and *considerations of constituency*, are attribute units while the third, *domains of performance*, is a variable unit.

Parsimony

Parsimony in a theory relates to the degree to which the theory contains a minimum of complexity and assumptions. Therefore, parsimony in the development of the units of the theory is about the complexity of explanation used by the researcher-theorist in the presentation and discussion of the theory units.

In the spirit of addressing the criterion of parsimony, this first step in the theory development phase begins with a model presenting the three core units of the theory of Responsible Leadership for Performance (*responsibleness*, *constituency*, and *performance*). This model is followed by a presentation of two core premises of the theory as well as a working definition of leadership, the phenomenon central to this theory. Each unit is then presented and discussed by way of a parallel structure, namely: name; definition; description of the unit and its conceptual dimensions; validity; and the relationship of the unit to other units of the theory. Where possible and applicable core concepts relating to the development of the units of the theory have been highlighted and described in some detail.

Completeness

The criterion of completeness is linked only to the use of associative units and the resulting possible zero value of these units. By employing associative units predictions about the theoretical system of Responsible Leadership for Performance must include states in which these units go to zero or even become negative. This issue becomes important for the eventual testing of the completeness of the theory, that is, of the completeness of the predictions generated by the theory.

The unit *Domains of Performance* is the only associative-type unit employed in this theory. The use of this unit-type in the theory helps the researcher-theorist to cater for the eventual requirement of completeness of the theory. This is an important unit-related choice as this theory of leadership frames *performance* as the key outcome variable of leadership, and sets the groundwork for the researcher-theorist to assert various types of relationships between *responsibleness* in leadership and whole system performance improvement.

Logical Consistency

The notion of logical consistency relates to the logic of the types of units combined in and used to compose the theory. The use of only one type of theory unit confines the results of the theory. For example, the use of only enumerative or only associative units confines the results "to just the first quadrant of the Cartesian co-ordinate system" (Dubin, 1978, p. 69). On the other hand the combination of enumerative with associative units in a single theory enables a better spread of data across the "four quadrants of the Cartesian co-ordinate system" (p. 70). Depending on what units the researcher-theorist decides to use in the theory therefore influences the kinds of studies that can later be used to gather and study data on the theory, and ultimately be used to verify and refine the theory.

The logic for the choice of the three kinds of units employed in "A Theory of Responsible Leadership for Performance" has been made explicit in the development and presentation of the units of this theory. By using enumerative, associative and relational units in developing this theory, future inquiry within all four quadrants of the Cartesian co-ordinate system has been enabled. This employment of multiple types of units therefore creates a flexibility and spread in the types of data and types of inquiry that can be used in the future operationalization, verification and refinement of the theory.

Degree of Conformity to the Limitations on Employment and Combination of the Units

In the development of the units of a theory the researcher-theorist is required to uphold three limiting rules regarding the combination of types of units in a theory. The first rule states that "a relational unit is not combined in the same theory with enumerative or associative units that are themselves properties of that relational unit" (Dubin, 1978, p. 73). The second rule states that "where a statistical unit is employed, it is by definition a property of a collective. In the same theory do not combine such a statistical unit with any kind of unit (enumerative, associative, or relational) describing a property of members of the same collective" (pp. 74-75). The third rule states that "summative units have utility in education and communication with those who are naïve in a field. Summative units are not employed in scientific models" (p. 78).

Three kinds of units are employed in "A Theory of Responsible Leadership for Performance." The unit of *responsibleness* is a relational unit, the unit of *performance* an associative unit, and the unit of *constituency* an enumerative unit. As neither statistical nor summative units are employed in the theory the second and third rules of limitations

do not apply to this theory. The first rule of limitation has been noted and complied with in the development of the three units of this theory.

The preceding discussion concludes the first step in the theory development phase of Dubin's (1978) theory building research methodology. The outcome of this section is the *units* of the theory of this study, as highlighted in Figure 4.1, and answers the theory development question: What are the units of "A Theory of Responsible Leadership for Performance?" The task of the next, and second, step in the theory development phase is to consider the nature of the relationship among the three units of the theory. This interaction among the units of the theory is portrayed in the *laws of interaction* of the theory and is presented and discussed in the next section.

THEORY DEVELOPMENT STEP 2: THE LAWS OF INTERACTION OF THE THEORY

The *laws of interaction* of "A Theory of Responsible Leadership for Performance" describe the interaction among the three units of the theory, namely, *a framework of responsibleness*, *domains of performance*, and *considerations of constituency*. In this section the laws of interaction of the theory are specified and described. The laws of interaction are derived by the researcher-theorist from the dynamic relationship among the three units of the theory.

The specification of the laws of interaction of a theory requires response to the second of the four theory development questions, namely: *What are the laws of interaction of the theory*? Answering this theory development question involves completion of the second step of Dubin's theory building research methodology and further partially addresses the first research sub-question of the study, namely: Can "A Theory of Responsible Leadership for Performance" be developed?

The laws of interaction of "A Theory of Responsible Leadership for Performance" will be presented by way of a four-part framework. First, the theory building research methodology for this step is described. Second, the actual laws of interaction of the theory are specified and described. Third, a brief summary of the laws of interaction of the theory is offered. And finally, the criterion for this theory development step are compared with the outcome, that is, the laws of interaction, identified and presented in this second developmental step of the theory.

Description of the Theory Building Research Methodology for Developing the Laws of Interaction of the Theory

The *laws of interaction* make explicit and specific the manner in which the units of the theory interact with one another (Dubin, 1978; Toracco, 1994, 2000). A law of interaction is a statement by the researcher-theorist of the relationship between units and shows how the units of the theory are linked to each other. Dubin (1978) highlights three general categories or types of laws of interaction, namely, categoric, sequential, and determinant.

Categoric laws of interaction indicate that values of a unit of the theory are associated with values of another unit. This type of law is common in the social sciences and indicates "a greater-than-chance probability that the units are related" (Dubin, 1978, p. 98). Categoric laws are symmetrical in nature, meaning that "it does not matter whether one or the other of the units comes first in the statement of the law" (p. 100). Words typically employed in this kind of law of interaction are "is associated with," for example, unit A *is associated with* unit B (p. 101). Two categoric laws of interaction have been identified for the theory of this study. Each will be presented and discussed in the section following.

Sequential laws are a second type of law of interaction and make use of a time dimension to describe the relationships among two or more units. A sequential law of interaction therefore identifies a temporal interval between the values of two or more units and indicates that the relationship between the units concerned is unidirectional. As a result, sequential laws are asymmetrical with a time lapse between the units being a characteristic of this type of law of interaction. Words typically employed in this kind of law of interaction are 'succeeded by', or 'preceded by', for example: "...specified values of unit A are *succeeded by* specified values of Unit B with a time interval of X" (Dubin, 1978, p. 103). Two sequential type laws of interaction have been identified for the theory of Responsible Leadership for Performance. Each will be presented and discussed in the section following.

A *determinant* law of interaction is one that relates determinate values of one unit of the theory with determinate values of another unit. Determinant laws of interaction therefore describe specific relationships among units with determinate values, and as a result, these laws of interaction are typically used in the physical sciences where such precise relationships are more common that in the behavioral sciences (Dubin, 1978; Torraco, 2000). At this time there are no determinant laws of interaction in the theory of this study.

The two types of laws of interaction employed in this theory, namely, categoric and sequential laws, govern the relationships among the three units of the theory (Dubin, 1978; Toracco, 2000). It must be noted that laws of interaction do not necessarily indicate causality: "a statement of interaction or relationship is not necessarily a statement of causality" (Dubin, 1978, p. 92). Furthermore, Dubin informed us that laws of interaction are never in themselves measured. Only the values of the units in a relationship are measured. The scientific law is therefore tested empirically "if, and only if, values are empirically assigned to the units employed in the law" (p. 94).

Besides being distinguishable by type, laws of interaction can also be differentiated by levels of efficiency. Dubin (1978) identified four general levels of efficiency of a law, namely: "(1) presence-absence (lowest level of efficiency); (2) directionality; (3) covariation; and (4) rate of change (highest level of efficiency)" (p. 109). These levels of efficiency are of a cumulative nature and tend to correspond with the scientific sophistication of a specific scientific discipline. According to Dubin:

> As the sophistication improves in a given scientific discipline [so] the laws of interaction employed in that discipline move to a higher level of efficiency...it should be possible to measure the level of sophistication of

> a given discipline by the efficiency of the laws therein employed. (p. 111)

Dubin further indicated that the lowest and second level of efficiency is often employed in laws of the social and behavioral sciences, and are accepted as indicating scientific precision in these sciences.

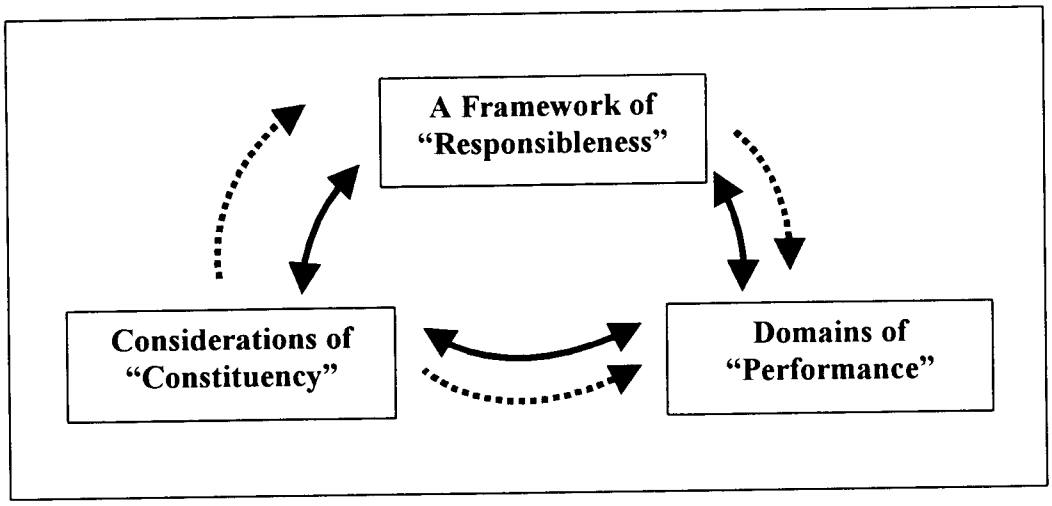
Categoric laws of interaction are always at the lowest level of efficiency indicating a presence-absence relationship among the units of the theory. Sequential laws of interaction, on the other hand, "may achieve any level of efficiency" (Dubin, 1978, p. 111). The laws of interaction of "A Theory of Responsible Leadership for Performance" are at the first two (lower-end) levels of efficiency of a law, namely, presence-absence and directionality.

"A Theory of Responsible Leadership for Performance" has a total of four laws of interaction, two of a categoric and two of a sequential nature. The section following presents and describes these four laws of interaction among the three units of the theory.

Specification of the Laws of Interaction of the Theory

The laws of interaction make explicit the relationship among the three units of "A Theory of Responsible Leadership for Performance," namely: considerations of *constituency*, a framework of *responsibleness*, and domains of *performance*. It is important to note that at this stage of the development of the theory these laws of interaction relate to the relationship among the *units* of the theory, and not to the conceptual dimensions of each unit of the theory. Figure 4.2 indicates the respective multi- and unidirectional nature of the two types of laws of interaction, namely categoric and sequential. Each of the four laws of interactions that govern the relationships among the units of "A Theory of Responsible Leadership for Performance" is presented, by type of law, in the accompanying paragraphs of this section of the study.

Figure 4.2. Responsible Leadership for Performance: A Model of the Interacting Units of the Theory



Key to Figure 2: Categoric type laws of interaction
Sequential type laws of interaction.

The Categoric Laws of Interaction of the Theory

There are two categoric laws of interaction in "A Theory of Responsible Leadership for Performance." The first pertains to the theory as a whole and the second to the symmetrical nature of the relationship among the three units of the theory.

"A Theory of Responsible Leadership for Performance" relies on the presence and interrelationship among three units, namely, considerations of *constituency*, a framework of *responsibleness*, and domains of *performance*. These three units form the essence of the theory and are therefore necessary components of the theory. Because leadership is in service to a performance system, performance of the whole system and therefore in multiple performance domains of the system, is a necessary outcome or result of leadership (Dean & Ripley, 1997; Gardner, 1990; Greenleaf, 1991; Holton, 1999; Holton & Naquin, 2000; Rummler & Brache, 1995). It has become increasingly evident that effect in leadership is no longer sufficient if leadership is to serve the whole performance system in a long term and lasting way. Organizations are not only looking for leadership that is just centered in an individual, or group of individuals, that are likely to be "here to day and gone tomorrow" (White Newman, 1993, p. 3). Organizations are living systems that seek to survive, adapt and endure over the long term and increasingly seek leadership that will contribute to their sustainability (Berry, 1999; Collins & Porras, 1994; DeGeus, 1997; Hamel & Prahalad, 1985, 1989; Mintzberg, 1994; Tichy, 1983; Tichy & Ulrich, 1984; Van der Heijden, 1996; Wheatley, 1994).

As organizations globalize and become more and more a part of the broader social and economic systems in which they operate, so too does the manner in which they operate become important. How organizations interact with members and components of their internal and external environments to produce business results is under growing

scrutiny (Drucker, 1995; Moss Kanter, 1996). Business ethics and the manner in which organizations do business and interact with members of their internal and external environments is increasingly being linked to growth and long term survival of business organizations (Beauchamp & Bowie, 1997; Bennis, Parikh, & Lessem, 1994; Berry, 1991; Gardner, 1990; Covey, 1996; Collins & Porras, 1997; Kouzes & Posner, 1987; Posner & Kouzes, 1996; Solomon, 1999).

Furthermore, the hard learned lessons of ignoring key constituency needs and desired results proliferate the management literature from the late 1980's to today. Considerations of constituency are increasingly being recognized as an instrumental concern of business strategy and operation in all kinds of organizations (Frooman, 1999; Mintzberg, 1994; Hamel & Prahalad, 1985; Tichy, 1993, 1996).

These shifts away from isolated, predominantly short-term focused business actions and results, and the notion of leadership as a function of personal 'attributes x results' (Ulrich, Zenger, & Smallwood, 1999, p. 3), to leadership that is concerned about people *and* performance gives rise to the first categoric law of this theory of Responsible Leadership for Performance.

> Law 1: All three units of the theory, namely; *considerations of constituency*, a *framework of responsibleness*, and *domains of performance*; are associated with and required for responsible leadership for performance.

Further to the above, considerations of *constituency*, a framework of *responsibleness*, and domains of *performance* are not unrelated, isolated components or units of the theory. There are distinct, clear relationships among these units. From the discussions during the development of these three units, it was made clear that each unit of the theory is in relationship with each other unit of the theory. For example, *responsibleness* in leadership was shown to be related to, and therefore in association with, multiple domains of *performance*. Leadership that demonstrates *responsibleness* (that is, effectiveness, ethics and endurance) will more likely attend and aspire to positively impact multiple domains of performance than leadership that does not demonstrate *responsibleness*. Multiple domain performance is crucial to whole system performance. For leadership to attend to whole system performance it must impact and integrate multiple domains of *performance* within the performance system in which it occurs (Rummler & Brache, 1995; Holton, 1999; Holton & Lynham, 2000; Holton & Naquin, 2000; Tichy, 1996; Wimbiscus, 1995).

In the development of the units it was also indicated that *responsibleness* in leadership was associated with considerations of *constituency*. The reciprocity between leadership and followship abounds in leadership literature and underscores the increasingly expressed notion that without followship there is no leadership (Bass, 1985; Beauchamp & Bowie, 1997; Gardner, 1990; Greenleaf, 1991; Posner & Kouzes, 1996; Lippit, 1982; Northouse, 1997; Sankowsky, 1995; Scandura & Schriesheim, 1994). It is the needs and desired results of constituency that shape what makes for *responsibleness*, that is, effectiveness, ethics and endurance, in leadership.

The units of considerations of *constituency* and domains of *performance* are also in relationship with each other. A performance system does not serve its own purpose--it serves the purpose for which it came about, the purpose which gave rise to the need for that performance system (Dubin, 1978; Kauffman, 1980; Senge, 1990; Senge et al., 1994; Von Bertallanfy, 1956). Human populated performance systems do not come about nor do they continue to exist without input from and efforts of human beings (Katz & Kahn, 1978; Likert, 1967). The desired results of constituency, of what is often called stakeholders, are instrumental to informing what makes for required and adequate performance in multiple performance domains of the performance system concerned.

These interrelationships among the three units of the theory, namely: (a) that *responsibleness* in leadership is associated with domains of *performance*, (b) that *responsibleness* in leadership is associated with considerations of *constituency*, and (c) that considerations of *constituency* are associated with domains of *performance*; give rise to the second categoric law of interaction of "A Theory of Responsible Leadership for Performance."

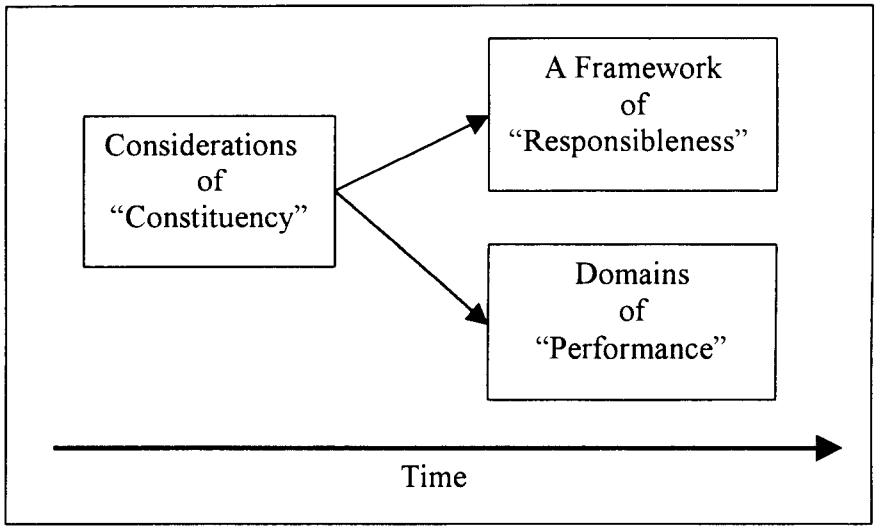
> Law 2: Each unit of the theory, namely; *considerations of constituency*, a *framework of responsibleness*, and *domains of performance*; interrelates with each other unit of the theory.

The essence of this law is indicated by the solid black two-way arrows in Figure 4.3. The two additional laws of interaction of the theory are of a sequential type, and are represented by the broken, one-way arrows in Figure 4.3.

The Sequential Laws of Interaction of the Theory

Sequential laws of interaction are differentiated by a time dimension, indicating a temporal relationship between the units of a theory. The unit, *considerations of constituency*, is a catalyst unit, meaning that its presence is required for interaction between the other two units of "A Theory of Responsible Leadership for Performance." This catalyst role of *constituency* is embedded in the notion that there is no leadership without followship, that is, without constituency, and is quite a common notion in the leadership literature (Bass, 1984, 1990; Block, 1993; Crosby & Bryson, 1992; Gardner, 1990; Greenleaf, 1991; Kouzes & Posner, 1987; Perreault, 1997; Posner & Kouzes, 1996). It is the needs and desired results of constituency that give rise to the need for and nature of leadership, indicating a strong reciprocity between leadership and constituency. Furthermore, the needs of constituency play an important information role in determining what makes for acceptable levels of performance in the performance system, in which they form the stakeholders (Freeman, 1997; Frooman, 1999; Jones & Wicks, 1999). As a result of this necessary presence of *constituency* in leadership, both for determining what makes for *responsibleness* and *performance* in a performance system, the unit of *considerations of constituency* by necessity precedes the other two units of the theory. The temporal relationship between *constituency* and *responsibleness*, and *constituency* and *performance*, can be diagrammatically presented, as shown in Figure 4.3.

Figure 4.3. A Diagram of the First Sequential Relationship among the Three Units of the Theory

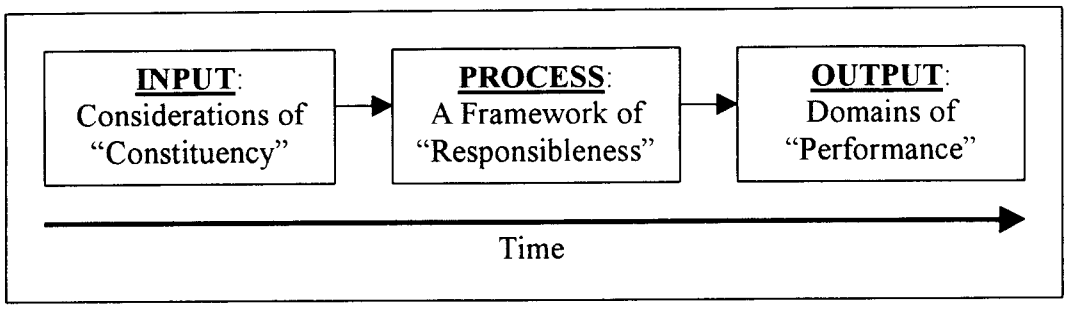


This time-related relationship among the three units gives rise to the third law (and first sequential law) of "A Theory of Responsible Leadership for Performance."

> Law 3: *Considerations of constituency* precede a *framework of responsibleness* and *domains of performance* in "A Theory of Responsible Leadership for Performance."

At the outset of the development of this theory it was suggested that leadership could and should be thought of as a system, that is, as a set of defined, interdependent parts that interact within some defined boundary (Dubin, 1978). An inadequacy in the leadership literature points to a concerning absence of systems theory in the knowledge base of leadership studies and practice. At best leadership is viewed as a process (Bass, 1990; Gardner, 1990; Northouse, 1997; Senge, 1990; Wheatley, 1994). To view leadership as a system of interdependent elements interacting within some defined boundary is sorely missing from the current leadership literature, even though both systems and performance theory are viewed as core to organization and performance systems, the context in which leadership takes place (Holton & Lynham, 2000). "A Theory of Responsible Leadership for Performance" is a systems view of leadership and presents leadership as a set of three interdependent units, interacting within the context and boundaries of a performance system. The systemic relationship among the three units is diagrammatically presented in Figure 4.4.

Figure 4.4. A Diagram of the Second Sequential Relationship Among the Three Units of the Theory.



This systems relationship among the three units gives rise to the second sequential, and fourth overall, law of "A Theory of Responsible Leadership for Performance."

> Law 4: The units of "A Theory of Responsible Leadership for Performance" can be thought of in terms of inputs, process and outputs; where the unit of *considerations of constituency* forms the input, the unit of *a framework of responsibleness* forms the process, and the unit of *domains of performance* forms the output of the theory.

The four laws presented in this section represent the nature of the interrelationship among the three units of the theory. A brief, overview summary of these four laws, together with their respective levels of efficiency, is presented next.

A Summary of the Laws of Interaction

Four laws of interaction have been developed to describe the nature of the relationship among the three units of "A Theory of Responsible Leadership for Performance." The first two of these laws are of a categoric nature, indicating a presence-absence relationship among the units of the theory, and are as follows.

Law 1: All three units of the theory, namely; *considerations of constituency*, a *framework of responsibleness*, and *domains of performance*; are associated with and required for Responsible Leadership for Performance.

Law 2: Each unit of the theory, namely; *considerations of constituency*, a *framework of responsibleness*, and *domains of performance*; interrelates with each other unit of the theory.

Both of these laws of interaction are at the lowest level (presence-absence) of efficiency of a law of a theory.

The third and fourth laws of the theory are of a sequential nature, and introduce a time dimension to the interrelationship among the three units of the theory. These two sequential laws of interaction are as follows.

Law 3: *Considerations of constituency* preceed a *framework of responsibleness* and *domains of performance* in "A Theory of Responsible Leadership for Performance."

Law 4: The units of "A Theory of Responsible Leadership for Performance" can be thought of in terms of inputs, processes and outputs; where the units *considerations of constituency* forms the input, the unit a *framework of responsibleness* forms the process, and the unit *domains of performance* forms the output of the theory.

Both of these laws of interaction are currently at the second lowest, or directionality, level of efficiency of a law of a theory.

In the spirit of simplicity, and therefore parsimony, these four laws of the theory have been deliberately kept at lower levels of efficiency. It is felt that the interrelationship among the three units of the theory must first be tested and verified at the simplest level, both in terms of the category and efficiency of the laws. This decision is entirely up to the researcher-theorist and does not preclude more efficient and complex laws of interaction being established among the units of the theory at a later stage in the refinement of the theory.

Having specified the nature and efficiency of the four laws of interaction governing the three units of "A Theory of Responsible Leadership for Performance," it remains to compare the outcome of this second theory development step to the criterion of excellence identified by Dubin (1978) for this step. This is done briefly in the section following.

Comparison of this Theory Building Research "Laws of Interaction" Step to the Criterion of Excellence

The outcome of developing the *laws of interaction* of a theory can be considered against a single criterion, namely, that of parsimony (Dubin, 1978). As explained in the development of the units of the theory, parsimony relates to the degree to which the theory contains a minimum of complexity and assumptions. Parsimony, as a criterion of theory development, also refers to the complexity of the laws of interaction employed in the theory. The higher the level of efficiency reflected in the laws of interaction; that is, presence-absence, directionality, covariation, or rate of change; the more sophisticated and complex the laws of interaction are considered to be. In this theory of Responsible - Leadership for Performance, the two categoric laws are at the lowest level of efficiency (presence-absence), while the two sequential laws are at the second lowest level of efficiency (directionality).

Besides the efficiency level of the laws of interaction of the theory, the criterion of parsimony also relates to the maximum versus the minimum number of laws required to relate the units of a theory at least once with each other (Dubin, 1978). To this end the key laws of interaction presented in this theory are considered a minimum to make explicit and clear the nature of the interrelationship among the three units of the theory. By restricting the laws of interaction of the theory to currently low levels of efficiency

and minimum numbers the researcher-theorist has attempted to ensure further parsimony in this theory of Responsible Leadership for Performance.

The preceding section concludes the second step in the theory development phase of Dubin's theory building research methodology. The outcome of this section is four laws of interaction, indicated in Figures 4.2, 4.3 and 4.4, which present and describe the interrelationship among the three units of the theory, namely, *considerations of constituency*, a *framework of responsibleness*, and *domains of performance*. The development of the four laws of interaction of the theory enables the researcher-theorist to answer the second theory development question, namely: *What are the laws of interaction of the theory*? Having developed the *units* and the *laws of interaction* of the theory, the next and third step in the theory development phase is to identify and describe the *boundaries* of "A Theory of Responsible Leadership for Performance."

THEORY DEVELOPMENT STEP 3: THE BOUNDARIES OF THE THEORY

The *boundaries* of the theory are established to specify and clarify the domains within which the theory is expected to hold up and apply (Dubin, 1978). It must be remembered that a theory is an attempt by the researcher-theorist to model some theoretical aspect of the real world. As such a theory is limited to that aspect of the real world that it is trying to model. The boundaries of a theory therefore establish those aspects of the real world that the theory is attempting to model and, in so doing, distinguish the theoretical domain of the theory from those aspects of the real world not addressed by the theory.

The determination of the boundaries of a theory requires response to the third of the four theory development questions, namely: *What are the boundaries of the theory*? By addressing this theory development question the researcher-theorist is able to complete step three of Dubin's theory building research methodology and to further partially answer the first research sub-question of this study, namely, *Can "A Theory of Responsible Leadership for Performance" be developed*?

The boundaries of "A Theory of Responsible Leadership for Performance" are presented by way of a three-part structure. First, the theory building research methodology for clarification of the boundaries is *described*. Second, the boundaries of the theory are *determined*. And third, the boundaries of the theory are *compared* with criteria of excellence for this third theory development step.

Description of the Theory Building Research Methodology for Clarifying the Boundaries of the Theory

The *boundaries* of a theory are important as they enable the researcher-theorist to make clear and explicit the limited portions of the world within which the theory is expected to hold (Dubin, 1978). The boundaries of a theory also enable the researcher-theorist to represent the theoretical framework of the theory as an empirical and bounded system (Dubin, 1978).

Dubin distinguished between a "closed" and an "open boundary", advocating the use of an "open boundary" (1978, p. 126) "when there is exchange over the boundary between the domains through which the boundary extends" (Torraco, 1994, p. 162). On the other hand, Dubin advocated a "closed boundary" when "exchange does not take place between the domains through which the boundary extends" (Toracco, 1994, p. 162).

When using a theory-then-research strategy of theory building, as is the case in this study, the boundaries of a theory are determined not by empirical data, but through the use of logic. The boundary of the theory must be chosen, through the logic of the researcher-theorist, to indicate the "domain over which the [theory] operates as a system" (Dubin, 1978, p. 141). The boundary of the theoretical system acts to specify the "the furthest extension over the empirical world that the [theoretical] model is expected to operate" (p. 141). The domain of the theory therefore becomes "that portion of the empirical world included within the boundaries" (p. 141). Dubin indicated that "the domain of a [theory] is always bounded" and that "to determine the domain of a [theoretical] model requires the determination of its boundaries" (1978, p. 141). The boundaries and corresponding domain of "A Theory of Responsible Leadership for Performance" are presented and discussed in the next section of this study.

Determination of the Boundaries of the Theory

To determine the *boundaries* of "A Theory of Responsible Leadership for Performance" requires that the researcher-theorist makes the domain over which the theory is expected to extend explicit. It is also required that the logic of the researcher-theorist behind the process of domain and boundary determination be made explicit. The boundaries, indicating the domain over which "A Theory of Responsible Leadership for Performance" extends, are shown in Figure 4.5 and discussed in the remaining parts of this section.

The first boundary of the theory is defined by two important distinctions. The first distinction is between a legally defined, human populated performance system and all other kinds of performance systems. The second distinction is between the social, political, economic, cultural and technological external environment that includes constituency residing outside of the performance system and the broader external environment of that performance system. This first boundary is a closed boundary and is indicated by the broad, solid line in Figure 4.5. This closed boundary clarifies the domain of the theory and indicates that "A Theory of Responsible Leadership for Performance" is only expected to hold up and apply to performance systems that are legally defined and human populated. All other kinds of performance systems fall outside the realm of this theory. The boundaries, indicating the domain over which "A Theory of Responsible Leadership for Performance" extends, are discussed in the remaining parts of this section and finally presented in a diagram shown in Figure 4.5 at the end of this section.

Leadership is essentially about action and or influence on behalf of specific individuals and or groups of individuals to achieve shared goals and commonly desired

outcomes (Bass, 1990; Drucker, 1997; Gardner, 1990; Frooman, 1999; Northouse, 1997; Ulrich, Zenger & Smallwood, 1999; Jones & Wicks, 1999). As a result, leadership is essentially human action and occurs within human populated performance systems (Helgesen, 1990; Katz & Kahn, 1978; Likert, 1967). Leadership does not occur in isolation to people. Rather, an essence of the phenomenon of leadership is action on behalf of people within performance systems established and populated by people. Leadership occurs within the context of organizations, and organizations are legitimized, human creations of joint co-ordinated action (Likert, 1967; Topp, 1998). "A Theory of Responsible Leadership for Performance" is therefore a theory about leadership in human created and populated performance systems. Responsible Leadership for Performance is not a theory of leadership in performance systems not populated by humans.

Literature on organizational and management theory informs us that there are various kinds of organization, for example, for-profit and non-profit organizations, government and voluntary organizations (Holton, 1999; Milgrom & Roberts, 1992). A legally defined performance system or organization is one that has a formal, recognized purpose and is accountable to constituency for agreed performance outcomes (Beauchamp & Bowie, 1997; Holton, 1999; Milgrom & Roberts, 1992). This legitimate character of organizations lends leadership a multi-fiduciary type relationship with and accountability to the constituency of the organization. "A Theory of Responsible Leadership for Performance" is not a theory of leadership in informal, undefined and casual organizations. Indeed the domain of the theory is confined to legally defined, human populated performance systems or organizations.

The purpose of leadership is driven by the needs and desired outcomes of the *constituency* of a performance system. The constituency of a performance system can, however, reside in the external environment of the performance system. For example stockholders, suppliers, customers and community members usually reside outside the internal environment of the performance system which may serve their needs. As a result, the domain of "A Theory of Responsible Leadership for Performance" must include the immediate external environment in which 'outside constituency' resides and must be cognizant of the social, political, economic, technological and cultural forces at play within this environment (Frooman, 1999; Swanson, 1994; Tichy, 1983). Although the domain of this theory extends to the external environment of the performance system in which Responsible Leadership for Performance occurs, it does not extend beyond this immediate external environment.

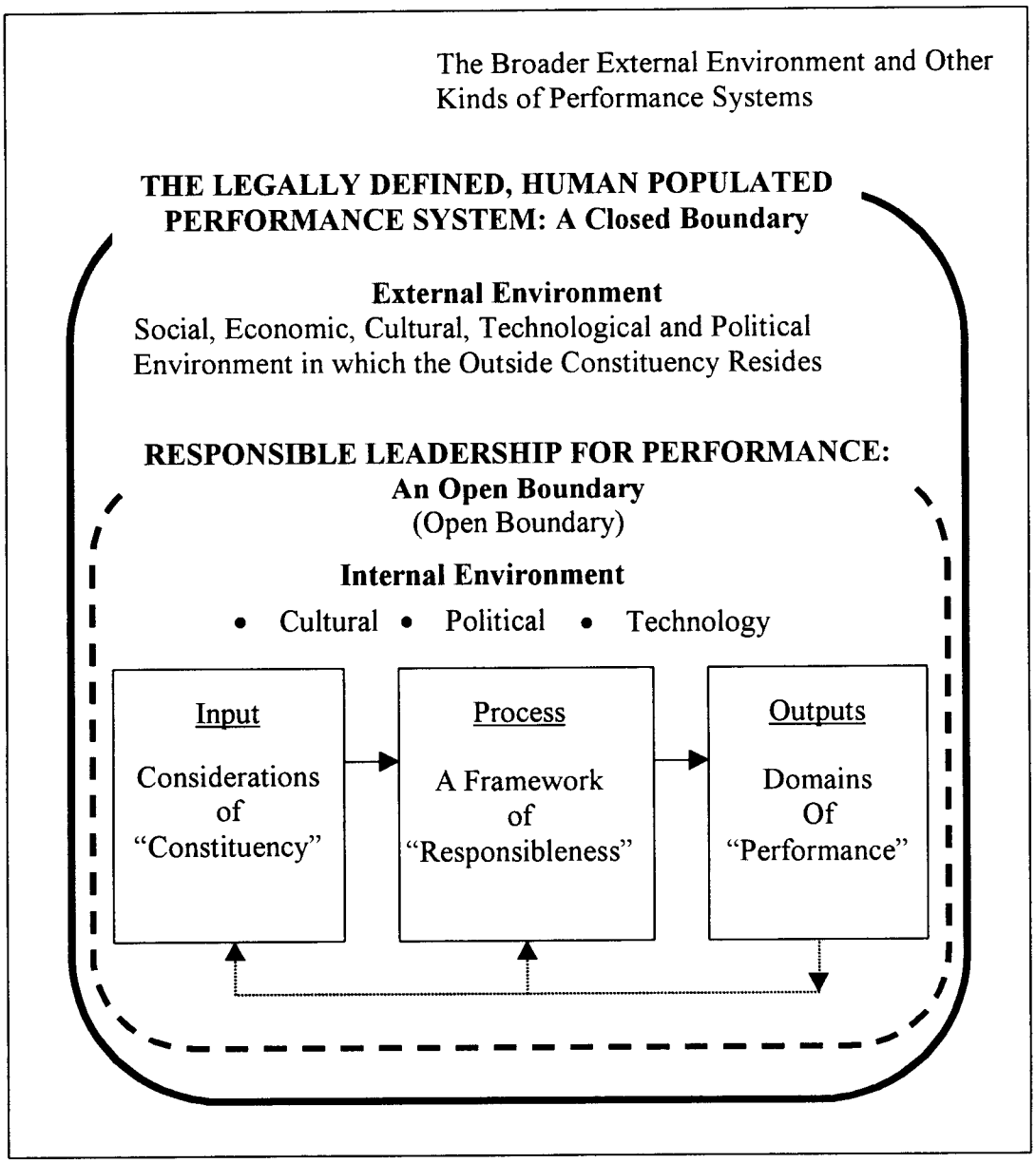
These two distinctions--of a legally defined, human populated performance systems and the social, political, economic, technological, and cultural external environment in which outside constituency resides--separate the domain of the theory from other kinds of performance systems and the broader external environment not addressed by the theory. This domain clarifies the extent of the real world over which the researcher-theorist expects the theory to apply.

The second boundary of the theory exists within the domain of legally defined, human populated performance systems. Responsible Leadership for Performance is a theory of leadership as a focused system of interacting inputs, processes and outputs that occurs within the context of a particular kind of performance system. As a result, the

boundary defining the application of the theory to the domain of Responsible Leadership for Performance must be an open boundary with the domain of a legally defined, human populated performance system (Dubin, 1978). This open boundary allows Responsible Leadership for Performance to be understood as a leadership system-in-focus, that is, as a system of interrelated, interacting inputs, processes and outputs established to influence, serve and act on behalf of constituency of a specific performance system with the purpose of achieving shared goals and commonly desired outcomes.

Dubin (1978) specified the use of an open boundary when there is "some kind of exchange...between the system and its environment" (p. 126). The open boundary is represented by the dotted line in Figure 4.5. The open boundary of the system of Responsible Leadership for Performance coincides with that of the internal-external environment boundary of the performance system in which the leadership occurs. Furthermore, because Responsible Leadership for Performance requires action in and interaction with the immediate external environment of the performance system in which it occurs and which it serves, the boundary of the system must by necessity be an open one, indicating free exchange with the external environment of the performance system.

Figure 4.5. The Boundaries of a Theory of Responsible Leadership for Performance.



In summary, the domain in which the theory is expected to hold is the domain of legally defined, human populated performance systems. The distinction between a legally defined, human populated performance system and all other performance systems separates the domain of the theory from casual and non-human populated performance systems not addressed by the theory. Within the domain of legally defined, human populated performance systems, the theory applies to a particular performance system, enabling leadership to be considered as a leadership system-in-focus.

Comparison of This Theory Building Research "Boundaries" Step to Criteria of Excellence

Two criteria are identified by Dubin (1978) for clarifying the boundaries of a theory, namely: *homogeneity* (including the satisfaction of three specific internal and external boundary-determining requirements) and *generalization*. A brief description of each criterion and of the way in which the researcher-theorist took these into account in determining the boundaries of "A Theory of Responsible Leadership for Performance" is provided.

Homogeneity

The criterion of homogeneity requires that "the units employed in the theory and the laws by which they interact satisfy the same boundary-determining criteria" (Dubin, 1978, p. 127). Dubin further specified that "a theoretical model is said to be bounded when the limiting values on the units comprising the model are known. The limiting values are always determinate" (p. 126). In comparing the output of this third theory development step with the corresponding boundary-determining criteria it is important to first clarify some basic related concepts, namely, boundary criteria, interior boundary-determining criteria, and external boundary-determining criteria.

"The boundary-determining criteria of a [theory]", said Dubin (1978), "apply with equal force to the units employed and the laws of interaction among these units. The units of a (theory) must fit inside the boundaries before the [theory] is complete" (pp. 126-127). Internal boundary-determining criteria are those that are "derived from the characteristics of the units and the laws employed in the (theory)" (p. 128). Dubin specified four possible internal boundary-determining criteria, namely: truth tables of the logician, establishing a "limit of probability on the values taken by the units employed in a theory" (p. 130); "subsetting the property space" (p. 131); and alignment between the relationships specified in the laws of interaction and those included in the domain of the theory. External boundary-determining criteria, on the other hand, "are those imposed from outside the [theory]" (p. 132).

The application of internal and external boundary-determining criteria is related to the theory building strategy employed by the researcher-theorist in developing the theory. In a research-to-theory strategy of theory building, these criteria are determined through empirical research and measurement of the units and laws of interaction employed in the theory. In this type of theory building strategy the empirical data gathered through research are then used by the researcher-theorist to derive the boundaries of the theory (Dubin, 1978; Reynolds, 1971). In a theory-to-research strategy of theory building the researcher-theorist determines the boundaries of the theory logically (Dubin, 1978). A theory-to-research strategy is being used to determine the boundaries of this theory of Responsible Leadership for Performance. Other than the logic of the researcher-theorist, one internal and one external boundary-determining criterion was used to inform the boundaries of the theory, and therefore helped to ensure homogeneity in the theory boundaries, namely: sub-setting the property space and employing an external term to bound the domain of the theory.

Subsetting the Property Space

A sub-setting operation for determining a [theory] boundary is best understood by "remembering that it takes a positive set of criteria to determine the characteristics of a category" (Dubin, 1978, p. 131). As a result, "all other or residual categories may simply be designated by the term *not the criterion*" (p. 131). By designating the closed boundary of "A Theory of Responsible Leadership for Performance" as *a legally defined, human populated system* it is possible to identify and categorize other performance systems as *not* a legally defined, human populated system. In this way performance systems that are not part of the domain of the theory can be identified through application of the theory.

Employing an External Term to Bound the Domain of the Theory

Dubin suggested that "often an exterior criterion is employed to establish the boundary [f the theory] but then plays no further role in the [theory]" (1978, p. 133). Dubin clarified the use of an external boundary-determining criterion by adding that "such a criterion is only for the purpose of determining the boundary" (p. 133). This kind of external boundary-determining criterion serves "to narrow the domain of the [theory] but enters into it in no other way" (p. 134). The use of such criteria act as an affirmation that empirical investigation either did or will extend only up to the boundaries of the theoretical framework being investigated. The employment of the term *a legally defined, human populated performance system* serves the theory of this study in just this way. This term becomes an external term that is employed to distinguish and clarify the real world domain over which the theory does and does not apply. The use of this term as a boundary-determining criterion will also enable the researcher-theorist, during testing and verification of the theory, to identify performance systems that are *not* legally defined and human populated, and that therefore lie outside the real world application and empirical investigation of the theory.

The above two internal and external boundary-determining criteria of subsetting the property in space and employing an external term to bound the domain of the theory are employed to increase the theory development criterion of homogeneity. Therefore the employment of these criteria serves to increase the property of homogeneity in this theory. Furthermore, the boundaries employed in the theory are both determinate and clearly act as limiting values to the units of the theory. In this way the three units of the theory, namely: considerations of *constituency*, a framework of *responsibleness*, and domains of *performance*; are limited to being applied in legally defined, human populated systems. As a result, the relationships among these units can now be understood and studied as a leadership system-in-focus, that is: as an open system of interrelated, interacting inputs (considerations of constituency), processes (a framework of responsibleness) and outputs (domains of performance) established to influence, serve and act on behalf of constituency of a specified performance system with the purpose of achieving shared goals and commonly desired outcomes.

Generalization

The criterion of generalization of a theory relates to domain size of the theory. Thus the bigger the domain the more general the theory (Dubin, 1978). Reducing the number of boundary-determining criteria also serves to enlarge the domain of the theory.

Employing two boundaries in the theory and applying two boundary-determining criteria, has enabled the researcher-theorist to limit the generalization of this theory of leadership. "A Theory of Responsible Leadership for Performance" is not an unlimited, unbounded theory of leadership. At the same time the somewhat broad domain of the theory will later be shown to have implications for understanding and including knowledge from other leadership theories into that of "A Theory of Responsible Leadership for Performance."

This section concludes the third step in the theory development phase of Dubin's theory building research methodology. The outcome is the determination and clarification of the two boundaries, one open and one closed, of the theory, as presented in Figure 4.5. These boundaries make clear and explicit the real world domain over which "A Theory of Responsible Leadership for Performance" is expected to apply and hold up. Clarification of the boundaries of the theory therefore enables the researcher-theorist to answer the third theory development question, namely: *What are the boundaries of the theory?* In the next section, the method and outcomes of the fourth step in the theory development phase will be presented, namely, the system states of "A Theory of Responsible Leadership for Performance."

THEORY DEVELOPMENT STEP 4: THE SYSTEM STATES OF THE THEORY

A *system state* is a condition of the system being modeled in which the units of the theory interact differently. Thus a system state represents a condition under which the theory is operative (Dubin, 1978; Torraco, 1994, 1999, 2000). The conditions under which "A Theory of Responsible Leadership for Performance" is expected to operate are identified and discussed in this section of the study.

Specifying the system states under which the theory of Responsible Leadership for Performance is expected to operate requires response to the fourth theory development question, namely: *What are the system states of the theory*? By responding to this theory development question the researcher-theorist is able to complete step four and the first phase of Dubin's theory building research methodology. Completion of this theory development step also enables the researcher-theorist to answer to the first research sub-question of the study, that is: *Can "A Theory of Responsible Leadership for Performance" be developed*?

The system states of "A Theory of Responsible Leadership for Performance" are presented in three key sections. The first describes the theory building research methodology for identification of the system states of a theory. The second identifies and describes the system states of the theory. And the third, compares the identified system states of the theory to corresponding criteria of excellence for this fourth theory development step.

Description of the Theory Building Research Methodology for Identifying the System States of the Theory

Dubin (1978, 1981) defined a system state as a condition of the system being modeled in which all the units of the system take on characteristic values that have persistence through time, regardless of the length of the time interval. All units of the system have values that are determinant, meaning, they are measurable and distinctive for that state of the system.

A system state that accurately represents a condition of the system of Responsible Leadership for Performance being modeled has three important characteristics, namely: *inclusiveness* ("where that all the units of the system are included in the system state"), *persistence* ("where the system state persists through some meaningful period of time"), and *distinctiveness* ("where all units take on unique values for that system state") (Dubin, 1978; Toracco, 2000, p.54). The sub-section following identifies and describes two system states of the theory of Responsible Leadership for Performance.

Identification of the System States of the Theory

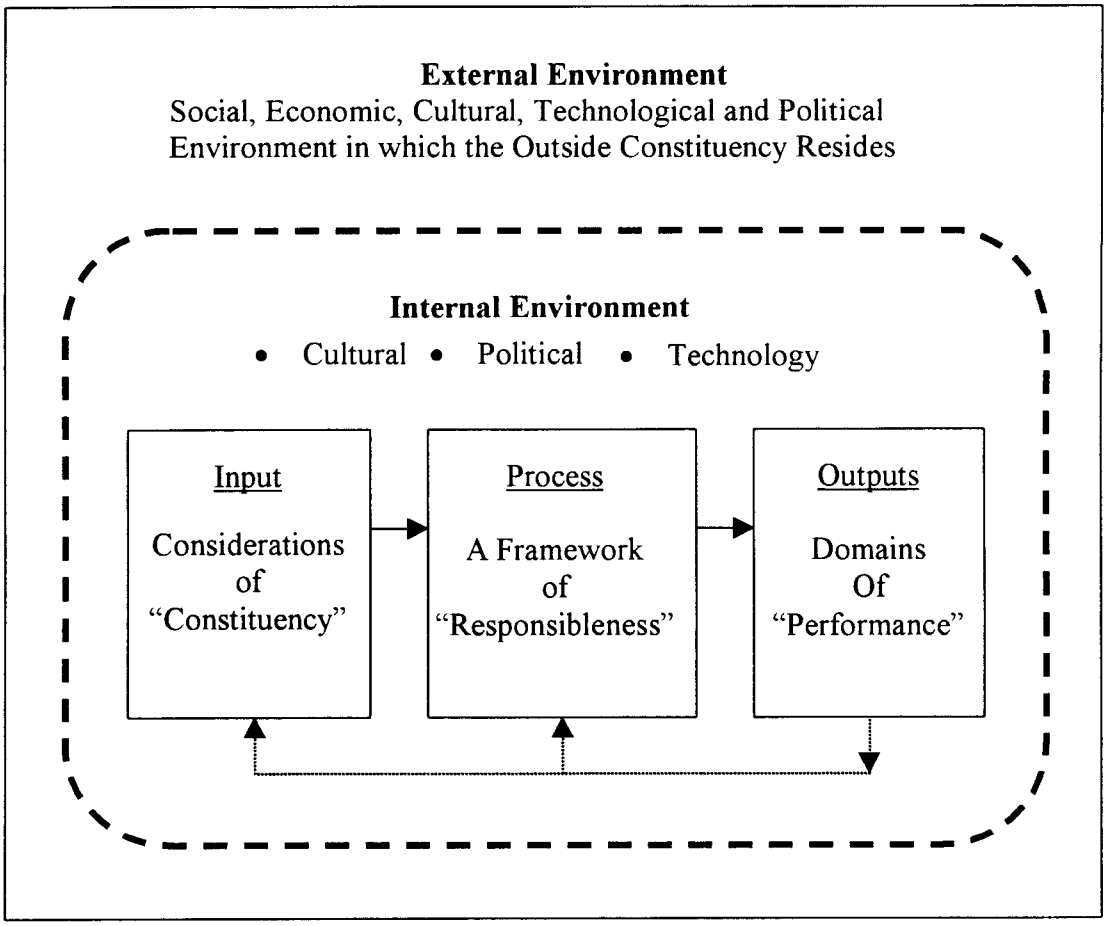
The identification of the system states of the theory of Responsible Leadership for Performance will be presented in three parts. First, a description of the *system* under consideration. Second, the identification of the *two system states* of the theory and a brief description of the characteristic values of the units of the theory in each of the system states. And finally, a brief discussion of *the benefits* of achieving the system state of balance within the System of Responsible Leadership for Performance.

A Description of the System

In order to identify the systems states of "A Theory of Responsible Leadership for Performance" the theory must first be considered as a system. This means that the theory must be perceived as a focused set of units, among which there are relationships, and from which deductions are possible about the behavior of the system (Dubin, 1978).

Dubin offered a description of the relationship among the units of the theory, the theory as a system, and system states of the theory by highlighting three conditions of a system. First, "a system is composed of defined [units] that remain the same throughout the life of the system" (p. 240). Second, "the [units] define the system because their systematic interactions with each other [laws of interaction] make it possible to characterize the states of the system" (p. 240). And finally, "in order for each of the [units] of the system to be able to interact with at least one other [unit], the interactions take place within some defined boundary" (p. 240). A systems perspective of "A Theory of Responsible Leadership for Performance" is presented in Figure 4.6.

Figure 4.6. The System of Responsible Leadership for Performance



The Two System States of the Theory of Responsible Leadership for Performance

Most social science theories have many possible system states (Dubin, 1978; Toracco, 2000). "A Theory of Responsible Leadership for Performance" has two system states. The first is a system state of *balance*. The second is a system state of *unbalance*. The two system states of "A Theory of Responsible Leadership for Performance" are based on two central principles established in the two types of laws of interaction (categoric and sequential) of the theory.

The first principle is informed by the two categoric type laws of interaction of the theory. It is recalled that the first categoric law of the theory stated that all three units of the theory (considerations of *constituency*, a framework of *responsibleness*, and *domains of performance*) are associated with and required for Responsible Leadership for Performance. The second categoric law of the theory stated that each unit of the theory interrelates with each other unit of the theory. The first principle is that in an absence of any one of the units--*considerations of constituency*, *a framework of responsibleness*, and *domains of performance*--and interaction among the three units, the theoretical system of

responsible leadership for performance is destroyed. In other words, if all three units of the theory are present, then there can be Responsible Leadership for Performance, under the condition that these units are in interrelationship with each other.

The second principle is informed by the two sequential type laws of interaction of the theory. The first of these sequential laws of interaction stated that *considerations of constituency* precede *a framework of responsibleness* and *domains of performance* in "A Theory of Responsible Leadership for Performance." The second sequential law stated that the units of the theory can be thought of in terms of inputs, processes and outputs, where the unit *considerations of constituency* forms the inputs, the unit *a framework of responsibleness* forms the process, and the unit *domains of performance* forms the outputs of the theory. Informed by these two sequential laws of interaction, the second principle is that Responsible Leadership for Performance results only when the three units of the theory are arranged in an interacting system of inputs, processes and outputs. When these two principles are both present then it can be said that the system of Responsible Leadership for Performance is operating in a state of *balance*. When either or both of these principles is only partially present then it can be said that the system of Responsible Leadership for Performance is operating in a state of *unbalance*.

As indicated by Dubin (1978), a system state affects the characteristic values of all the units of the theory. Indeed, it is only through knowing the characteristic values of all the units of the theory that the system state can be known. Therefore, in order to recognize and know the system states of *balance* and *unbalance* it is necessary to consider the characteristic values of the units in each of the two system states of the theory.

The Characteristic Values of the Three Units in a System State of Balance

When the system of Responsible Leadership for Performance is operating in a state of *balance* this means that all three units of the theory are included in the system state and that the three units are in a discernable, interdependent and systemic relationship of inputs, processes and outputs. In other words, both principles informing the system state of balance are present and this can be discerned through the values that characterize the three units of the theory.

In a system state of balance, some distinct characteristic values of the unit of *constituency* can be discerned. For example, when the system of Responsible Leadership for Performance is in balance *constituency* is active and included in defining and directing the leadership system-in-focus. This means that all constituents relevant to the performance system in which Responsible Leadership for Performance occurs is identified. It also means that the performance needs and desired outcomes of relevant constituents are identified and used as input to inform and establish what makes for *responsibleness* and acceptable *performance* in the performance system which is being served by the leadership system-in-focus.

Some distinctive and charactersitic values of the unit of *responsibleness* when operating in a system state of balance are as follows. First, all three conceptual dimensions of *responsibleness*, that is, effectiveness, ethics and endurance, will characterize the process of the leadership system-in-focus. Second, what makes for

effective, ethical and enduring leadership in the performance system is identified and used to inform, guide and evaluate the *responsibleness* of the leadership system-in-focus.

The unit of *performance* will also reflect some distinctive and characteristic values in a system state of balance. For example, the desired performance outcomes of the leadership system-in-focus are translated into, implemented, and evaluated in terms of whole system performance impact. This means that the desired and acceptable performance outcomes of the leadership system-in-focus are translated to and expressed in terms of performance outputs in multiple domains of performance in the performance system in which the leadership occurs.

From the two principles that inform the system state of balance, and from a brief look at the characteristic values that the units of the theory take on during a system state of balance, it can be concluded that there is only one state of balance in the theoretical system of Responsible Leadership for Performance. To achieve a system state of balance all three units of the theory must also be in balance. Thus, no component of the three units of the theory can be absent or inactive for the system of Responsible Leadership for Performance to be considered as operating in a system state of balance. When these characteristics are not present then the system of Responsible Leader for Performance is considered to be operating in a system state of unbalance and the three units of the theory will reflect other distinctive values typical of a system state of unbalance.

The Characteristic Values of the Three Units in a System State of Unbalance

When the system of Responsible Leadership for Performance is operating in a system state of unbalance this means that either or both of the two principles required for a system state of balance are only partially satisfied. A system state of unbalance also means that the three units of the theory are not in balance themselves, that is, they are only partially present and,or active in the leadership system-in-focus. Unlike in the system state of balance, where there can only be one state of balance with *all* three units actively operating in a systemic way in the leadership system-in-focus, a system state of unbalance can be reflected in multiple combinations of characteristic values of the units of the theory. Some of the characteristic values of the units of the theory when the system of Responsible Leadership for Performance is operating in a state of unbalance are highlighted and discussed next.

In a system state of unbalance the unit of *constituency* will typically reflect that all relevant constituency are not identified and,or used to define and direct the leadership system-in-focus. This means that all constituency relevant to the performance system (that is, those residing either inside or outside the performance system, who have either high or low impact on the performance system, and who have either high or low authority over the performance system) are neither identified as such, nor used to inform, define or evaluate the leadership system-in-focus. In this state the needs and desired results of all relevant constituency are not considered an important input to the leadership system-in-focus and this unit is not employed in a balanced way in the theoretical system.

In a system state of unbalance the unit of *responsibleness* will also take on some characteristic values. For example, only one or a limited combination of the conceptual dimensions of *responsibleness*, that is, effectiveness, ethics and endurance, is used to identify, guide and evaluate the acceptable process of the leadership system-in-focus. It

is not an uncommon practice in leadership to focus on effective leadership and to neglect the characteristic values of ethical and enduring leadership (Gardner, 1990; Kouzes & Posner, 1987; Covey, 1986).

The unit of *performance* can also be shown to reflect some distinctive and characteristic values when the system of Responsible Leadership for Performance is in a state of unbalance. In a system state of unbalance the unit of performance will typically reflect that the desired outcomes of the leadership system-in-focus are not translated to multiple domain, whole system performance of the performance system in which the leadership occurs. As a result, performance goals and evaluation of the leadership system-in-focus in a system state of unbalance are usually unidimensional, resulting in, at best, partial system or individual performance outputs (Lynham, 1998).

When any one of the three units of the theory--considerations of *constituency*, a framework of *responsibleness*, and domains of *performance*--are themselves out of balance; that is, they are not considered and employed in their entirety and as an interacting system of leadership; then the whole system of Responsible Leadership for Performance will be operating in a state of unbalance. Similarly, when any one of the two principles informing the system state of balance is operating only partially, then the system of Responsible Leadership for Performance will be operating in a system state of unbalance.

As long as the two principles informing the system states of the theory are at least partially upheld the system of Responsible Leadership for Performance can be said to be operating in a system state of unbalance. However, in the event that one or both of these principles is totally absent from the operating system of Responsible Leadership for Performance and is reflected in the characteristic values of the units of the theory, then the system of Responsible Leadership for Performance can be expected to collapse. These conditions will then become lethal to the system of Responsible Leadership for Performance (Dubin, 1978). It is therefore assumed, in "A Theory of Responsible Leadership for Performance," that there are benefits from achieving a system state of balance. A brief discussion of some of these benefits follows.

The Benefits of Achieving Balance in the System of Responsible Leadership for Performance

An important goal in the development of the theory of this study is the development and validation of a theory of leadership that attends to the nature and challenges of leadership that is about both people *and* performance. It is contended that several benefits accrue from pursuing and achieving a balanced system state of Responsible Leadership for Performance. The first and immediate benefit is that leadership can be employed as a leadership system-in-focus whose purpose and output is to serve the performance needs and goals of the whole performance system which gave rise to the need for leadership. Furthermore, in a system state of balance, Responsible Leadership for Performance is clearly in service to the performance system and its constituents and can therefore be framed and evaluated as a means to an end rather than as an end in itself. In addition, in a system state of balance, Responsible Leadership for Performance can be understood and implemented as an interacting, interdependent

system of inputs (in the form of three considerations of *constituency*), process (in the form of a framework of three components of *responsibleness*, and outputs (in the form of achieving performance targets in at least four domains of *performance*). Viewing leadership as a system-in-focus makes it possible to study and understand leadership as a constant, interacting flow of inputs, processes and outputs that are initiated by the needs and performance goals of the performance system that is itself in service to the needs and desired outcomes of its constituency, as represented in Figure 4.6.

Comparison of This Theory Building Research "System States" Step to Criteria of Excellence

Dubin (1978) identified three criteria of importance to the researcher-theorist when identifying the system states of the theory, namely: (1) inclusiveness, (2) persistence, and (3) distinctiveness. The criterion of inclusiveness refers to the need for all the units of the system to be included in the system state of the theory (Dubin, 1978; Toracco, 1994, 2000). The criterion of persistence requires that the system state persists through a meaningful period of time (Dubin, 1978; Toracco, 1994, 2000). And the criterion of distinctiveness requires that all units take on determinant, that is, measurable and distinctive, values for the system state (Dubin, 1978; Toracco, 1994, 2000). The system states identified and described in "A Theory of Responsible Leadership for Performance" (balance and unbalance) appear to demonstrate these three required features of a system state. First, all three units of the theory--considerations of *constituency*, a framework of *responsibleness*, and domains of *performance*--are all included in the discussion of the state of balance of the system of Responsible Leadership for Performance (inclusiveness of a system state). Second, each system state exists in a time period long enough to make an assessment of the state of balance among the units of the theory (persistence of a system state). Thus the relationship among the units of the theory can be expected to persist for long enough to determine whether the characteristic values of the units reflect a system state of balance or unbalance. And third, for each state of the system of Responsible Leadership for Performance (balance and unbalance) the units of the theory take on distinctive characteristic values as described in the preceding discussion (distinctiveness of a system state).

The discussion of this section concludes the fourth step in the theory development phase of Dubin's theory building research methodology. The outcomes of this section are two identified system states of the theory (balance and unbalance) and answers the theory development question: *What are the system states of the theory*? The conclusion of this fourth theory development step also enables the researcher-theorist to conclude the first phase of theory development and to so answer the first research sub-question of this study, namely: *Can "A Theory of Responsible Leadership for Performance" be developed*? The section following presents concluding responses to this first research sub-question as well as an integration of the outcomes of the theory development research steps into an informed, theoretical framework of "A Theory of Responsible Leadership for Performance."

CONCLUSION TO THE THEORY DEVELOPMENT PHASE OF THE THEORY

At the outset of this chapter of the study four steps were identified as necessary for the development of "A Theory of Responsible Leadership for Performance," namely: (1) a description of the *units* of the theory, (2) specification of the *laws of interaction* of the theory, (3) determination of the *boundaries* of the theory, and (4) identification of the *system states* of the theory. The conclusion of each of these four steps allowed the researcher-theorist to answer the following four corresponding theory development questions:

(1) What are the *units* of "A Theory of Responsible Leadership for Performance"?
(2) What are the *laws of interaction* of "A Theory of Responsible Leadership for Performance"?
(3) What are the *boundaries* of "A Theory of Responsible Leadership for Performance"?, and
(4) What are the *system states* of "A Theory of Responsible Leadership for Performance"?

In answering the first of these four theory development questions three units and their conceptual dimensions were described for the theory. The first unit identified was *considerations of constituency* with three conceptual dimensions being identified as integral to this unit. These were: whether the constituency resides inside or outside the performance system in which the leadership occurred, whether the constituency has high or low authority over the performance system concerned, and whether the constituency has high or low potential impact over that performance system. The second identified unit of the theory was *a framework of responsibleness*, consisting of three conceptual dimensions, namely: effectiveness, ethics and endurance. And the third unit identified in the theory was *domains of performance*. The four conceptual dimensions of this third unit of the theory included systems mission, work processes, social sub-systems, and the individual performer. The rationale and theoretical support for each of these units and their conceptual dimensions is presented in detail in the section titled "*Theory Development Step 1: The Units of the Theory*" of this chapter. The three units were also shown to satisfy the five criteria for identification of the units of a theory, namely, rigor and exactness, parsimony, completeness, logical consistency, and degree of conformity to the limitations on employment and combination of the units.

In answering the second theory development question four laws of interaction were specified for "A Theory of Responsible Leadership for Performance," two of a categoric (associative) nature and two of a sequential (temporal) nature. The first two and categoric (associative) laws of interaction are as follows. Law 1: All three units of the theory, namely; *considerations of constituency*, *a framework of responsibleness*, and *domains of performance*; are associated with and required for Responsible Leadership for Performance. And, Law 2: Each unit of the theory, namely: *considerations of constituency*, *a framework of responsibleness*, and *domains of performance*; interrelate with each other unit of the theory. These two associative laws give rise to the first

principle that informs the system states of the theory, namely, that in the absence of any one of the three units and interaction among the units, the theoretical system of Responsible Leadership for Performance is either unbalance or destroyed. Law 3, the first sequential (temporal) law of interaction of the theory, states that: *Considerations of constituency* precede *a framework of responsibleness* and *domains of performance* in A Theory of Responsible Leadership for Performance. And, Law 4, the second sequential law of the theory specifies that: The units of "A Theory of Responsible Leadership for Performance" can be thought of in terms of inputs, process and outputs; where the unit of a *considerations of constituency* forms the input, the unit *a framework of responsibleness* forms the process, and the unit *domains of performance* forms the output of the theory. These two temporal laws give rise to the second principle that informs the system states of the theory, namely, that Responsible Leadership for Performance results only when the three units of the theory are arranged in an interacting system of inputs, processes and outputs. The logic behind the four laws of interaction of "A Theory of Responsible Leadership for Performance" is presented in detail in the section titled "*Theory Development Step 2: The Laws of Interaction of the Theory*". The four laws of interaction were also shown to satisfy the criterion of parsimony required in the specification of the laws of a theory.

In responding to the third theory development question two boundaries, one closed and one open, were determined and clarified. The first boundary, a closed boundary, determined the overall domain over which "A Theory of Responsible Leadership for Performance" is expected to hold up. This boundary was shown to have two distinctions. First, that of a legally defined, human populated performance system, and second, the social, political, technical, economic, technological and cultural external environment in which the *outside* constituency of the performance system resides. These two boundary determining features--of a legally defined, human populated performance system, and the social, political, economic, technological and cultural external environment in which outside constituency resides--were shown to separate the domain of the theory from other kinds of performance systems and the broader external environment not addressed by the theory. The second boundary, an open boundary, determined in the development of the theory was shown to exist within the domain of all legally defined, human populated performance systems. This second boundary, called Responsible Leadership for Performance, allowed leadership for performance to be understood as a leadership system-in-focus and corresponded with the internal-external boundary of the performance system in which the leadership occurred. The clarifying logic behind these two boundaries of the theory are presented in detail in the chapter section titled "*Theory Development Step 3: The Boundaries of the Theory*", and are also visually presented in Figure 4.5 in this section of the chapter. The two boundaries presented in "A Theory of Responsible Leadership for Performance" were also shown to satisfy the two criteria for determining the boundaries of a theory, namely, homogeneity and generalization.

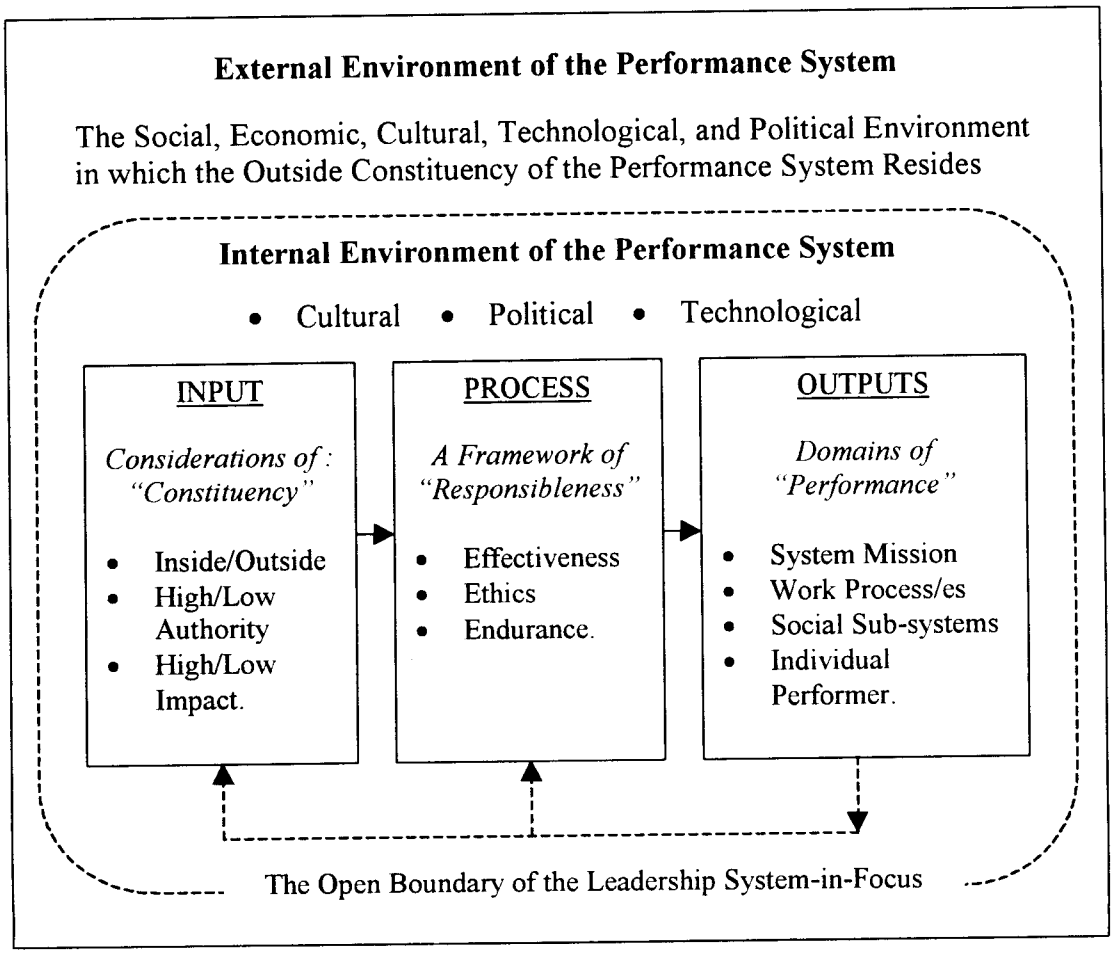
Finally, to address the fourth and last theory development question, two system states were identified for "A Theory of Responsible Leadership for Performance," namely, that of *balance* and *unbalance*. In order to identify these system states the

system being focused on in the theory was first shown to be that of Responsible Leadership for Performance (see Figure 4.6). Some characteristic values of each of the three units of the theory in each of the two system states of Responsible Leadership for Performance were identified and shown to satisfy the three criteria of inclusiveness, persistence and distinctiveness required for the identification of the system states of a theory. The logic behind the two system states of the theory is presented in detail in the section of this chapter titled "*Theory development Step 4: The System States of the Theory*".

CONCLUSION

An important outcome of the theory development phase of Dubin's 8-step theory building research methodology is an informed, conceptual or theoretical framework of the theory. The theoretical framework of "A Theory of Responsible Leadership for Performance" is presented in Figure 4.7.

Figure 4.7. The Theoretical Framework of "A Theory of Responsible Leadership for Performance"



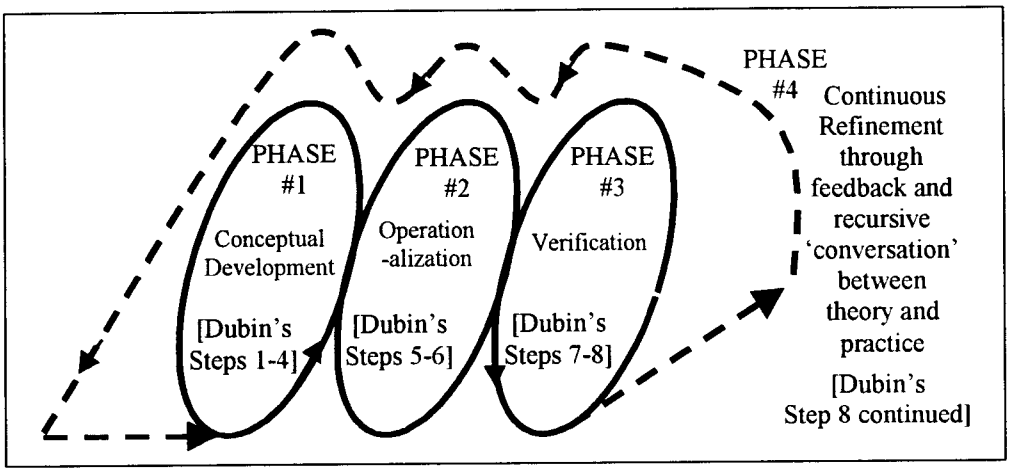
At this stage of the study the four theory development questions have been addressed by describing the three units, specifying the four laws of interaction, determining the two boundaries, and identifying the two system states of "A Theory of Responsible Leadership for Performance." Answering the four theory development questions has also enabled the researcher-theorist to develop and present an informed conceptual and theoretical framework of "A Theory of Responsible Leadership for Performance." As a result, it can be concluded that, by applying the first four steps of Dubin's (1978) theory building research methodology, the first research sub-question of the study, namely; *Can "A Theory of Responsible Leadership for Performance" be developed*?; can be answered in the affirmative.

This concludes the first phase of theory building, that is, that of theory development. The next phase and second phase of theory building is that of operationalization of the theory and will be achieved by completing steps 5 and 6 of Dubin's 8-step theory building research methodology. The third and fourth phases of theory building involve verification and ongoing refinement of the theory. These last two phases are addressed by highlighting the critical next steps required for improvement and adequate proof of the theory. Attending to phases two, three and four of the theory building process is the task of the next and fifth chapter of this study.

CHAPTER FIVE
THEORY BUILDING PHASES TWO, THREE AND FOUR
THE OPERATIONALIZATION, VERIFICATION AND REFINEMENT OF THE THEORY

In Chapter Three of this study Dubin's theory building research methodology was represented as four phases of theory building (see Figure 5.1 below). Chapter Four attended to Phase One of this theory building research methodology, namely, the *development* of "A Theory of Responsible Leadership for Performance". This chapter considers Phase Two--*operationalization* of the theory--and Phases Three and Four--future *verification and refinement* of the theory. Consideration of Phases Two, Three and Four of the theory building process enables the researcher-theorist to begin to address the second research sub-question of this study, namely: *Can "A Theory of Responsible Leadership for Performance" be validated*?

Figure 5.1. The Theory Building Research Methodology as Four Phases of Theory Building



It is the purpose of this chapter to begin to consider whether "A Theory of Responsible Leadership for Performance" can be validated. To this end this chapter is presented in two parts. The first part considers Phase Two, operationalization of the theory building process and completes step five (specifying the propositions of the theory) and partially completes step six (identifying empirical indicators for the theory) of Dubin's theory building research methodology. The second part considers Phases Three and Four of the theory building process. Phases Three and Four correspond with step seven (hypotheses creation) and step eight (testing) of Dubin's theory building research methodology (see Figure 5.1). Although completion of steps seven and eight are beyond the scope of this study, this second part of the chapter presents some of the key issues that must be addressed for verification and ongoing refinement of "A Theory of Responsible Leadership for Performance."

THEORY BUILDING PHASE TWO: OPERATIONALIZATION OF THE THEORY

Having developed "A Theory of Responsible Leadership for Performance" the next and second phase of the theory building process is to operationalize the theory. Operationalization of a theory requires the researcher-theorist to complete steps five and six of Dubin's theory building research methodology (see Figure 5.1) by answering two key theory operationalization questions, namely: *What are the propositions of the theory*? and, *What are the empirical indicators of the theory*? By answering these two theory operationalization questions, the second research sub-question of this study can be addressed, namely: *Can "A Theory of Responsible Leadership for Performance" be validated*? Each of the two steps in the operationalization of the theory, namely, propostion specification and empirical indicator identification, is presented in the sub-sections following.

Theory Operationalization Step 5: Specifying the Propositions of the Theory

Propositions are, according to Dubin (1978), "truth statements about the theory" (p. 160) and are concerned with "the ways in which a theoretical model are put to use" (p. 159). The propositions of a theory are considered true by virtue of being statements that are logically derived from the theory itself (Dubin, 1978; Torraco, 2000). Because propositions can be subjected to empirical testing they, in turn, enable the theory to be subjected to empirical testing (Torraco, 2000). The identification of propositions is therefore a first and necessary step in operationalizing the theory, or in getting the theory ready to be put to use. Propositions enable the researcher-theorist to begin to make predictions from the theoretical model about the values of the units of the theoretical model in the real world.

The specification of the propositions of "A Theory of Responsible Leadership for Performance" consists of three parts. First, a description of the theory building research methodology for specifying the propositions of a theory. Second, the specification of the propositions of the theory. And finally, a comparison of the outcomes of this fifth theory building step with the quality criteria for this step.

Description of the Theory Building Research Methodology for Specifying the Propositions of the Theory

It is important to note, when considering propositions of a theoretical model, that these truth statements "are not necessarily truth statements about aspects of the real world that the theory represents" (Torraco, 1994, p. 166). Indeed, "to address the problem of matching the theory with the real world the theory is intended to model, it is necessary to convert the proposition statements into hypotheses, and then to test the hypotheses through research" (Toracco, 1994, p. 166). The issue of the conversion of the propositions of the theory to hypotheses is dealt with in Phase Three of the theory building process and is presented in the second main section of this chapter.

Dubin (1978) suggested that the propositions of a theory are "constructed logically and intellectually by the theorist" (p. 164). According to Dubin this logic and intellectual nature of propositions makes proposition statements "synthetic", meaning that "these are statements that follow as true from the [theoretical] model about which they are made" (p. 164). Furthermore, he indicated that "this synthetic quality of propositions makes clear that we are not talking at this point about the empirical accuracy of the proposition statements" (p. 164). According to Dubin and Toracco (1994), proposition statements of a theory must be considered true if they are logically derived from a theoretical system of specified units, laws of interaction, boundaries and system states. Dubin emphasized this internal truth to proposition statements further: "The sole test of the accuracy of a proposition is whether or not it follows logically from the [theoretical] model to which it applies" (p. 164).

Dubin (1978) highlighted three types of proposition statements. The first type may be made "about the values of a single unit of the [theoretical] model, the value of that unit being revealed in relation to the value of the other units connected to the unit in question by a law of interaction" (p. 166). The second type of propositions "may be predictions about the continuity of a system state that in turn involves a prediction about the conjoined values of all units in the system" (p. 166). And the third type may involve "predictions about the oscillation of the system from one state to another...and involves predictions about the values of all units of the system as they pass over the boundary of one system state into another" (p. 166). According to Dubin these three types of predictions "exhaust the logical possibilities" of the predictions and represent the "full range of truth statements" (p. 166) that can be logically derived from the theoretical model about the theory in action.

"A proposition of a theoretical model is, therefore, a truth statement about the [theoretical] model in operation" (Dubin, 1978, p. 163). Typically proposition statements take the form of "If...then" (p. 164). Cohen (1991) referred to propositions as the knowledge claims of the theory in action. Because propositions are truth statements about the theory in use, it can be safely assumed that propositions can be made from any theoretical model "that has had its units, laws of interaction, boundaries and system states specified" (Torraco, 1994, p. 166). The logic of these propositions is informed by the logic of the theoretical model of the theory. A number of propositions can be specified for "A Theory of Responsible Leadership for Performance."

Specification of the Propositions of the Theory

The following proposition statements are logically derived from "A Theory of Responsible Leadership for Performance:"

1. Responsible Leadership for Performance is a theory of leadership as a system-in-focus. Leadership is a purposeful, focused system not an individual or a process managed by an individual.
2. All systems have a purpose. The purpose of Responsible Leadership for Performance is to serve the needs and desired outcomes of the *constituency* of a performance system by positively impacting multiple domains of *performance* in a *responsible* (effective, ethical and enduring) manner.

3. The content of Responsible Leadership for Performance is derived from all three units of the theory--considerations of *constituency*, a framework of *responsibleness*, and domains of *performance*. If all three units are not present and interacting, then there is not Responsible Leadership for Performance.
4. For leadership to be considered *responsible* it must demonstrate, and be judged to demonstrate, effectiveness, ethics and endurance. If one of these three attribute properties is missing from leadership, then that leadership is not responsible.
5. The units of the theory--*considerations of constituency*, a *framework of responsibleness*, and *domains of performance*--are interdependent. If there is change in one unit then it can be expected that there will be changes in the other two units.
6. As *responsibleness* (effectiveness, ethics and endurance) increases, performance of the whole performance system can be expected to increase.
7. *Constituency* is a necessary requirement for leadership. Without constituency there is no leadership.
8. Without guiding inputs from *constituency*, and outputs in the form of *performance*, the phenomenon of leadership collapses.

Comparison of this Theory Building Research "Propositions" Step to the Criteria of Excellence

Dubin (1978) indicated that in specifying propositions for a theory there are three criteria for consideration by the researcher-theorist. The first is that of consistency. The second is that of accuracy. And the third, that of parsimony.

Consistency

The criterion of consistency in specifying the propositions of a theory refers to the notion that the truth of the propositions "be established by reference to only one system of logic for all the propositions set forth in the (theoretical) model" (p. 160). In order to meet this criterion in "A Theory of Responsible Leadership for Performance," the logic of a systems framework was used to guide the specification of the propositions. A system has specific characteristics, namely, a name, a purpose, parts, interactions among the parts, and outcomes or outputs (Dubin, 1978; Senge, 1990; Swanson, 1994; Von Bertalanffy, 1968). Each of the propositions of this theory is associated with one or more of these system characteristics to ensure consistency in the propositions specified for the theory.

Accuracy

The criterion of accuracy refers to whether the propositions follow logically from the theoretical model to which it applies. Each of the propositions specified for "A Theory of Responsible Leadership for Performance" is informed by and follows from the specified system of units, laws of interaction, boundaries and system states that make up the theoretical framework of the theory. The logic of these components of the theoretical model of Responsible Leadership for Performance is maintained in the logic of the specified propositions of the theory.

Parsimony

The criterion of parsimony, when considered in relation to the specification of the propositions of a theory, refers to the use of what Dubin (1978) calls "strategic propositions" (p. 166). Dubin pointed out that "in principle, every (theoretical model) should give rise to an infinite number of propositions" (p. 166). However, it is not the job, in the specification of the propositions of a theory, to identify all possible propositions for that theory. It is, according to Dubin, more important to seek some parsimony in the specification of propositions. This is achieved by reducing the large number of possible propositions to a handful "that satisfies our sense of what is important to test in determining whether or not the theory accurately models the empirical domain it purports to represent" (p. 167). 53 potential propositions were initially specified from the theoretical model of Responsible Leadership for Performance. Through application of the framework of system characteristics indicated in the above criterion of consistency, these propositions were then sorted and reduced to the eight specified in the preceding section. It was felt by the researcher-theorist that these eight propositions were of a strategic (rather than a trivial) nature in terms of future testing of the theory. The eight propositions specified cover the first two types of proposition statements identified by Dubin, namely, the value of units of the theory in relation to other units and connected by the laws of interaction, and predictions about the conjoined values of all the units in the theory.

Having specified eight propositions for "A Theory of Responsible Leadership for Performance" the second step required in the operationalization of the theory is to identify the empirical indicators of the theory. The method and outcome of this sixth theory building step is presented next.

Theory Operationalization Step 6: Identification of the Empirical Indicators of the Theory

In this sixth step of the theory building research methodology, the researcher-theorist is essentially concerned with "finding the empirical indicators that produce the values on the units employed in the (theoretical) model" (Dubin, 1978, p. 181). Completing this next step enables the researcher-theorist to answer the theory operationalizing question: *What are the empirical indicators of the theory?*

The identification of the empirical indicators of the theory will be presented in three parts. First, the theory building research methodology for this step is described. Second, a select number of empirical indicators of the theory are identified. And third, the outcomes of this sixth theory building step are compared with the quality criteria for this step.

Description of the Theory Building Research Methodology for Identifying the Empirical Indicators of the Theory

An empirical indicator is, according to Dubin, "an operation employed by the researcher-[theorist] to secure measurements of values on a unit" (1978, p. 182). "In order that a unit be measured to indicate a value on it, the thing itself must be

apprehended by an empirical indicator" (p. 181) Identification of empirical indicators therefore involves a process of measurement of the unit concerned. This process of measurement contains two parts, namely, "both the *operation* of measuring [must be duplicable by others] and the *results or value produced* [must produce equivalent values when measured by others] by this operation" (p. 182). Empirical indicators must therefore satisfy the two principle criteria of what Dubin calls "operationism" (p. 183) and "reliability" (p. 185).

Further to these two parts, Dubin (1978) also identified two classes of empirical indicators. The first is the class of "absolute indicators", which refer to indicators that "have no question as to what they measure" (p. 193). An example of an absolute empirical indicator in the social sciences would be race, sex or age. The second class refers to "relative indicators" (p. 195). "The primary characteristic of a relative indicator is that it may be employed as an empirical indicator of several different theoretical units" (p. 195). An example offered by Dubin of a relative empirical indicator is that of income, which can be employed as a measure of both economic position and social-class position.

The types of units used in a theory affect the empirical indicators identified. The theory of Responsible Leadership for Performance uses three types of units, namely, enumerative (*considerations of constituency*), associative (*domains of performance*) and relational (a *framework of responsibleness*) units. It will be recalled that an enumerative unit, like that of *considerations of constituency*, "is a characteristic of a thing in all its conditions" (Dubin, 1978, p. 186). "This definition suggests that any empirical indicator used to establish the value of an enumerative unit has to generate non-zero values for that unit in whatever conditions the unit is found" (p. 186). Thus the indicator used for an enumerative unit in a theory may never produce a zero value. In "A Theory of Responsible Leadership for Performance" it is clear that without *constituency* there can be no leadership. An associative unit may be understood as "a property characteristic of a unit in only some of its conditions" (p. 187). The difference between an enumerative and an associative unit is that an associative unit, like that of *domains of performance*, must have a real zero value. In "A Theory of Responsible Leadership for Performance," the unit of *domains of performance* can show a zero value of performance output, meaning that leadership has had no impact on performance in the performance system concerned. Indeed this associative unit of the theory may be indexed by a continuum of negative, zero and positive values.

The third type of unit employed in this theory is that of a relational unit, which "is a property characteristic of a thing that can be determined only by the relation among the properties of the thing" (Dubin, 1978, p. 188). The unit of *responsibleness* in "A Theory of Responsible Leadership for Performance" is of a relational type. Responsible leadership only exists due to the functional relationship between effectiveness, ethics and endurance. As indicated in one of the propositions of the theory, unless leadership demonstrates effectiveness, ethics *and* endurance that leadership cannot be considered responsible. A zero value in any one of these three property characteristics will render the value of responsible leadership zero, or not responsible.

The above requirements for the three types of units (enumerative, associative and relational) employed in "A Theory of Responsible Leadership for Performance" are

accounted for and reflected in the empirical indicators selected for the theory. The empirical indicators identified for the theory are highlighted below.

Identification of the Key Empirical Indicators of the Theory

From the descriptions of specifying propositions and identifying empirical indicators for a theory it is evident that an attempt must be made to identify an empirical indicator for the unit-related variables employed in the strategic propositions of "A Theory of Responsible Leadership for Performance." The identification of empirical indicators is left to the choice of the researcher-theorist who may chose empirical indicators thought most necessary to test the operation of the theory in the real world (Dubin, 1978). According to Dubin "the normal manner of indicating an empirical indicator takes the standard form of 'The value of unit X as measured by ....' " (p. 185). It must also be noted that "there may be several or even many empirical indicators for the same unit" (p. 185).

Empirical indicators for the value of the units of the theory, as they occur in some of the specified propositions of the theory, are presented by employing this normal expression of an empirical indicator suggested by Dubin. In this way eight key propositions are specified some of the selected propositions of "A Theory of Responsible Leadership for Performance." Each proposition contains a unit or units of the theory.

The first proposition selected for the identification of empirical indicators is that:

> As *responsibleness* (effectiveness, ethics and endurance) increases, *performance* of the whole performance system can be expected to increase.

Two units are employed in this proposition statement, namely, *responsibleness* and *performance*. Due to the type of the two units employed in this proposition statement (*responsibleness*--relational; *performance*--associative) a number of empirical indicators are required to relate to the value of the unit of *responsibleness* and to the value of the unit of *performance*. The empirical indicators for this proposition statement are therefore stated in two parts.

Empirical Indicators for the unit of *Responsibleness*:	Part One: The value of *responsibleness* increases as measured by effectiveness, ethics and endurance, where... • *effectiveness* is measured by constituency perception of effective leadership practices (White Newman, 1993) • *ethics* is measured by constituency perception of ethical leadership habits (Posner & Kouzes, 1996; White Newman, 1993), and • *endurance* is measured by constituency perception of the employment of enduring resources (White Newman, 1993; Collins & Porras, 1994).

Empirical Indicators for the unit of *Performance*:	Part Two: The value of whole system *performance* increases as measured by mission-related, work process, social sub-system, and individual units of performance in terms of time, quality, quantity and alignment (Gibson, Ivancevich & Donnelly, 1994; Holton, 1999; Rummler & Brache, 1995; Swanson, 1996; Swanson & Holton, 1999).

It must be noted that in part two of the above empirical indicator that the term *units of performance* refers to unitary measures of performance and not units of the theory. In identifying the empirical indicators for the above selected proposition statement, empirical indicators have been made available for two of the three units of the theory, namely, *responsibleness* and *performance*. These empirical indicators can be used to measure the value of these two units of the theory in other specified propositions of the theory employing these two units.

Empirical indicators also need to be determined for the theory unit of *constituency*. A proposition statement containing this can be used for this purpose, namely:

> Constituency is a necessary requirement for leadership. Without constituency there is no leadership.

It will be recalled that the value of the unit of *constituency* varies in terms of its active participation in the formulation and judgement of the leadership system-in-focus. It was also indicated that this unit cannot have a zero value (due to its enumerative nature). The empirical indicator for this unit can be stated as indicated below.

Empirical Indicators for the unit of *Constituency*:	The level of participation of the *constituency* as measured by the channels (formal and informal) through which constituency needs are used as inputs to and evaluation of the leadership system-in-focus (Beauchamp & Bowie, 1997; Frooman, 1999; Kelley, 1992; Bennis, Parikh and Lessem, 1994; Ulrich, Zenger and Smallwood, 1999).

In the context of the above, measures of employee participation and work satisfaction in the form of interviews, observations and surveys can be used, for example, to determine the degree of engagement of the employee constituency in the leadership of the performance system.

A further proposition specified for "A Theory of Responsible Leadership for Performance" relates to the perception of leadership as a purposeful system-in-focus, namely:

Leadership is a purposeful, focused system not an individual or a process managed by an individual.

All three units of the theory are implicit in this proposition statement. The dominance of the view of leadership as a focused system of interacting inputs from *constituency*, a process of effective leadership practices, ethical leadership habits and integration of enduring resources (*responsibleness*), and the achievement of multiple domain *performance* targets can be measured by establishing the shared mental model of leadership in the performance system concerned. The empirical indicator of this proposition can therefore be stated as follows:

Empirical Indicators for the leadership *system-in-focus*:	The value of leadership as a system-in-focus as measured by the shared mental model of what makes for good leadership in the performance system, established through interviews with and feedback from constituency (Katz & Kahn, 1978; Senge, 1990; Senge, Roberts, Kleiner, et al, 1994; Van der Heijden, 1996).

The shared mental model of leadership can be established, for example, through observation of leadership in action and interview feedback from the constituency groups of the performance system concerned

In the above section possible empirical indicators for the values of the three units of the theory and the focused, systems perspective of leadership inherent in the specified propositions of the theory, have been identified. How these empirical indicators compare with the quality criteria for this sixth theory building step are considered below.

Comparison of This Theory Building Research "Empirical Indicators" Step to the Criteria of Excellence

Dubin (1978) specified two conditions or criteria for the process of measurement inherent in the identified empirical indicators of a theory. The first is that the operation of measurement is specified, and the second is that the results or value produced by this operation are identified. Both of these criteria are partially met in the empirical indicators identified for this theory. However, more rigorous refinement and specification of the operations of measurement and values produced by these operations will need to be developed by the researcher-theorist. This is, in part, the task of the next and third phase of theory building, namely, verification of the theory.

Further to these two criteria it is also required that the values of the unit indicators comply with the value requirements for the three types of units employed in the theory--enumerative, associative and relational. The requirements of empirical indicators for the three types of units of the theory have been taken into account and adhered to in the identification of the empirical indicators selected for the theory.

Completion of this (sixth) step of the theory building research methodology has allowed the researcher-theorist to begin to address the second theory operationalization

question of: *What are the empirical indicators of the theory*? It will be recalled that the completion of the fifth step of Dubin's (1978) theory building research methodology allowed the researcher-theorist to address the first theory operationalization question, namely: *What are the propositions of the theory*? By responding to these two questions it has been possible to begin to operationalize "A Theory of Responsible Leadership for Performance," that is, to get the theory ready to take to the real world for verification and further refinement.

Verification of the theory must occur through the development of hypotheses (theory building step seven), derived from the propositions and empirical indicators of the theory, and the conduct of research to test (theory building step eight) the theory. Refinement of the theory is an ongoing process and occurs through continued testing, through research, and the use of the outcomes of testing and research to both improve and further prove the theory. The verification and refinement of a theory are therefore ongoing processes as indicated and discussed in the section following.

THEORY BUILDING PHASES THREE AND FOUR: VERIFICATION AND REFINEMENT OF THE THEORY

So far this study has considered the first two phases of the theory building process, and the corresponding first six steps of Dubin's (1978) theory building research methodology (see figure 1)--the units, laws of interaction, boundaries, system states (phase one), and propositions and empirical indicators (phase two). Through the completion of these six theory building steps it has been possible to complete the development and begin the validation of "A Theory of Responsible Leadership."

Two theory building steps remain to be considered in Dubin's theory building research methodology, namely, step seven--compiling *hypotheses* for the theory--and step eight--*testing* of the theory (see Phases Three and Four in Figure 5.1). The essences of each of these phases and steps are briefly highlighted and discussed in the remaining sections of this chapter.

Phase Three Steps 7 and 8: Verification of the Theory

The verification phase of theory building involves the construction and testing of hypotheses, and corresponds with steps seven and eight of Dubin's (1978) theory building research methodology. Step seven is required to establish the linkage between the theoretical model and the researcher-theorist's understanding of the real world (as reflected in the theoretical model). This linkage between the theoretical model and the real world is made possible by translating some of the propositions of the theory to testable hypotheses. Step eight is required to verify the theory in action in the real world by putting the constructed hypotheses to test through research.

Step seven, construction of the *hypotheses* of the theory, represents the completion of the formulation of a theoretical model (Dubin, 1978). "An

hypothesis", according to Dubin, "may be defined as the predictions about the values of the units of a theory in which empirical indicators are employed for the named units in each proposition" (p. 206). The hypotheses of a theory therefore tell us what the empirical indicators for the units--*constituency*, *responsibleness*, and *performance*--are, and "mirror the propositions" (p. 206) of the theoretical model. Various strategies may be employed in the formulation of hypotheses and are usually chosen in accordance with available research time and resources. These strategies can vary from being extensive, where all the strategic propositions of the theory are tested, to focusing attention on one or several strategic propositions, to being ad hoc, where hypotheses are generalized to propositions . Construction of the hypotheses of a theory allows the researcher-theorist to answer the theory verification question of: *What are the hypotheses of the theory*? It is beyond the scope of this study to construct the hypotheses for "A Theory of Responsible Leadership for Performance". However, in the future, this task will be completed using a strategy of hypothesis construction that focuses attention on the three selected propositions used to identify the empirical indicators of this theory.

Step eight, involves the *testing* of the theory through empirical research and requires that the researcher-theorist answer the theory verification question of: *What are the critical next steps for verification of the theory*? . In order to address this question the researcher-theorist must decide on their research stance towards the theoretical model. Is it one of *proving the adequacy of* the theoretical model, or is it one of *improving* the starting theoretical model? The choice of research stance will inform and determine the type and extent of research testing undertaken by the researcher-theorist. For example, doing research for the purpose of improving the theoretical model involves descriptive research, while doing research to test the theory involves hypothesis testing (Dubin, 1978).

Step eight in Dubin's theory building research methodology also forms the basis of the fourth phase of the theory building process, namely, ongoing refinement of the theory. This overlapping link between theory verification and theory refinement is encapsulated in a research stance aimed at improving the theory.

Phase Four Step 8: Ongoing Refinement of the Theory

Dubin (1978) used the concept "perpetual theory building"(220) to indicate that one is *never done* with theory building. This notion of ongoing theory building, of ongoing refinement of the theory, speaks to the recursive deductive-inductive refrain between the results of research and testing and the use of those results to further inform and continually improve the theory. The hypothetical-deductive method of theory building, reflected in the methodologies of Cohen (1991), Reynolds (1971), Hearn (1958) and Dubin (1978) are based on the assumption of falsification (Cohen, 1991; Honerich, 1995; Root, 1993), meaning that until proven otherwise the knowledge embedded in the theory is

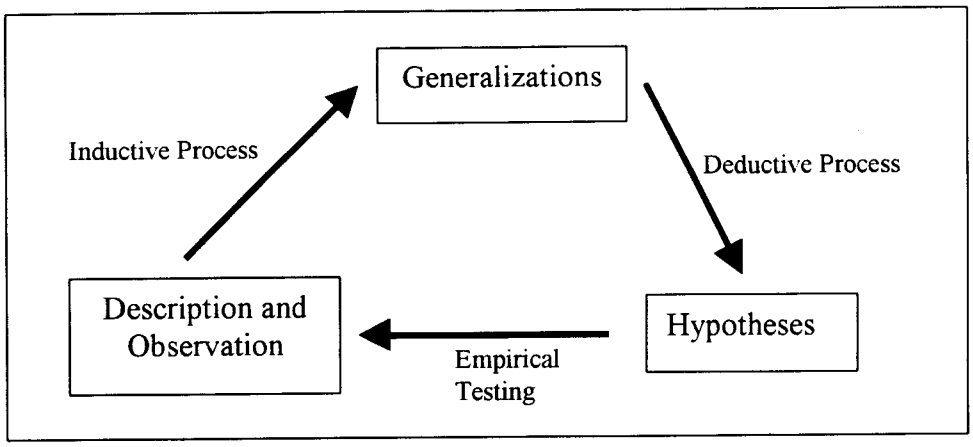
taken to be true. As a result, theories of this nature are never complete and require continual discourse between the theoretical framework of the theory and the theory in use. Testing of the theory is therefore an ongoing responsibility of theory building.

CONCLUSION

The outcomes of this chapter conclude the theory building process of this study. Chapter four enabled the researcher-theorist to answer the first part of the research question of this study, namely, *Can "A Theory of Responsible Leadership for Performance" be developed?* Through the conduct of the descriptive research used to complete the first phase of theory development of the study it is concluded that the first part of the research question can be answered in the affirmative (please refer to the Appendix for a snapshot of The Theory) . At the same time, and by virtue of the incomplete nature of theory building, it is recognized that the outcome of theory building Phase One (development of the theory) can be improved upon. It is the scholarly responsibility of this researcher-theorist to continue to improve on "A Theory of Responsible Leadership for Performance" through further and ongoing purposeful and rigorous descriptive research.

This chapter enabled the researcher-theorist to answer the second part of the research question of this study, namely, *Can "A Theory of Responsible Leadership for Performance be validated?* Having specified strategic propositions and identified key empirical indicators for some of these propositions of the theory, thereby indicating that "A Theory of Responsible Leadership for Performance" can be operationalized, this research sub-question can be answered at least partially in the affirmative. Completion of the theory verification phase of theory building, by formulating hypotheses of the theory and testing these hypotheses through empirical research will inform the researcher-theorist as to further specificity regarding the propositions and empirical indicators of the theory. Adopting a research stance of both proof of the adequacy of the theory *and* improving the theory will be necessary to further answer this second part of the research question of the study. The recursive loop of induction and deduction, between the conduct and results of research and theory building, is therefore the ongoing burden of responsibility of the researcher-theorist, as indicated in Figure 5.2.

Figure 5.2. The Ongoing Process of Theory Building: A Continual Refrain between Theory Building and Research



The outcomes of this study, through the application of Dubin's theory building research methodology to the challenge of building a theory of leadership, have clearly indicated that "A Theory of Responsible Leadership for Performance" can both be developed and validated. The outcomes of this study also confirm that the task of theory building in an applied field is a series of repeated and ongoing conversations between research and practice, between concept development and concept verification in the real world. It is humbly clear that this study marks the beginning of the researcher-theorists' journey in the development and validation of "A Theory of Responsible Leadership for Performance" and not the culmination of this theory building journey.

The outcomes of this study point to a number of implications, both for research and practice in leadership, and for theory and theory building research in HRD. A concluding discussion of these implications is offered in Chapter Six.

CHAPTER SIX
THE IMPLICATIONS OF "A THEORY OF RESPONSIBLE LEADERSHIP FOR PERFORMANCE"

Chapter One provided a brief introduction to the purpose and importance of this study by presenting the problem statement driving the study and a high level review of the leadership literature. The development and partial validation of "A Theory of Responsible Leadership for Performance" was seen to be needed to address the problem that available leadership theories do not adequately nor explicitly address the nature and challenges of leadership that is both responsible *and* focused on performance.

Chapter Two presented a review of the core literature used to inform this study. Three main areas of literature were reviewed, namely, key theoretical approaches to leadership, performance improvement theory, and theory and building. The last two areas of the literature review--performance improvement theory, and theory and theory building--were framed and presented from a Human Resource Development (HRD) perspective.

The third chapter described the methodology used in the study. The main research question--Can "A Theory of Responsible Leadership for Performance" be developed and validated?--and the two sub-questions (Can "A Theory of Responsible Leadership for Performance" be developed? and Can "A Theory of Responsible Leadership for Performance" be validated?) addressed by the study were highlighted. A detailed description of the four-phase, eight-step theory building research methodology used to develop and partially validate The Theory was provided. Also included was a description of the connection between the theory building research methodology and the research questions (see Table 3.2).

Chapter Four presented the actual development, in terms of process and outcome, of "A Theory of Responsible Leadership for Performance." Four theory development questions were answered in this fourth chapter: What are the units of The Theory?; What are the laws of interaction of The Theory?; What are the boundaries of The Theory?; and What are the system states of The Theory?. The developed Theory was then presented as an integrated theoretical framework and system (see Figure 4.7).

Chapter Five described the process and outcomes of the second, third and fourth phases of theory building research, namely, operationalization, verification and ongoing refinement of The Theory and linked these three additional phases to Dubin's eight-step theory building research methodology (see Figure 5.1). Eight strategic propositions and some key corresponding empirical indicators of The Theory were also identified and discussed.

This chapter highlights and discusses the implications of "A Theory of Responsible Leadership for Performance." Implications of The Theory are highlighted in two parts: first, for leadership research and practice, and second, for theory building and theory building research in HRD.

PART ONE: IMPLICATIONS OF THE THEORY FOR LEADERSHIP RESEARCH AND PRACTICE

"A Theory of Responsible Leadership for Performance" (RLP) is a theory of the phenomenon of leadership as a system-in-focus. Perceiving leadership as a system-in-focus is new to leadership theory. Perceiving leadership as a system-in-focus that is aimed at leadership that is both responsible *and* for performance is atypical of leadership practice. Both these areas of implication, that is, for leadership research and leadership practice, will be considered separately.

Implications of The Theory for Leadership Research

It is clear from the literature that there is an abundance of leadership theories. Fleishman et al. (1991) pointed to the emergence of 65 different taxonomies just on leadership behavior in the past fifty years! It is also, however, clear from the literature that general, integrating theories of leadership are in short supply. Yukl and Van Fleet, in their 1992 comprehensive review of leadership theories, underscored the need for more general theories of leadership. "A Theory of Responsible Leadership for Performance (RLP)" can be useful to the existing body of leadership theory in two important ways.

First, "A Theory of RLP" can be used in leadership theory to promote connectivity among existing theories. For example, both behavioral and transformation leadership theory are driven by the situation in which leadership occurs. By rethinking the *situation* as a leadership system-in-focus, leadership from both theoretical perspectives can be shown to be driven by the nature of the system-in-focus and the purpose which leadership has to serve to fulfill the goals of the system-in-focus. In this way "A Theory of RLP" enables both groups of theory to reframe leadership as a means to an end, and to allow leadership to serve a dependent variable of whole system performance. This reframing means that these theoretical perspectives no longer need to be seen in competition with each other, but can each rather be understood and valued from the perspective of a leadership system-in-focus. By applying "A Theory of RLP" in this connecting way, The Theory can be used to bridge the gap between two or more different leadership theories and can be used to explain something between the domains of the existing theories.

Second, "A Theory of RLP" can be also be used in a transformational way in relation to existing, and indeed emerging, theories of leadership. For example, trait theory is strongly informed by military leadership. If the military is considered to be the performance that is used to determine the leadership system-in-focus, then the specific nature of the military performance system must shape and drive the leadership required in terms of constituency, responsibleness and performance. In this way the nature and value of the three units of The Theory is changed by the purpose and nature of the system-in-focus and to which the leadership is a means to the performance of that system. Furthermore, considering the military as the boundary of the leadership system-in-focus significantly impacts on who is included in the constituency, and what makes for responsibleness and performance in that leadership system. In this way, even military

leadership (and trait theory), although of a strong hierarchical nature, becomes a means to an end, and in service to the military performance system.

There are many diverse and competing theoretical perspectives on leadership, each attempting to explain the phenomenon of leadership. Although different theories are not necessarily bad, it must be noted that each theoretical perspective is a way of *seeing* leadership. However, each of these ways of *seeing* is also a way of *not seeing*. In this way each theory of leadership has its own limitations. In a body of literature that abounds with theories of a conflicting and contradictory nature, like in that of leadership, this proliferation of theories becomes fragmenting and confusing rather than unifying and clarifying. More general theories of leadership, like that of "A Theory of RLP" need to be built to help to integrate and demystify this body of knowledge.

Implications of The Theory for Leadership Practice

Go to the New Releases section at any modern-day bookstore, on-line or on-foot, and you will be sure to find at least a handful of books touting themselves as the latest answer to our prayers on leadership. This blossoming of leadership books echoes reflections from successful executives to other would-be successful executives. They include anecdotal analyses of the behavior of past heroic, and sometimes even fictional, figureheads, and comic strip suggestions on what to do and who to be to the aspiring leader. Included are marketing-driven recipes for quick success and guaranteed performance from consulting companies as well as compendiums of thoughts and insights from the so-called gurus, many of whom are best known for their management literature. Unfortunately, only once in a while does one come across a scholarly, well researched book on leadership that is written for the consumption of practice. The scholarly literature on leadership seldom resides on the bookshelves of popular bookstores. Yet it is from these books on popular leadership thought, and too often myth, that the practice of leadership is often informed. Just as Human Resource Development (HRD) is overpopulated with atheoretical practice, so is the field of leadership.

Where practice is looking for relevance and utility, research is looking for rigor and understanding. This, too, is true in the area of leadership. Leadership theories and research need to be made more consumable to the practitioner who is looking to the literature for answers to very practical problems of leadership. Instead of making isolated, fragmented offerings on leadership to the practitioner, more integrated, 'big theory' perspectives and approaches to leadership need to be made available to practice. Practice pursues leadership knowledge and expertise in the belief that the phenomena of leadership and performance are causally connected. Research shows us that this connection is very often not true.

With the growing demands for leadership that makes a difference, and the increasing business realities of globalization and an extended shortage of skilled and knowledge labor, the need to balance people *and* performance, must become an important problem of leadership theory and practice. Leadership theories like that of "A Theory of Responsible Leadership for Performance (RLP)" can be enormously helpful to this end. "A Theory of RLP" could be used, for example, by practitioners to make sense of the

multiple leadership theories at their disposal--that is, to frame and contextualize these theories in terms of leadership in a performance system. "A Theory of RLP" could also be used by practice to analyze current leadership in organizations and to reconceptualize it as a system-in-focus to be used as a means to performance and not as an end in itself.

The implications of using this Theory in leadership practice are quite extensive. First, it would require that practice acknowledge that leadership is merely a driver and not an outcome of performance. Second, it would mean that leadership would have to be understood and pursued as a system-in-focus, a system that is in service to the performance system in which it occurs. This would require honest questions and responses to establishing the boundaries of the performance system with which the leadership being sought is concerned. Sometimes these boundaries may be small, even sub-systems of performance within an organization. Other times these may be very big performance systems that reach across national and international borders. Whatever the magnitude of the performance system concerned, it is the boundaries of the performance system that must inform the need for and nature of leadership and not vice versa. Third, The Theory would require practice to acknowledge the phenomenon of leadership as a system, with inputs, processes, outputs and feedback, in the form of considerations of constituency, responsible leadership practices, habits and resources, and performance. Fourth, "A Theory of RLP" would acknowledge and demand whole system performance outcomes as an indicators of leadership output. And fifth, perhaps the most significant impact of all, would be the implications of "A Theory of RLP" for leadership development. Applying The Theory to leadership development would require that leadership development programs and processes be designed with the purpose of developing leadership that is required by and directly aligned to the purpose and goals of the specific performance system concerned. Any developmental packages would have to be viewed with some scepticism if not geared to the specific leadership system-in-focus. In a world where leadership has become so closely aligned with individuals and positions in organizations, these implications may not reside well with practice.

Besides implications for leadership research and practice, a number of implications of "A Theory of RLP" can also be deduced for theory building and theory building research in HRD. These implications, for theory building and theory building research in HRD, are presented and discussed in the remaining section of this chapter.

PART TWO: IMPLICATIONS OF THE THEORY FOR THEORY BUILDING AND THEORY BUILDING RESEARCH IN HRD

The knowledge and experience gained from building "A Theory of Responsible Leadership for Performance (RLP)" has a number of implications for theory building and theory building research in Human Resource Development (HRD). Each of the areas of implication is perhaps best dealt with individually.

Implications of The Theory for Theory Building

At the outset of this journey of inquiry I remember being puzzled at the looks and comments of discouragement and disbelief at wanting to tackle the task of building of a theory for my dissertation. I recall the word *ambitious* being the most frequently used in this commentary. At the time I did not know what was meant by this word. Now I think I do.

Theory building is not a task, it is a process, and a long one at that. Theory building is a laborious and often lonely journey, and one, that if taken seriously, is likely to span a significant proportion of ones scholarly career. Just as a journey begins with one step, so the journey of theory building begins with one scholarly endeavor. The first task of that endeavor is the recognition of a problem from practice that can best be addressed through new or refined theory. The second task is the familiarization with and understanding, mastery and choice of an appropriate theory building research methodology. The first is easy, the second is not. It is in this second task that the first implication of The Theory emerges.

There is not a lot of literature available on theory building methodologies in the behavioral sciences. Those that are available are difficult to understand and access for purposes of research. Dubin's (1978) theory building research methodology, which formed the basis for this study, is not reader friendly and was often found to be unclear and at times ambiguous. Hearn (1958), Reynold's (1971) and Cohen's (1991) theory building texts are just as difficult to access. The theory building research methodology offered by these four authors, which also represents the most explicit theory building research methodology available in the behavioral sciences, are all hypothetico-deductive methods and thus of a positivistic nature. What happens then, and what explicit methods are available, when confronted with the task of building theory other than of a positivistic nature?

Strauss and Corbin (1998) offer a book on techniques and procedures for developing grounded theory, which falls in the ambit of qualitative research. However, their book lacks rigor in terms of the explicit theory building research methodology and one is left with the conclusion that building grounded theory is very similar to conducting action research, which is often considered more of a problem solving methodology than a theory building methodology.

Emerging theory building research from the management sciences points to the need for multiparadigm research and theory building methods due to the nature of organizational phenomena. Yet little to nothing is offered by way of multiparadigm theory building methodology--some feel this is a contradiction in terms.

During the building of "A Theory of RLP", and the accompanying research into the leadership literature, I was constantly reminded by Dubin's caution that the occurrence of an abundance of intervening variables is a clear indicator of ignorance, of *not knowing*. Leadership theories and research abound with intervening variables, and understandably so, as the phenomenon of leadership is clearly not a simple one. The state of *not knowing* would appear to be a common one in leadership theory and research. At the same time, perhaps the phenomenon of leadership requires more study, and more

theories, from multiple perspectives of inquiry. However, there clearly is a lack of well tested, explicit and accessible theory building research methodologies for multiparadigm leadership research and theory building. If better and more general theories are required in the field of leadership then this absence of tried and tested, multiparadigm theory building research methodologies will need to be addressed by scholars of leadership.

The literature on leadership theory and research is vast and resides in many places, which makes it difficult for any researcher to gather up this body of knowledge. Although Bass (1990) made gallant progress to this end, researchers of leadership cannot rely on one sourcebook for their knowledge and understanding of a phenomenon and field. Leadership theories are also at varying stages of refinement, and unless familiar with the requirements of theory building research methodologies, it is difficult for the researcher to discern between a mature and a relatively immature leadership theory. As indicated by Dubin, the amount of research generated by a theory is not a good indicator of the maturity of that theory.

Dubin's theory building research methodology offers some hope in dealing with this dilemma. By analyzing existing theories on the basis of the level of sophistication inherent in their laws of interaction, it is possible to determine not only the level of sophistication of the theory, but also that of the discipline or field of study. In fact, Dubin's theory building research methodology offers a whole new opportunity for scholarly inquiry into leadership theory. Although primarily used for theory building, Dubin's theory building research methodology can also be used to analyze existing theories and to test them in terms of their theoretical strengths and weaknesses. This is an exciting implication of the knowledge and understanding gained through the theory building journey of "A Theory of RLP."

Implications of The Theory for Theory Building Research in Human Resource Development (HRD)

The implications of "A Theory of RLP" for theory building research in HRD are fourfold and are derived less from the content of The Theory than from the knowledge and experience of building The Theory.

As indicated above, Dubin's (1978) theory building research methodology can be used for more than building theory itself. Due to the level of explicitness in Dubin's methodology, it is possible to use this methodology as an analysis and inquiry tool for determining the level of sophistication of HRD theory, too. It is also possible to use this methodology to determine the current sophistication of HRD as a discipline and profession. Because HRD is a relatively young profession, wanting to mature its scholarship in research and practice and reduce the incidence of atheoretical practice and ascientific research, the application of Dubin's methodology to this end could be most helpful to the profession.

Dubin's theory building research methodology is particularly well suited to systems theory, which forms one of the three foundational areas of HRD research and practice. As such, Dubin's methodology is well suited to the task of theory building research in HRD. However, due to the nature of phenomena studied in HRD, theory

building research methods other than those of Dubin will need to be tested, and if necessary developed, to enable the conduct of theory building research from multiple paradigms of inquiry. These methods will need to be informed by the purpose and nature of HRD, and the multidisciplinary foundations that inform and guide its research and practice.

Dubin's theory building research methodology could also be used to identify typologies of HRD theory. If the level of sophistication of a discipline is in part reflected by the level of sophistication in the laws of interaction inherent in the theories of a discipline, then the methodology used to build this Theory can also be used to identify and differentiate complexity and sophistication in existing and emerging HRD theory. Making typologies of HRD theory, in terms of complexity and sophistication, explicit and available to HRD scholars could be very helpful in advancing and maturing thought and practice in HRD.

Finally, HRD has much to offer leadership theory and research. By applying the three theoretical foundations--systems, psychology and economics--of HRD to the phenomenon of leadership new perspectives can be brought to the domain of leadership research and practice. The three foundational perspectives can be used as a framework to gather up leadership theory and research and to guide new endeavors in this area of inquiry. HRD, through application of its three domains of foundational theory to the phenomenon of leadership, can bring new, unique and integrating insights to leadership theory and research--as demonstrated by "A Theory of RLP."

I would like to close this study with a personal story and reflection. One day many months ago I was browsing the aforementioned New Releases shelf, on foot, at a popular and reputable bookstore in the Twin Cities. To my delight I found a book on leadership for results--this one seemed to offer some scholarly insights on leadership for performance. Not only that, it seemed to acknowledge the dual responsibility of leadership for people *and* performance. Needless to say I was delighted at my find. By now I was deep into the theory building journey of this study and had become somewhat sceptical of thoughts espoused as theories. On opening the book my *theory-building-soft eyes* spotted what appeared to be a statement of proud acknowledgement from the authors. They said (and I shall not reference the book here) that they had thought, in the journey of their studies that led to the book concerned, that they should "develop a new theory of leadership". However, they acknowledged that they were talked out of this idea by their colleagues who thought that the idea of developing a new theory of leadership was both "too grandiose and ambitious". Listening to the wisdom of their colleagues, it would appear that they proceeded anyway, and wrote their book without the theory.

Although I think I am in a better position now to understand this comment, it also saddened me. Having taken a small step, hopefully in a responsible manner, in a long journey of scholarly endeavour and inquiry, I am convinced that the act of engaging in theory building *is* a "grandiose and ambitious" one. However, this act is also necessary for scientific knowledge and sound practice. The act of theory building and theory building research cannot be replaced by the need to bring speculative, unsubstantiated--perhaps best described as atheoretical--knowledge to market before its time. In an applied field this is irresponsible of scholars of leadership who act with the full awareness

that this knowledge will be used by the practitioner to solve problems of leadership not yet understood. The pressure to bring knowledge to market should not transcend scholarship, not in a field like that of leadership, where the actions of one can affect so many and have such huge repercussions on business performance.

REFERENCES

Akaraborworn, C. T., & McLean, G. N. (1999). Self and team development in practice (STP) walk rally. In K. P. Kuchinke (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 372-379). Baton Rouge, LA: AHRD.

Albrecht, K. (1994). The northbound train: Finding the purpose, setting the direction, shaping the destiny of your organization. New York: American Management Association.

Amburgey, T. L., & Dacin, T. (1994). As the left foot follows the right? The dynamics of strategic and structural change. Academy of Management Journal, 37(6), 1427-1452.

Argyris, C., & Schon, D.A. (1974). Theory in practice: Increasing professional effectiveness. San Francisco: Jossey-Bass.

Argyris, C., & Schon, D.A. (1996). Organizational learning II. Theory, method, and practice. New York: Addison-Wesley.

Arsenault, P. M. (1997). The forgotten leaders: Integrating charismatic leadership into leadership development programs. The Journal of Leadership Studies, 4 (1), 140-149.

Autry, J. A. (1991). Love and profit: The art of caring leadership. New York: William Morrow and Company.

Bacharach, S. B. (1989). Organizational theories: Some criteria for evaluation. The Academy of Management Review, 14(4), 496-515.

Barrie, J., & Pace, R. W. (1998). Learning for organizational effectiveness: Philosophy of education and human resource development. Human Resource Development Quarterly, 9, 39-54.

Barrie, J., & Pace, R. W. (1999). Learning and performance: Just the end of the beginning-A rejoinder to Kuchinke. Human Resource Development Quarterly, 10, 293-296.

Bass, B. M. (1960). Leadership, psychology and organizational behavior. New York: Harper.

Bass, B. M. (1985, Fall). Leadership: good, better, best. Organizational Dynamics, 13(3), 26-40.

Bass, B. M. (1990). Bass & Stogdill's handbook of leadership; theory, research, and managerial applications (3 Ed.). New York: The Free Press.

Beauchamp, T. L., & Bowie, N. E. (Eds.) (1997). Ethical theory and business (5th ed.). Upper Saddle River, NJ: Prentice Hall.

Becker, G. S. (1993). Human capital: a theoretical and empirical analysis with special reference to education (3rd ed.). Chicago: University of Chicago.

Bennet, M. J., & Bennet, M. J. (1996). A developmental model of intercultural sensitivity. In Paige, R. M. (1998), Class Notes, University of Minnesota.

Bennett, W. E. (1959). Manager selection, education, and training. New York: McGraw-Hill.

Bennis, W. (1994). On becoming a leader. New York: Addison-Wesley.

Bennis, W., & Nanus, B. (1985). Leaders: The strategies for taking charge. San Francisco: Harper & Row.

Bennis, W., Parikh, J., & Lessem, R. (1994). Beyond leadership: Balancing economics, ethics and ecology. Cambridge, MA: Blackwell Business.

Bergmann, H., Hurson, K., & Russ-Eft, D. (1999). Everyone a leader: A grassroots model for the new workplace. New York: John Wiley & Sons.

Berry, L. L. (1999). Discovering the soul of service: The nine drivers of sustainable business success. New York: The Free Press.

Bhatia, K. (1995). Leadership and leaders are on their way. The Journal of Leadership Studies, 2(2), 65-72.

Bishop, B. M. (1951). Mother-child interaction and the social behavior of children. Psychological Monographs, 65, (328).

Blake, R. R., & Mouton, J. S. (1982). Theory and research for developing a science of leadership. The Journal of Applied Behavioral Sciences, 18(3), 275-291.

Block, P. (1993). Stewardship: Choosing service over self-interest. San Francisco: Berrett-Koehler.

Bolt, J.F., & Rummler, G. A. (1982) How to close the performance gap. Management Review, 38-44.

Bolwijn, P. T., & Kumpe, T. (1996). About facts, fiction and forces in human resource management. Human Systems Management, 15(3), 161-172.

Borg, W. R., Gall, J. P., & Gall, M. D. (1981). Applying Education Research (3rd ed.). New York: Longman.

Boudreau, J. W., & Ramsted, P. M. (1997). Measuring intellectual capital: Learning from financial history. Human Resource Management, 36(3), 343-356.

Boulding, K. E. (1956). General systems theory: The skeleton of science. Management Science, 2, 197-208.

Boyd, D. P. (1974). Research note: The educational background of a selected group of England's leaders. Sociology, 8, 305-312.

Boyett, J., & Boyett, J. (1998). The guru guide: the best ideas of the top management thinkers. New York: John Wiley.

Brady, F. N. (1985). A Janus-Headed model of ethical theory: Looking two ways at business/society issues. Academy of Management Review, 10(3), 568-576.

Brethower, D. M., & Smalley, K. A. (1992). Performance-based instruction: A training paradigm for the 21st century. Performance and Instruction, 31(5), 26-31.

Brungardt, C. (1996). The making of leaders: A review of the research in leadership development and education. The Journal of Leadership Studies, 3(3), 81-95.

Bryson, J. M., & Crosby, B. C. (1992). Leadership for the common good: Tackling public problems in a shared-power world. San Francisco: Jossey-Bass.

Buzacott, J. A. (1996). Commonalities in reengineered business processes: Models and issues. Management Science, 42(5), 768-782.

Byrd, R. E. (1987, Summer). Corporate leadership skills: A new synthesis. Organizational Dynamics, 34-43.

Bryson, J. (1995). Strategic planning for public and nonprofit organizations: A guide to strengthening and sustaining organizational achievement. San Francisco: Jossey-Bass.

Bryson, J. M., & Crosby, B. C. (1992). Leadership for the common good: Tackling public problems in a shared-power world. San Francisco, CA: Jossey-Bass.

Burke, M. J., & Day, R. R. (1986). A cumulative study of the effectiveness of managerial training. Journal of Applied Psychology, 71, 242-245.

Burns, J. M.(1978). Leadership. New York: Harper-Rowe.

Burrell, G., & Morgan, G. (1979). Sociological paradigms and organizational analysis. London: Heinemann.

Campbell, J. P. (1990). The role of theory in industrial and organizational psychology. In M. D. Dunnette & L. M. Hough (Eds.), Handbook for industrial and organizational psychology (Vol. 1, pp. 39-73). Palo Alto, CA: Consulting Psychologists Press.

Canella, A. A., Jr., & Monroe, M. J. (1997). Contrasting perspective on strategic leaders: Towards a more realistic view of top managers. Journal of Management, 23, 213-237.

Capozzoli, T. K. (1995). Managers and leaders: A matter of cognitive difference. The Journal of Leadership Studies, 2(3), 20-29.

Chalofsky, N.E. (1998). Professionalization comes from theory and research: The 'why' instead of the 'how-to'. In R.J. Torraco (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 666-670). Baton Rouge, LA: AHRD.

Chemers, M. M., Fiedler, F. E., Lekhyananda, D, & Stolurow, L. M. (1966). Some effects of cultural training on leadership in heterocultural task groups. International Journal of Psychology, 1, 301-314.

Christie, P., Lessem, R., & Mbigi, L. (Eds.) (1993). African management. Philosophies, concepts and applications. Johannesburg, South Africa: Knowledge Resources.

Clark, K. E., & Clark, M. B. (1996). Choosing to lead (2nd ed.) Greensboro, NC: Center for Creative Leadership.

Clark, K. E., Clark, M. B., & Campbell, D. P. (Eds.) (1992). Impact of leadership. Greensboro, NC: Center for Creative Leadership.

Cohen, B.P. (1991). Developing sociological knowledge: Theory and method (2nd ed.). Chicago: Nelson-Hall.

Cohen, A. R., & Bradford, D. L. (1990). Influence without authority. New York: John Wiley & Sons.

Collins, J. C., & Porras, J. I. (1994). Built to last: Successful habits of visionary companies. New York: HarperBusiness.

Conger, J. A., & Kanungo, R. (1987). Towards a behavioral theory of charismatic leadership in organizational settings. Academy of Management Review, 12, 637-647.

Copeman, G. (1971). The chief executive and business growth. London: Leviathan House.

Counts, G., Farmer, R. F., & Shepard, S. (1995). Leadership: Too elusive for definition. The Journal of Leadership Studies, 2(3), 30-41.

Covey, S. R. (1989). The 7 habits of highly effective people: Powerful lessons in personal change. New York: Fireside.

Covey, S. R. (1991). Principle centered leadership. New York: Summit.

Cox, C. M. (1926). The early mental traits of three hundred geniuses. Stanford: Stanford University.

Cromwell, R. R., & Caci, K. A. (1997). Leadership, change and understanding insights gleaned from personal studies of educators. The Journal of Leadership Studies, 4 (4), 107-117.

Cummings, T. G., & Worley, C. G. (1997). Organization development and change (6th ed.). Cincinnati, OH: South-Western College Publishing.

Cusins, P. (1994). Understanding quality through systems. The TQM Magazine, 6(5), 19-27.

Dahl, H. L., Jr. (1989). Human resource development needs a unifying theory. In D. B. Gradous (Ed.), Systems theory applied to human resource development (pp. 7-11). Alexandria, VA: ASTD.

Dansereau, F., Jr., Graen, G., & Haga, W. J. (1975). A vertical dyad linkage approach to leadership within formal organizations: A longitudinal investigation of the role making process. Organizational Behavior and Human Performance, 13, 46-78.

Daugherty, R. A., & Williams, S. E. (1997). The long-term impacts of leadership development: An assessment of a state-wide program. The Journal of Leadership Studies, 4 (2), 110-115.

Davies, J., & Easterby-Smith, M. (1984). Learning and developing from managerial work experiences. Journal of Management Studies, 2, 169-183.

Davis, T. R. V., & Luthans, F. (1984). Defining and researching leadership as a behavioral construct: An idiographic approach. The Journal of Applied Behavioral Science, 20(3), 237-251.

Dean, P. J. (1998a). The importance of performance improvement models in organizational learning systems. In P. J. Dean & D. E. Ripley (Eds.), Performance improvement pathfinders: Models for organizational learning systems (pp. 2-19). Washington, DC: ISPI.

Dean, P. J. (1998b). Engineering performance improvement with or without training. In P. J. Dean & D. E. Ripley (Eds.), Performance improvement pathfinders: Models for organizational learning systems (pp. 45-64). Washington, DC: ISPI.

Dean, P. J., & Ripley, D. E. (Eds.). (1998). Performance improvement interventions: Culture and systems change. Washington, DC: ISPI.

Delbecq, A. L., Van der Ven, A. H., & D. H. Gustafson (1975). Group techniques for program planning: a guide to nominal group and delphi processes. Illinios: Scott, Foresman and Company.

Deluga, R. J. (1988). Relationship of transformational and transactional leadership with employee influencing strategies. Group & Organization Studies, 13(4), 456-467.

Den Hartog, D. N., Koopman, P. L., & Van Muijen, J. J. (1995). The Journal of Leadership Studies, 2(4), 35-49.

DePree, M. (1989). Leadership is an art. New York: Doubleday.

DePree, M. (1997). Leading without power: Finding hope in serving community. San Francisco: Jossey-Bass.

Dewey, J. (1933). How we think: A restatement of the relation of reflective thinking to the educative process. Boston: D.C. Health.

Drucker, P. F. (1967). The effective executive. New York: Harper & Rowe.

Drucker, P. F. (1980). Managing in turbulent times. New York: Harper & Rowe.

Drucker, P. F. (1994, November). The age of social transformation. The Atlantic Monthly, 53-80.

Dubin, R. (1976). Theory building in applied areas. In M. D. Dunnette (Ed.), Handbook of industrial and organizational psychology (pp. 17-39). Chicago: Rand McNally.

Dubin, R. (1978). Theory building (Rev. ed.). New York: The Free Press.

Dyer, W. G. (1995). Team building: Current issues and new alternatives (3rd ed.). Reading, MA: Addison-Wesley.

Eccles, R. G. (1998). The performance measurement manifesto. Harvard Business Review on measuring corporate performance, pp. 25-45. Boston, MA: Harvard Business School.

Eisenhardt, K.M. (1989). Building theories from case study research. Academy of Management Review, 14(4), 532-550.

Fiedler, F. E. (1981). Leadership effectiveness. American Behavioral Scientist, 24(5), 619-632.

Fiedler, F. E. (1996). Research on leadership selection and training: One view of the future. Administrative Science Quarterly, 41, 241-250.

Field, R. H. G. (1979). A critique of the Vroom-Yetton contingency model of leadership behavior. Academy of Management Review, 4, 249-257.

Forker, B. E. (1986). Leadership: The key ingredient. Quest, 38, 87-94.

Freeman, R. E. (1997). A stakeholder theory of the modern corporation. In T. L. Beauchamp & N. E. Bowie (Eds.), Ethical theory and business (5th ed.) (pp. 66-76). Upper Saddle River, NJ: Prentice Hall.

Freudberg, D. (1986). The corporate conscience: money, power and responsible business. New York: American Management Association.

Frooman, J. (1999). Stakeholder influence strategies. Academy of Management Review, 24(2), 191-205.

French, W. L., & Bell, C. H., Jr. (1999). Organization development: Behavioral science interventions and organization improvement (6th ed.). Upper Saddle River, NJ: PrenticeHall.

Gall, M. D., Borg, W. R., & Gall, J. P.. (1996). Educational research - an introduction (6th ed.). New York: Longman.

Gardner, J. W. (1990). On leadership. New York: The Free Press.

Gibson, J. L., Ivancevich, J. M., & Donnelly, J. H., Jr. (1994). Organizations: Business, structure, processes (8th ed.) . Boston, MA: Irwin.

Gilbert, T. F. (1978). Human competence: Engineering worthy performance. New York: McGraw-Hill.

Gilbert, T. F. (1994). Human competence: Engineering human performance. Training, 31(10), 29-74.

Gioia, D.A., & Pitre, E. (1990). Multiparadigm perspective on theory building. The Academy of Management Review, 15(4), 584-602.

Glaser, B., & Strauss, A. (1967). The discovery of grounded theory: Strategies of qualitative research. London: Weidenfeld and Nicholson.

Gleick, J. (1987). Chaos: Making a new science. New York: Penguin.

Goodwin, D. K. (1978, October). True leadership. Psychology Today, 47-58.

Gradous, D.B. (Ed.). (1989). Preface to the monograph. Systems theory applied to Human Resource Development: Theory-to-Practice monograph series, 1-6. Alexandria, VA: ASTD.

Graeff, C. L. (1983). The situational leadership theory: A critical view. Academy of Management Review, 8(2), 285-291.

Graen, G., & Cashman, J. F. (1975). A role making model of leadership in formal organizations: A developmental approach. In J. G. Hunt & L. L. Larson (Eds.), Leadership frontiers (pp. 143-166). Kent, OH: Kent State University.

Greenleaf, R. K. (1991). Servant leadership: A journey into the nature of legitimate power and greatness. New York: Paulist Press.

Greenwood, R. G. (1995). Leadership theory: A historical look at its evolution. The Journal of Leadership Studies, 3(1), 3-16.

Guetzkow, H., Forehand, G. A., & James, B. J. (1962). An evaluation of educational influence on administrative judgement. Administrative Science Quarterly, 6, 483-500.

Hackman, J. R., & Oldham, G. R. (1980). Work redesign. Reading, MA: Addison-Wesley.

Hamel, G., & Prahalad, C. K. (1989, May-June). Strategic intent. Harvard Business Review, 63-76.

Hammer, M., & Champy, J. (1993). Reengineering the corporation. New York: HaperCollins.

Hampden-Turner, C., & Trompenaars, A. The seven cultures of capitalism. New York: Currency-Doubleday.

Hand, H. H., & Slocum, J. W. (1972). A longitudinal study of the effects of a human relations training program on managerial effectiveness. Journal of Applied Psychology, 56, 412-417.

Hand, H. H., & Slocum, J. W. (1970). Human relations training for middle management: A field experiment. Academy of Management Journal, 13, 403-410.

Handy, C. (1994a). The age of paradox. Boston, MA: Harvard Business School.

Handy, C. (1994b, October 31). Charles Handy sees the future. Fortune Magazine, 99-104.

Handy, C. (1998). The hungry spirit: beyond capitalism-a quest for purpose. New York: Bantam DoubleDay Dell.

Hansen, C.D. (1998). HRD theory building through qualitative research. In R.J. Torraco (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 281-284). Baton Rouge, LA: AHRD.

Hardy, C.R. (1999). A discussion of the methodological appropriateness of research presented in the AHRD proceedings: A strategic perspective for journey management. In P.K. Kuchinke (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 880-887). Baton Rouge, LA: AHRD.

Harless, J. H. (1975). An ounce of analysis is worth a pound of objectives. Newnan, GA: Harless Performance Guild.

Hatcher, T. (1999). Reorienting the theoretical foundations of human resource development: Building a sustainable profession and society. In P.K. Kuchinke (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 202-208). Baton Rouge, LA: AHRD.

Hearn, G. (1958). Theory building in social work. Toronto: University of Toronto Press.

Helgesen, S. (1995). The female advantage: Women's ways of leadership. New York: Doubleday.

Herling, R. W. (1998). Expertise: The development of an operational definition for human resource development. In R. J. Torraco (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 715-722). Baton Rouge, LA: AHRD.

Herling, R. W., & Provo, J. (Eds.). (2000). Strategic perspectives on knowledge, competence, and expertise. Advances in Developing Human Resources, 5. San Francisco: Berrett-Koehler.

Hersey, P. (1984). The situational leader. New York: Warner Books.

Hersey, P. (1985). A letter to the author of 'Don't be misled by LEAD'. The Journal of Applied Behavioral Science, 21(2), 152-153.

Herzberg, F. (1966). Work and the nature of man. Cleveland, OH: World Publishing.

Hesselbein, F., Goldsmith, M., & Beckhard, R. (Eds.). (1996). Leaders of the future. SanFrancisco: Jossey-Bass.

Hesselbein, F., Goldsmith, M., & Beckhard, R. (Eds.). (1997). The organization of the future. SanFrancisco: Jossey-Bass.

Hofstede, G. (1991). Cultures and organization: Software of the mind. Intercultural cooperation and its importance for survival. New York: McGraw-Hill.

Hollander, E. P. (1985). Leadership and power. In G. Lindzey, & E. Aronson (Eds.), The Handbook of Social Psychology (3rd ed.) (pp. 485-536). New York: Random House.

Holton, E. F. III. (1999). Performance domains and their boundaries. In R. J. Torraco (Ed.), Performance improvement: Theory and practice (pp. 26-46). Advances in Developing Human Resources, 1. San Francisco: Berrett-Koehler.

Holton, E. F. III. (2000a). Clarifying and defining the performance paradigm of human resource development. In R. A. Torraco (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 46-54). Baton Rouge, LA: AHRD.

Holton, E. F. III. (personal communication, April 2000b).

Holton, E. F., & Lynham, S. A. (2000). Performance-driven leadership development. In E. F. Holton III & S. S. Naquin (Eds.), Developing High Performance

Leadership Competency (pp. 1-16). Advances in Developing Human Resources, 6. San Francisco: Berrett-Koehler.

Holton, E. F. III., & Nasquin, S. S. (Eds.). (2000). Developing high performance leadership competency. Advances in Developing Human Resources, 6. San Francisco: Berrett-Koehler.

Honderich, T. (Ed.) (1995). The Oxford companion to philosophy. New York: Oxford Press.

Hooijberg, R., Hunt, J. G., & Dodge, G. E. (1997). Leadership complexity and development of the leaderplex model. Journal of Management, 23, 375-408.

House, R. J., & Aditja, R. N. The social scientific study of leadership: Quo vadis? Journal of Management, 23, 409-473.

Hughes, R. L., Ginnett, R. C., & Curphy, G. J. (1993). Leadership: Enhancing the lessons of experience. Boston, MA: Irwin.

Hultgren, F.H., & Coomer, D.L. (Eds.). (1989). Alternative modes of inquiry in home economics research. Peoria, IL: Glencoe.

Jackson, C. N. (1993). On linking leadership theories. The Journal of Management Education, 17(1), 67-78.

Jacobs, R. L. (1989). Systems theory applied to human resource development. In D. B. Gradous (Ed.), Systems Theory Applied to Human Resource Development: Theory-to-Practice Monograph (pp. 27-60). Alexandria, VA: ASTD.

Jacobs, R. L. (1997). HRD partnerships for integrating HRD research and practice. In R. A. Swanson & E. F. Holton III (Eds), Human Resource Development Handbook: Linking research and practice (pp. 47-61). San Francisco: Berrett-Koehler.

Jacobs, R.L. (1999). Partnership research: Ensuring more useful HRD collaborations. In P.K. Kuchinke (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 874-879). Baton Rouge, LA: AHRD.

Jaworski, J. (1996). Synchronicity: The inner path of leadership. San Francisco: Berrett-Koehler.

Jones, T. M., & Wicks, A. C. (1999). Convergent stakeholder theory. Academy of Management Review, 24(2), 206-221.

Juran, J. M. (1992). Juran on quality by design. New York: The Free Press.

Juran, J. M. (Ed.). (1995). A history of managing for quality: The evolution, trends, and future directions of managing for quality. Milwaukee, WI: ASQC Quality.

Kaplan, R. S., & Norton, D. P. (1998). The balanced scorecard: Measures that drive performance. In, Harvard Business Review on Measuring Corporate Performance (pp. 123-145). Boston, MA: Harvard Business School.

Katz, D., & Kahn, R. L. (1978). The social psychology of organizations (2nd ed.). New York: John Wiley & Sons.

Katzenbach, J. R., & Smith, D. K. (1993). The wisdom of teams. New York: HarperBusiness.

Kauffman, D. L., Jr. (1980). Systems 1: An introduction to systems thinking. Minneapolis, MN: S. A. Carlson.

Kelley, J. E. (1982). Autonomy and control at the workplace: Contexts for work redesign. London: Croon Helm.

Kelly, R. (1993). The power of followership. New York: Doubleday Currency.

Kirkpatrick, S. A., & Locke, E. A. (1991). Leadership: Do traits matter? The Executive, 5, 48-60.

Klein, K. J., Tosi, H., & Cannella, A. A. (1999). Multilevel theory building: Benefits, barriers, and new developments. Academy of Management Review, 24(2), 243-248.

Knapp, J. C., & Olson, S. (1996). Ethical leadership. The Journal of Leadership Studies, 3(4), 84-86.

Kotter, J. P. (1990a, May-June). What leaders really do. Harvard Business Review, 103-111.

Kotter, J. P. (1990b). A force for change: how leadership differs from management. New York: The Free Press.

Kotter, J. P. (1996). Leading change. Boston, MA: Harvard Business School Press.

Kouzes, J. M., & Posner, B. Z. (1987). The leadership challenge: How to get extraordinary things done in organizations. San Francisco: Jossey-Bass.

Kuchinke, K. P. (1997). Employee expertise: The status of the theory and the literature. Performance Improvement Quarterly, 10(4), 72-84.

Kuhn, T. (1970). The structure of scientific revolutions. (2nd ed.). Chicago: University of Chicago.

Kuniche, J. C., & Lester, R. I. (1997). Profile of a leader: The Wallenberg effect. The Journal of Leadership Studies, 4(3), 5-19.

Kunneman, D. E., & Sleezer, C. M. (1998). Using performance analysis for training in an organization implementing ISO-9000 manufacturing processes: A case study. In R. J. Torraco (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 301-308). Baton Rouge, LA: AHRD.

Lapping, B. (1985). End of empire. London: Granada.

Latham, G. (1988). Human resource training and development. Annual Review of Psychology, 39, 545-582.

Leadership education resource book (1997). Greensboro, NC: Center for Creative Leadership.

Lee, C. (1997). Trust me. Training, 34(1), 28-37.

Lee, D. (1987). Plato: The republic (2nd ed.). New York: Penguin.

Leimbach, M. P., & Baldwin, T. T. (1997). How research contributes to the HRD value chain. In R. A. Swanson & E. F. Holton III (Eds.), Human Resource Development Handbook: Linking Research and Practice (pp. 21-46). San Francisco: Berrett-Koehler.

Lester, R. I., & Kunich, J. C. (1997). Leadership and management: The quality quadrants. The Journal of Leadership Studies, 4(4), 17-32.

Lewin, K. (1951). Field theory in social sciences. New York: Harper Row.

Likert, R. (1967). The human organization (International student ed.). New York: McGraw-Hill.

Linday, W. M., & Petrick, J. A. (1997). Total quality and organization development. Delray Beach, FL: St, Lucie Press.

Lippitt, R. (1982). The changing leader-follower relationships of the 1980s. The Journal of Applied Behavior Sciences, 18(3), 395-403.

Lock, E., & Latham, G. (1990). A theory of goal setting and task performance. Englewood Cliffs, NJ: Prentice Hall.

Lombardo, M. M. (1986). Questions about learning from experience. Issues and Observations, 6(1), 7-10.

Longenecker, J. G. (1985). Management priorities and management ethics. Journal of Business Ethics, 4, 65-70.

Lynham, S. A. (1992). Toward effective, ethical and enduring leadership in a new South African era: Sustaining South African organisations through major changes and challenges. Unpublished master's thesis. The College of St. Catherine St. Paul, MN.

Lynham, S.A. (1998) The development and evaluation of a model of responsible leadership for performance: Beginning the journey. Human Resource Development International, 1(2), 207-220.

Lynham, S. A. (2000a). Leadership development: A review of the theory and literature. In K. P. Kuchinke (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 285-292). Baton Rouge, LA: AHRD.

Lynham, S. A. (2000b). The role of theory building in the HRD profession. Human Resource Development Quarterly 11(2), 159-178.

Luttwak, E. N. (1976). The grand strategy of the Roman empire. Baltimore, MD: John Hopkins University Press.

Mager, R. F., & Piper, P. (1984). Analyzing performance problems (2^{nd} ed.). Belmont, CA: Lake Publishing Company.

Marshall, E. M. (1995). Transforming the way we work: The power of the collaborative workplace. New York: AMACOM.

Marsick, V.J. (1990a). Altering the paradigm for theory building and research in human resource development. Human Resource Development Quarterly, 1(1), 5-24.

Marsick, V.J. (1990b). Responding to professor Passmore's response. Human Resource Development Quarterly, 1(1), 29-34.

McCall, M. W., Lombardo, M. M., & Morrison, A. M. (1988). Lessons of experience. Greensboro, NC: Center for Creative Leadership.

McCauley, C. D., Moxley, R. S., & Van Velsor, E. (Eds.) (1998). Handbook of leadership development. San Francisco: Jossey-Bass.

McHargue, S. K. (2000). Nonprofit learning organizations: Issues for human resource development. In K. P. Kuchinke (Ed.), Academy of Human Resource Development Conference Proceedings (pp. 62-69). Baton Rouge, LA: AHRD.

McLagan, P. A. (1989a). Pushing the frontiers of systems thinking. In D. B. Gradous (Ed.), Systems theory applied to Human Resource Development: Theory-to-Practice monograph (pp. 61-82). Alexandria, VA: ASTD.

McLagan, P. A. (1989b, September). Models for HRD practice. Training and Development, 49-59.

McLagan, P., & Nel, C.(1995). The age of participation: new governance for the workplace and the world. San Francisco: Berrett-Koehler.

McLean, G. N. (1995). 360 degree feedback evaluation: new data, new insights. In E. F. Holton III (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 4-4). Austin, TX: AHRD.

Meindl, J. R., & Ehrlich, S. B. (1987). The romance of leadership and the evaluation of organizational performance. Academy of Management Journal, 30(1), 91-109.

Melrose, K. (1995). Making the grass greener: A CEO's journey to leading by serving. San Francisco: Berrett-Koehler.

Mezirow, J. (1981). A critical theory of adult education. Adult Education, 32(1), 3-27.

Micklethwait, J., & Wooldridge, A. (1996). The witch doctors: Making sense of the management gurus. New York: Times Books.

Milgrom, P. , & Roberts, J. (1992). Economics, organization and management. Englewood Cliffs, NJ: Prentice Hall.

Mintzberg, H. (1987, July-August). Crafting strategy. Harvard Business Review, 66-75.

Mintzberg, H. (1994a). The rise and fall of strategic planning: Reconceiving roles for planning, plans, and planners. New York: Free Press.

Mintzberg, H. (1994b, January-February). The rise and fall of strategic planning. Harvard Business Review, 107-114.

Morgan, G. (1997). Images of organization. Thousand Oaks, CA: Sage.

Morgeson, F. P., & Hofmann, D. A. (1999). The structure and function of collective constructs: Implications for multilevel research and theory development. Academy of Management Review, 24(2), 249-265.

Morrison, A. M. (1994). Diversity and leadership development. In J. Renesch (Ed.), Leadership in a new era: Visionary approaches to the biggest crisis of our time (pp. 53-68). San Francisco: New Leaders.

Moss Kanter, R. (1996). World class: Thriving locally in the global economy. New York: Simon & Schuster.

Mott, V.J. (1996). Knowledge comes from practice: Reflective theory building in practice. In R. Rowden (Ed.), Workplace learning: Debating five critical questions of theory and practice. New directions for Adult and Continuing Education, No. 72 (pp. 57-63). San Francisco: Jossey-Bass.

Mott, V.W. (1998). Professionalization and reflective theory building in HRD. In Torraco, R.J. (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 671-676). Baton Rouge, LA: AHRD.

Nadler, D. A., & Tushman, M. L. (1989). A model for diagnosing organizational behavior: Applying a congruence perspective. In D. A. Nadler, M. L. Tushman & C. O'Reilly (Eds.), The Management of organizations: strategies, tactics, analyses (pp. 91-106). Burr Ridge, IL: Irwin.

Nanus, B. (1992). Visionary leadership: creating a compelling sense of direction for your organization. San Francisco: Jossey-Bass.

Nanus, B. (1996). Leading the way to organizational renewal. Portland, OR: Productivity Press.

Northouse, P. G. (1997). Leadership: Theory and practice. Thousand Oaks, CA: Sage.

Osburn, J. D., Moran, L., Musselwhite, E., & Zenger, J. H. (1990). Self-directed work teams: The new American challenge. Humewood, IL: Business One Irwin.

Paige, R. M. (1998). Cross-cultural perspectives on leadership. Workbook for EdPA 5128. The University of Minnesota, Minneapolis, MN.

Palich, L. E., & Hom, P. W. (1992). The impact of leader power and behavior on leadership perceptions. Group and Organizational Management, 17(3), 279-296.

Passmore, D.L. (1990). Invited reaction: Pick a paradigm, any paradigm. Human Resource Development Quarterly, 1(1), 25-28.

Passmore, D. L. (1997). Ways of seeing: Disciplinary bases of research in HRD. In R. A. Swanson & E. F. Holton III (Eds.), Human Resource Development research handbook: Linking research and practice (pp. 199-214). San Francisco: Berrett-Koehler.

Patterson, C.H. (1986). Theories of counseling and psychotherapy (4th ed.). San Francisco: Harper & Row.

Petty, M. M., McGee, G. W., & Cavender, J. W. (1984). A meta-analysis of the relationships between individual job satisfaction and individual performance. Academy of Management Review, 9(4), 712-721.

Perreault, G. (1997). Ethical followers: A Link to ethical leadership. The Journal of Leadership Studies, 4(1), 78-89.

Pfeffer, J. (1994). Competitive advantage through people: Unleashing the power of the work force. Boston, MA: Harvard Business School.

Porter, M. (1980). Competitive strategy: techniques for analyzing industries and competitors. New York: MacMillan.

Posner, B., & Kouzes, J. (1996). Ten lessons for leaders and leadership developers. The Journal of Leadership Studies, 3(3), 3-10.

Preskill, H., & Russ-Eft, D. (2000). A systems model for evaluating learning and performance. In K. P. Kuchinke (Ed.), Academy of Human Resource Development Conference Proceedings (pp. 126-133). Baton Rouge, LA: AHRD.

Provo, J. (2000). Human capital measurement. In K. P. Kuchinke (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 318-325). Baton Rouge, LA: AHRD.

Pruzan, P., & Thyssen, O. (1990). Conflict and consensus: ethics as a shared value horizon for strategic planning. Human Systems Management, 9(3), 135-151.

Redding, J, & Catalanello, R. F. (1992, May-August). The fourth iteration: The learning organization as a model of strategic change. Thresholds in Education, 47-53.

Reynolds, P.D. (1971). A primer in theory construction. New York: MacMillan.

Rice, B. (1988). Work or perk? Psychology Today, 22(11), 26, 28-29.

Rohs, F. R., & Langone, C. A. (1997). Increased accuracy in measuring leadership impacts. The Journal of Leadership Studies, 4(1), 150-158.

Root, M. (1993). Philosophy of social science. Massachusetts: Basil-Blackwell.

Rothwell, W. J., Sullivan, R., & McLean, G. (1995). Practicing organization development: A guide for consultants. San Diego, CA: Pfeiffer.

Rotemberg, J. J., & Saloner, G. (1993). Leadership style and incentives. Management Science, 39(11), 1299-1318.

Rummler, G. A., & Brache, A. P. (1995). Improving performance: How to manage the white space on the organization chart (2nd ed.). San Francisco: Jossey-Bass.

Ruona, W. E. A. (1998). Systems theory as a foundation of HRD. In R. J. Torraco (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 888-896). Baton Rouge, LA: AHRD.

Ruona, W. E. A. (2000). Should we define the profession? Views of leading scholars. In K. P. Kuchunke (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 188-195). Baton Rouge, LA: AHRD.

Ruona, W. E. A & Lyford-Nojima, E. (1997). Performance Diagnosis Matrix. Performance Improvement Quarterly, 10(4), 89-118.

Ruona, W. E. A., & Lynham, S. A. (1999). Towards a philosophical framework for thought and practice. In K. P. Kuchinke (Ed.), The Academy of Human resource Development 1999 Conference Proceedings (pp. 209-215). Baton Rouge, LA: AHRD.

Rummler, G. A., & Brache, A. P. (1995). Improving performance: How to manage the white space on the organization chart (2nd ed.). San Francisco, CA: Jossey-Bass.

Russ-Eft, D., Preskill, H., & Sleezer, C. M. (1997). Human resource development review: Research and implications. Thousand Oaks, CA: Sage.

Sankowsky, D. (1995, Spring). The charismatic leader as narcissist: Understanding the abuse of power. Organizational Dynamics, 57-71.

Scandura, T. A., & Schriesheim, C. A. (1994). Leader-member exchange and supervisor career mentoring as complementary constructs in leadership research. Academy of Management Journal, 37(6), 1588-1602.

Schriesheim, C. A. & Neider, L. L. (1989). Leadership theory and development: The coming of a new phase. Leadership and Organization Journal, 10(6), 17-26.

Schultz, L., & Parker, B. (1988). Visioning for the future. In G. Mclean & S. DeVogel (Eds.), The Role of Organization Development in Quality Management and Productivity Improvement: Theory-to-Practice Monograph (pp. 47-67). Alexandria, VA: ASTD.

Schwartz, P. (1991). The art of the long view: Planning for the future in an uncertain world. New York: Doubleday.

Semler, S. W. (1997). Systematic agreement: a theory of organizational alignment. Human Resource Development Quarterly, 8(1), 23-40.

Semler, S. W. (1998). Strategic alignment and performance. In R. J. Torraco (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 161-168). Baton Rouge, LA: AHRD.

Semler, S. W. (1999). Operationalizing alignment: Testing alignment theory. In K, P. Kuchinke (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 401-407). Baton Rouge, LA: AHRD.

Senge, P. M., Roberts, C., Ross, R. B., Smith, B.J., & Kleiner, A. (1994) The fifth discipline fieldbook: Strategies and tools for building a learning organization. New York: Currency Doubleday.

Shapiro, G. (personal communication, April, 1992).

Shepard, I. S., Farmer, R. F., & Counts, G. E. (1997). Leadership definitions and theorists: Do practitioners and professors agree? The Journal of Leadership Studies, 4(1), 26-45.

Shindell, T. (1999). The need for theoretical model building in HRD. In P.K. Kuchinke (Ed.), Proceedings of The Academy of Human Resource Development Annual Conference (pp. 217-220). Baton Rouge, LA: Academy of Human Resource Development.

Skinner, B. F. (1968). The technology of teaching. New York: Appleton-Century-Crofts.

Sleezer, C. M. (1991). Developing and validating the performance analysis for training model. Human Resource Development Quarterly, 2(4), 355-372.

Sleezer, C. M., & Swanson, R. A. (1992). Culture surveys. Management Decision, 30(2), 22-29.

Soukhanov, A. H. et al. (Ed). (1994). Webster's II new riverside university dictionary. Boston, MA: The Riverside Publishing Company.

Soukhanov, A. H. et al. (Ed.). (1992). The american heritage dictionary (3rd ed.). New York: Houghton Mifflin.

Stake, R.E. (1994). Case studies. In N.K. Denzin & Y.S. Lincoln (Eds.), Handbook of Qualitative Research (pp. 236-247). Thousand Oaks, CA: Sage.

Strauss, A., & Corbin, J. (1998). Basics of qualitative research: Grounded theory procedures and techniques (2nd ed.). Thousand Oaks, CA. Sage.

Strauss, A., & Corbin, J. (1990). Basics of qualitative research: Grounded theory procedures and techniques. Thousand Oaks, CA. Sage.

Swanson, R.A. (1988). Research and development (and other life and death matters). Performance Improvement Quarterly 1(1), 69-82.

Swanson. R. A. (1994). Analysis for improving performance: Tools for diagnosing organizations and documenting workplace expertise. San Francisco: Berrett-Koehler.

Swanson, R. A. (1995a). Making the case for performance. In E. F. Holton, III (Ed.), The Academy of Human Resource Development Annual Conference Proceedings. Baton Rouge, LA: AHRD.

Swanson, R. A. (1995b). Performance is the key. Human Resource Development Quarterly, 6, 207-213.

Swanson. R.A. (1996). What I learned this year. St. Paul: University of Minnesota Human Resource Development Research Center.

Swanson, R. A. (1997). HRD research: Don't go to work without it! In R. A. Swanson, & E. F. Holton III (Eds.), Human Resource Development research handbook: Linking lesearch and practice (pp. 3-20). San Francisco: Berrett-Koehler.

Swanson, R. A. (1998). Identification, training, and certification of expertise required for core business processes. In R. J. Torraco (Ed.), The Academy of Human Resource Development Conference Proceedings (317-324). Baton Rouge, LA: AHRD.

Swanson, R. A. (1999). The foundations of performance improvement and implications for practice. In R. J. Torraco (Ed.), Performance improvement: Theory and

practice (pp. 1-45). Advances in Developing Human Resources, 1. San Francisco: Berret-Koehler.

Swanson, R. A. (2000). Strategic roles of human resource development in the new millenia. In P. K. Kuchinke (Ed.), The Academy of Human resource Development Conference Proceedings (pp. 196-204) . Baton Rouge, LA: AHRD.

Swanson, R. A., & Arnold, D. E. (1997). The purpose of HRD is to improve performance. In R. Rowden (Ed.), Workplace Learning: Debating five critical questions of theory and practice (pp. 13-19). San Francisco: Berrett-Koehler.

Swanson, R. A., & Holton, E. F. III. (1998, Spring). Developing and maintaining core expertise in the midst of change. National Productivity Review, 29-38.

Swanson, R. A., & Holton E. F. III. (1999). Results: How to assess performance, learning, and perceptions in organizations. San Francisco: Berrett-Koehler.

Swanson, R. A., Horton, G. R., & Kelly, V. (1996). Exploitation: One view of industry and business. Journal of Industrial Teacher Education, 25(1), 12-22.

Swanson, R. A., Ruona, W. E. A., Lynham, S. A., & Provo, J. (1998). Human resource development's role in supporting and shaping strategic organizational planning. In R. J. Torraco (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 589-594). Baton Rouge, LA: AHRD.

Swanson, R. A., Lynham, S. A., Ruona, W. E. A., & Torraco, R. J. (2000). Theory building research in HRD--Pushing the envelope. In K. P. Kuchinke (Ed.), The Academy of Human Resource Development Conference Proceedings (196-204). Baton Rouge, LA: AHRD.

Swanson, R. A., & Torraco, R. A. (1995). The strategic roles of human resource development. Human Resource Planning, 18(4), 10-21.

Tannenbaum, R. & Schmidt, W. H. (1973, May-June). How to choose a leadership pattern. Harvard Business Review, 3-11.

Tennyson, W. W., & Strom, S. M. (1986, January). Beyond professional standards: Developing responsibleness. Journal of Counseling and Development, 64, 298-302.

Terry, R. W. (1993). Authentic leadership. San Francisco, CA: Jossey-Bass.

Thomas, A., Wells, M., & Willard, J. (1992. A novel approach to developing managers and their teams: BPX uses upward feedback. Management Education and Development, 23(1), 30-32.

Thomas, G. (1997). What's the use of theory? Harvard Educational Review 67(1), 75-104.

Thurow, L. C. (1996). The future of capitalism. New York: William Morrow.

Tichy, N. M. (1983). Managing strategic change: Technical, political and cultural dynamics. New York: John Wiley & Sons.

Tichy, N. M. (1997). The leadership engine: How winning companies build leaders at every level. New York: Harper Business.

Tichy, N. M., & Ulrich, D. O. (1984, Fall). SMR forum: The leadership challenge-A call for the transformational leader. Sloan Management Review, 59-68.

Tjosvold, D., & Andrews, R. (1983). Cooperative and competitive relationships between leaders and subordinates. Human Relations, 36(12), 1111-1124.

Topp, W. (personal communication, March 1998).

Torraco, R. J. (1994). The development and validation of a theory of work analysis. St. Paul, MN: Human Resource Development Research Center, University of Minnesota.

Torraco, R.J. (1997). Theory-building research methods. In R.A. Swanson & E.F. Holton III (Eds.), Human resource development handbook: Linking research and practice (pp. 114-137). San Francisco: Berrett-Koehler.

Torraco, R. J. (1998). Economics-Human capital theory and human resource development. In E. F. Holton III (Ed.), The Academy of Human Resource Development Proceedings (pp. 34-3). Baton Rouge, LA: AHRD.

Torraco, R. J. (Ed). (1999). Performance improvement: Theory and practice. Advances in Developing Human Resources, 1.

Torraco, R. J. (2000). A theory of knowledge management. In R. W. Herling & J. Provo (Eds.), Strategic perspectives on knowledge, competence, and expertise. Advances in Developing Human Resources, 5, 38-62.

Tosti, D. T., & Jackson, S. F. (1997). The organizational scan, performance levers, and alignment. In P. J. Dean & D. E. Ripley (Eds.), Performance improvement pathfinders: Models for organizational learning systems (pp. 124-141). Washington, DC: ISPI.

Ulrich, D. (1998, January-February). A new mandate for human resources. Harvard Business Review, 124-134.

Ulrich, D., Zenger, J, & Smallwood, N. (1999). Results-based leadership: How leaders build the business and improve the bottom line. Boston, MA: Harvard Business School.

Urmson, J. O. (1988). Aristotle's ethics. Oxford, UK: Blackwell Publishers.

Vaill, P. B. (1998). Spirited leading and learning: Process wisdom for a new age. San Francisco: Jossey-Bass.

Van de Ven, A.H. (1989). Nothing is quite so practical as a good theory. The Academy of Management Review, 14(4), 486-489.

Van der Heijden, K. (1996). Scenarios: The art of strategic conversation. New York: John Wiley & Sons.

Van der Merwe, L. (1996). Strategic business thinking and practice. Unpublished workshop material. Johannesburg, South Africa: Centre for Innovative Leadership

Van der Merwe, L. (personal communication, 2000).

Van Gigch, J. P. (1991). The importance of metaethics. Human Systems Management, 10(4), 281-286.

Van Manen, M. (1990). Researching lived experience: Human science for an action sensitive pedagogy. New York: State University of New York.

Von Bertalanffy, L. (1968). General systems theory: Foundations, development, application. New York: George Braziller.

Vroom, V. H. (1975). Leadership revisited. In B. M. Staw (Ed.), Psychological Foundations of Organizational Behavior (pp. 261-270). Glenview, IL: Scott, Foresman, and Company.

Vroom, V. H., & Yetton, P. W. (1973). Leadership and decision-making. Pittsburgh, PA: University of Pittsburgh.

Wallace, D. (1985, January-February). John Le Carre: The dark side of organizations. Harvard Business Review, 6-12.

Watkins, K. E., & Marsick, V. J. (1993). Sculpting the learning organization: Lessons in the art and science of systemic change. San Francisco, CA: Jossey-Bass.

Watkins, K. E., & Marsick, V. J. (1995). The case for learning. In E. F. Holton, III (Ed.), The Academy of Human Resource Development Annual Conference Proceedings (pp. 1-1). Baton Rouge, LA: AHRD.

Watkins, K. E., & Marsick, V. J. (2000). Shaping a learning vision: Life histories of learning leaders and facilitators. In K. P. Kuchinke (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 205-212). Baton Rouge, LA: AHRD.

Weinberger, L. A. (1998). Commonly held theories of human resource development. Human Resource Development International, 1, 75-93.

West, J. (1997). Managing performance in the white spaces. In P. J. Dean & D. E. Ripley (Eds.), Performance improvement pathfinders: Models for organizational learning systems, pp. 108-123. Washington, DC: ISPI.

Wheatley, M. J. (1992). Leadership and the new science: learning about organization from an orderly view. San Francisco: Berrett-Koehler.

Whetten, D.A. (1989). What constitutes a theoretical contribution? The Academy of Management Review, 14(4), 490-495.

White Newman, J. B. (1993). The three E's of leadership: a model and metaphor for effective, ethical and enduring leadership. Unpublished manuscript. The College of St. Catherine, St. Paul, MN.

Williams, A. S. (1981). Training rural citizens: An evaluation of a leadership training program. Journal of the Community Development Society, 12 (1), 63-82.

Willis, V. J. (1997). HRD as evolutionary system: From pyramid-building to space-walking and beyond. In R. J. Torraco (Ed.), The Academy of Human Resource Development Conference Proceedings (pp. 660-667). Baton Rouge, LA: AHRD.

Wimbiscus, J. J., Jr. (1995). A classification and description of human resource development scholars. Human Resource development Quarterly, 6, 5-34.

Wren, T. J. (1995). Leader's companion. New York: The Free Press.

Yukl, G. (1989). Managerial leadership: A review of theory and research. Journal of Management, 15, 251-289.

Yukl, G., & van Fleet, D. D. (1992). Theory and research on leadership in organizations. In M. D. Dunnette & L. M. Hough (Eds.), Handbook of industrial and organizational psychology, Vol. 3, (pp. 147-197). Palo Alto, CA: Consulting Psychologists.

Zaleznick, A. (1992, March-April). Managers and leaders: Are they different? Harvard Business Review, 126-135.

APPENDIX
AN OVERVIEW OF "A THEORY OF RESPONSIBLE LEADERSHIP FOR PERFORMANCE"

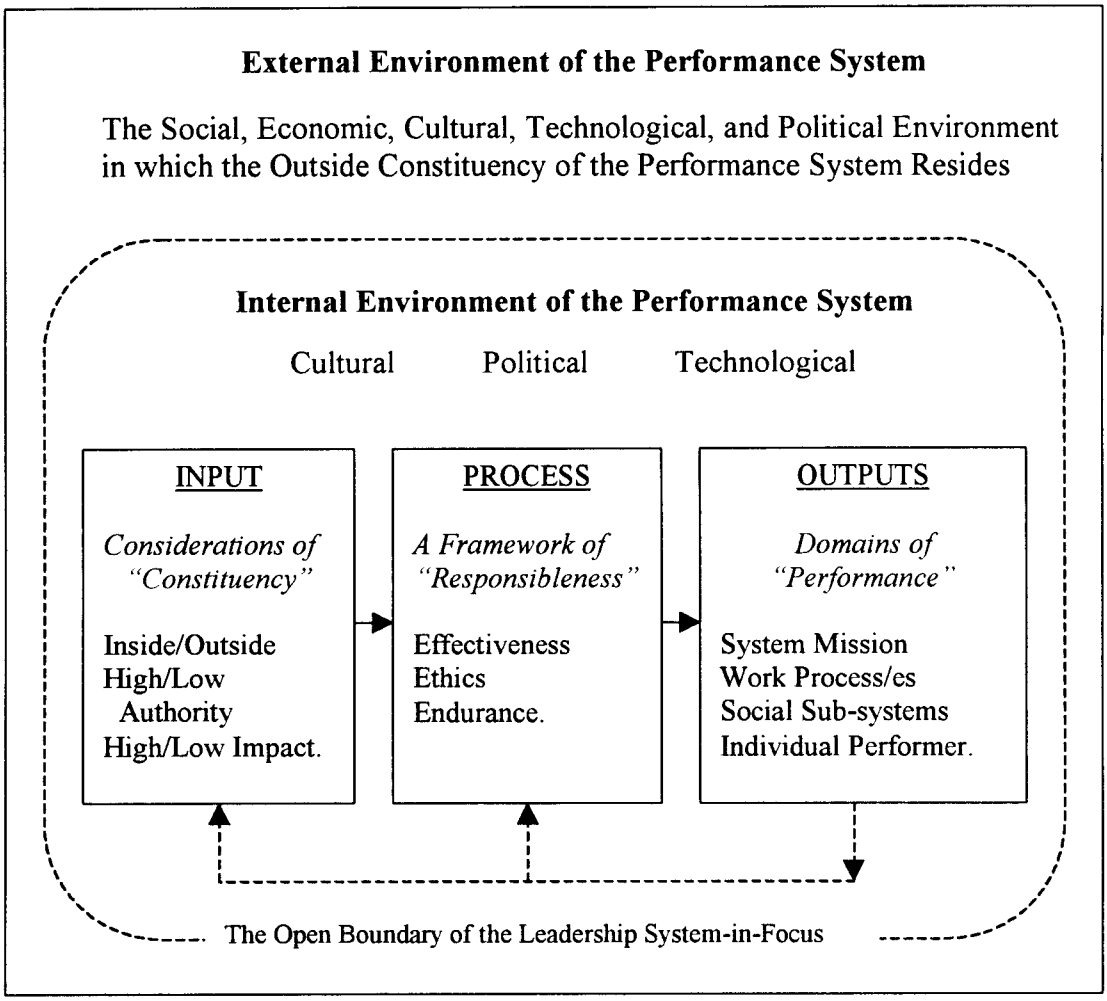
"A Theory of Responsible Leadership for Performance (RLP)" is a general theory of leadership that addresses the nature and challenges of leadership that is both responsible *and* focused on performance. Two core premises govern The Theory. The first premise is that leadership is itself a system consisting of purposeful, integrated inputs, processes, outputs, feedback and boundaries. The second premise is that leadership takes place within a performance system, that is, a system of joint, co-ordinated and purposeful action. It is the purpose and nature of the performance system that must govern, direct and determine the purpose and nature of leadership, not vice versa. Leadership can therefore be spoken and thought of as a system of interacting inputs, processes, outputs, and feedback that derive meaning, direction and purpose from the larger performance system within which that leadership occurs. From this perspective, *leadership* is defined as: *a system of interacting inputs, outputs and feedback whereby individuals and/or groups influence and/or act on behalf of specific individuals or groups of individuals to achieve shared goals and commonly desired performance outcomes.*

"A Theory of RLP" can best be described in two parts. The first is described by the theoretical components that interact to make up the theoretical framework of The Theory. The second is best described by the potential knowledge claims and empirical indicators that can be derived from the theory. Each of these two parts of The Theory is presented and discussed briefly.

THE THEORETICAL FRAMEWORK OF "A THEORY OF RESPONSIBLE LEADERSHIP FOR PERFORMANCE"

The theoretical framework of a theory is derived from four theoretical components, namely, the elements or units that constitute the variables of the theory, the laws of interaction that govern the relationships among the units, the boundaries that determine the domain over which the theory is expected to apply, and the system states that influence the values of the interacting units (see Dubin, 1978). The theoretical framework of a theory therefore represents a model of the phenomenon of the theory in the real world. The theoretical framework of "A Theory of Responsible Leadership for Performance" (RLP) is presented in Figure A1 following.

Figure A1. The Theoretical Framework of "A Theory of Responsible Leadership for Performance"



Three core elements, also known as units, interact in a systemic way to form the inputs, process, and outputs of the leadership system-in-focus. The three units of The Theory are:

- considerations of constituency (the inputs),
- a framework of responsibleness (the process/es), and
- domains of performance (the outputs).

Each core unit can be further distinguished by conceptual dimensions. *Considerations of constituency* are distinguished by three conceptual dimensions, namely: whether that constituency resides (a) inside or outside the performance system; (b) whether that constituency has high or low authority over the performance system; and (c) whether that constituency has the potential for high or low impact on the performance system. A *framework of responsibleness* is made up of three conceptual dimensions: (a) effective practices of leadership; (b) ethical habits of leadership; and (c) the application of

enduring resources by leadership. The third unit, *domains of performance*, consists of four conceptual dimensions, namely, (a) the system mission, (b) the work process/es, (c) the social sub-systems, and (d) the individual performer.

The three units interact in a systemic way to form the theoretical framework of The Theory. Four laws of interaction govern and make explicit the relationship among these units. These are as follows:

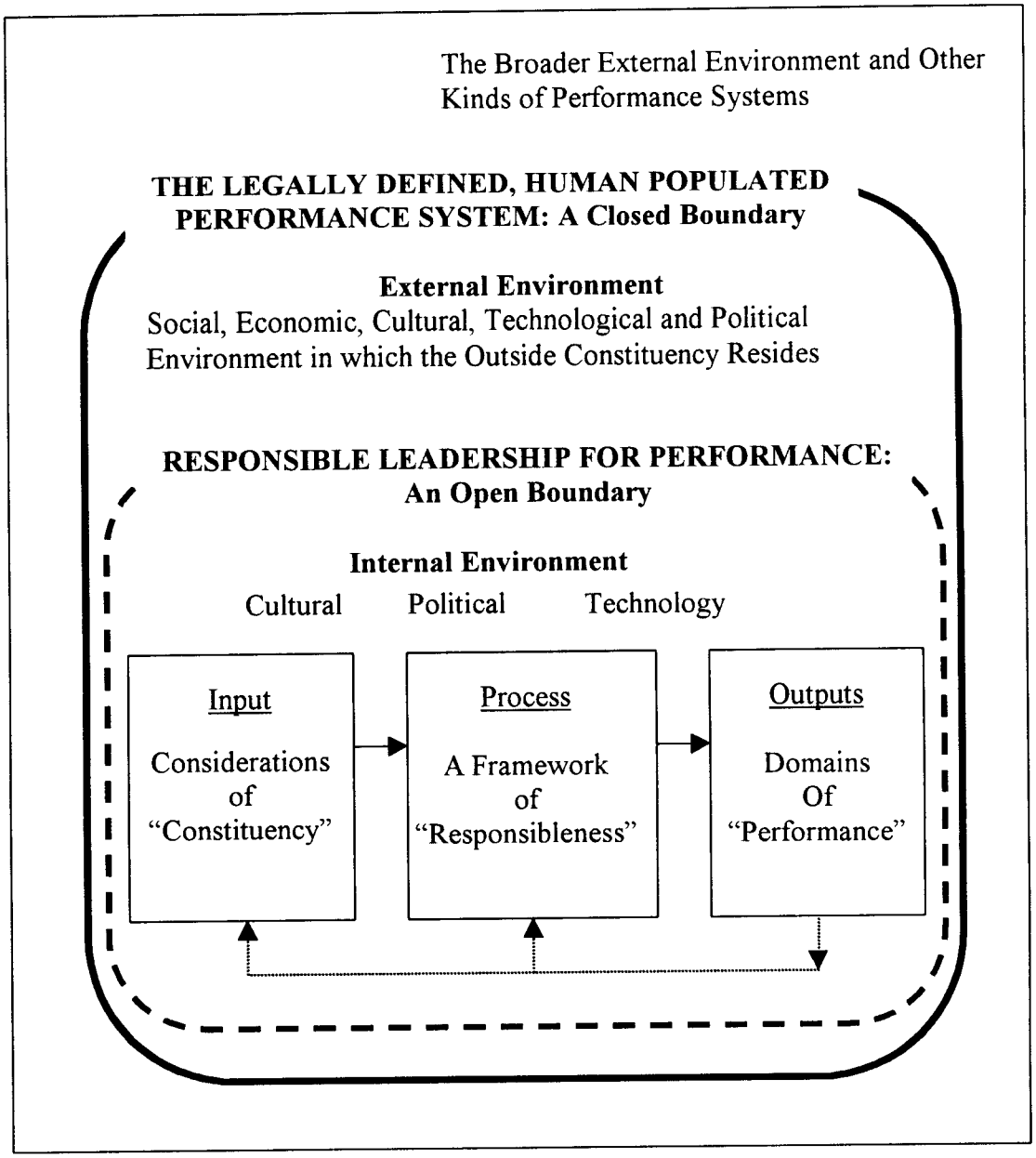
1. All three units of The Theory, namely; *considerations of constituency*, a *framework of responsibleness*, and *domains of performance*; are associated with and required for RLP.
2. Each unit of The Theory, namely; *considerations of constituency*, a *framework of responsibleness*, and *domains of performance*; interrelates with each other unit of The Theory.
3. *Considerations of constituency* precede *a framework of responsibleness* and *domains of performance* in "A Theory of RLP."
4. The units of "A Theory of RLP" can be thought of in terms of inputs, process and outputs; where the unit of *considerations of constituency* forms the input, the unit a *framework of responsibleness* forms the process, and the units *domains of performance* forms the output of The Theory.

The theoretical domain over which The Theory is expected to apply is bounded in two ways, first by a closed boundary, and second by an open boundary. The first and closed boundary of The Theory separates that part of the real world in which The Theory is expected to hold up from that part of the real world in which The Theory is not expected to apply and which is beyond the scope of The Theory. The first boundary has two components: that of the environment external to the performance system which does not include the constituency of the performance system, and that of a legally defined, human populated performance system. It will be recalled that leadership, in "A Theory of RLP" is described as a system-in-focus, which means that the system of leadership occurs within and to serve the purpose and goals of a performance system. The external environment that includes the constituency of the performance system is expected to fall within the domain of The Theory. The environment external to the performance system, which does not include constituency of the performance system, is considered beyond the scope of The Theory. Furthermore, there are numerous types of performance systems, for example, organizations, churches, governments and schools, each of which have a legal status and can be legally defined. There are, however, numerous types of performance systems which are not legally defined and are more of an informal or causal nature, for example, book clubs and casual gatherings of people albeit for a common goal and purpose. "A Theory of RLP" does apply to legally defined and acknowledged organizations. It does not apply to organizations that are not legally defined and which are of a more casual and informal in nature. Furthermore, the "Theory" is expected to apply to legally defined performance systems that are populated by and serve the needs of human beings. Any performance system that is not human populated is considered outside the domain of The Theory. Together, the units, laws showing the interaction

among the units, and the boundaries that govern the theoretical domain of The Theory can be shown diagrammatically (see Figure A2 following).

The fourth aspect of The Theory is that of the state of the theoretical system, also known as the system states of the theory. The system states indicate conditions under which the values of the units of the theory will change and are informed by the relationship among the units. "A Theory of RLP" has two system states, one of balance and one of unbalance. The leadership system-in-focus (RLP) is considered in a state of balance when all three units of The Theory are present and are arranged in an interacting system of inputs, process/es and outputs. Conversely, when all three units are not present and not interacting in a system of inputs, process/es and outputs the values of the units can be expected to change significantly and the theoretical system is considered in a state of unbalance.

Figure A2. The Interacting Units and Governing Boundaries of "A Theory of Responsible Leadership for Performance"



Together, the four theoretical components reflect the development of The Theory and constitute the content and knowledge encapsulated in "A Theory of RLP". The systemic model of these four interacting components is depicted in the theoretical framework of The Theory shown in Figure A1.

THE KNOWLEDGE CLAIMS AND EMPIRICAL INDICATORS OF "A THEORY OF RESPONSIBLE LEADERSHIP FOR PERFORMANCE"

Once a theoretical framework has been developed for a theory, that framework can be used to derive knowledge claims or truth statements about how the theory can be expected to operate in the real world. These knowledge claims are also known as propositions of a theory. Eight strategic propositions have been specified for "A Theory of Responsible Leadership for Performance" (RLP). They are:

1. Responsible Leadership for Performance is a theory of leadership as a system-in-focus. Leadership is a purposeful, focused system, not an individual or a process managed by an individual.
2. All systems have a purpose. The purpose of Responsible Leadership for Performance is to serve the needs and desired outcomes of the *constituency* of a performance system by positively impacting multiple domains of *performance* in a *responsible* (effective, ethical and enduring) manner.
3. The content of Responsible Leadership for Performance is derived from all three units of the theory—considerations of *constituency*, a framework of *responsibleness*, and domains of *performance*. If all three units are not present and interacting, then there is not Responsible Leadership for Performance.
4. For leadership to be considered *responsible*, it must demonstrate, and be judged to demonstrate, effectiveness, ethics and endurance. If one of these three attribute properties is missing from leadership, then that leadership is not responsible.
5. The units of the theory—*considerations of constituency*, a *framework of responsibleness*, and *domains of performance*—are interdependent. If there is change in one unit then it can be expected that there will be changes in the other two units.
6. As *responsibleness* (effectiveness, ethics and endurance) increases, performance of the whole performance system can be expected to increase.
7. *Constituency* is a necessary requirement for leadership. Without constituency there is no leadership.
8. Without guiding inputs from *constituency*, and outputs in the form of *performance*, the phenomenon of leadership collapses.

Informed by the above propositions, empirical indicators have been identified for The Theory. The empirical indicators are a necessary precursor to getting a theory ready for testing and to show how values and measures for the interacting units of The Theory will later be established by the testing of hypotheses through research. Three of the strategic propositions of The Theory were used to inform the empirical indicators identified for "A Theory of RLP." Together, these three propositions embodied the essences of The Theory, that is, the three units of The Theory--*constituency*, *responsibleness* and *performance*--and RLP as a leadership

system-in-focus. By identifying empirical indicators for the units and the whole RLP system reflected in these three position statements, values and possible measures for each of the three units and the leadership system-in-focus as a whole, could be identified. These values and measures could then be used for similar measure of the units and the RLP system employed in other propositions of The Theory.

Empirical indicators for the units of *responsibleness* and *performance* were informed by the sixth proposition statement of the theory, and are as follows:

Empirical Indicators for the unit of *Responsibleness*:	Part One: The value of *responsibleness* increases as measured by effectiveness, ethics and endurance, where... • *effectiveness* is measured by constituency perception of effective leadership practices (White Newman, 1993). • *ethics* is measured by constituency perception of ethical leadership habits (Posner & Kouzes, 1995; White Newman, 1993), and • *endurance* is measured by constituency perception of the employment of enduring resources (White Newman, 1993; Collins & Porras, 1994).
Empirical Indicators for the unit of *Performance*:	Part Two: The value of whole system *performance* increases as measured by mission-related, work process, social sub-system, and individual units of performance in terms of time, quality, quantity and alignment (Gibson, Ivancevich & Donnelly, 1994; Holton, 1999; Rummler & Brache, 1995; Swanson, 1996; Swanson & Holton, 1999).

Empirical indicators for the unit of *constituency* were informed by the seventh proposition statement of The Theory, and are as follows:

Empirical Indicators for the unit of *Constituency*:	The level of participation of the *constituency* as measured by the channels (formal and informal) through which constituency needs are used as inputs to, and evaluation of, the leadership system-in-focus (Beauchamp & Bowie, 1997; Frooman, 1999; Kelley, 1992; Bennis, Parikh and Lessem, 1994; Ulrich, Zenger & Smallwood, 1999).

Finally, empirical indicators for RLP as a leadership system-in-focus were informed by the first proposition statement of The Theory, and are as follows:

Empirical Indicators for the leadership *system-in-focus*:	The value of leadership as a system-in-focus as measured by the shared mental model of what makes for good leadership in the performance system, established through interviews with, and feedback from, constituency (Katz & Kahn, 1978; Senge, 1990; Senge, Roberts, Kleiner, et al, 1994; Van der Heijden, 1996).

The theoretical framework together with the specification and identification of propositions and empirical indicators represent the development and partial validation of "A Theory of RLP." Informed by existing literature on leadership, performance improvement in Human Resource Development and theory and theory building research in HRD, this theory of leadership can now be tested through research designed to prove the adequacy and improve The Theory. Results obtained from further research will then be used to continually refine The Theory.