An Exploration of the Core Dynamics of Business Leadership Through the Metaphor of Equine Herd Leadership.

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Dedication

This thesis is dedicated to the many lecturers at Edinburgh Napier University who gave me new insights into research that enabled me to explore two of my passions in life, the natural world and the business world. For their generosity in sharing their time, ideas and experiences of leadership with me, I thank all my interviewees. I thank my formal supervisors and external mentor for providing guidance, insight and encouragement and my examiners for adding valuable refinements.

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Abstract

This cross-disciplinary qualitative research identifies the hidden dynamics, mechanisms and structures forming the core process of leadership, employing an equine-herd metaphor to exclude the complexities generated by the workplace environment. To determine the equine metaphor's suitability, the research commenced with a literature review of accepted academic leadership and followership theories for humans and animals. Thereafter, this original research employed a qualitative methodology of twenty-six semi-structured interviews, eliciting peoples' experiences and interpretations of workplace leadership, and in parallel, equine specialists' observations and interpretations of equine leadership. Over forty hours of interviewing, reflects a combined total of over five hundred year's workplace experience and over three hundred years of equestrian experience.

Employing a phenomenological approach, these observations and reflections are interpreted through code and theme based template analysis of the interview transcripts. The 'raw' interview tape-recordings are then analysed by identifying notable expressions, emotions and emphasis, to identify underlying stories. These emergent stories and template data are subsequently 're-storied' as two separate narratives for human leadership and equine leadership, providing a vehicle for comparing and contrasting the leadership process interviewees described. The resultant information was viewed through the lens of critical realism, to seek the underlying dynamics, mechanisms and structures driving the leadership:followership process.

The contribution to practice is a new understanding of how the leadership process actually works. Furthermore, striking similarities between human and animal leadership processes introduce the possibility of parallel evolution of leadership in equines, humans and many other socially-grouping species. The results also suggest that organisations led by one individual, (appointed outwith their team), followed by an essentially linear subordinate hierarchy is an un-natural leadership process and potentially flawed.

Far from leadership being something leaders do to followers, this research suggests that leading is something followers permit and empower leaders to do.

Simplified, the process identified in natural leadership is as follows:

1) A confident, experienced socially-dominant individual has a vision or need and decides to take action.
2) They become a leader only when a quorum of other socially-dominant individuals choose to follow them.
3) When the quorum of social dominants start to follow, it triggers consensus focussed decision-making by the remaining team.

The process is effectively 'team appointed' leaders being 'primus inter pares' (first amongst equals in the socially dominant group) with the strongest dynamic being *the choice to follow* not the choice to lead. This dynamic operates within a non-linear social structure, based on a mechanism of dyadic relationships, to form the leadership process that delivers effective leadership outcomes.

This research, combined with previous scientific studies also overturns the myth that aggression-based 'alpha-male' dominance drives leadership in nature - in fact it normally represents crisis leadership, or dysfuctional behaviour more typically observed in captivity. It generates dysfunctional behaviours potentially detrimental to team performance - in humans, generating negative business outcomes.

This cross-disciplinary research brings together the business and scientific worlds to provide new insights into leadership and, in defining the core process, provides a contextual framework to enhance understanding of existing leadership theories and assist organisations in reviewing and improving their leadership processes.

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1. Introduction

The research subject arose from the researcher's informal observations and personal experience of leadership, in both the business environment and in horse training. The behavioural patterns observed suggested the potential of horse-herd behaviour as a metaphor for human leadership that could be explored to define the core process of leadership. By defining the essential elements of the process, the aim is to offer a better understanding of the leader:follower relationship than the complexity of existing and sometimes contradictory theories and models currently offer the practitioner.

Stogdill (1963, in Jago 1982:315) is quoted as saying that, 'There are almost as many definitions of leadership as there are persons who have attempted to define the concept.' Jago (1982:315) adds that after '...thousands of empirical investigations of leaders ...no clear and unequivocal understanding exists as to what distinguishes leaders from non leaders ...effective leaders from ineffective leaders.' With over 130,000 leadership theories and around 65 classification systems, (Fleishman, in Northouse 2007), how can busy practitioners make sense of the many, sometimes competing, theories? Accordingly this research aims to reduce this complexity to identify the core leadership:followership dynamics, and the mechanisms and structures through which they operate - exploring and illustrating them through the metaphor of a horse-herd, to make good leadership practice more understandable and deliverable.

For this research, these elements, (often interchanged in practice), are defined as follows (Fig.1). In very simplistic terms, the 'mechanisms' represent the relationships of a group of individuals working together to form an entity. The 'structure' is that entity and framework[s] within it, and the 'dynamics' are the forces that cause the entity to move or change - the motive forces, all combining to create the overall 'process'. The metaphor provides an 'illustrative device' (Alvesson and Spicer 2011:35), a prism through which to explore these complex constructs.

	Definition*	Examples in the context of this research
Mechanism	'a system of mutually adapted parts working together in or as a machine'	Relationships Horse-herd cohesion Social dominance Business processes Consensus Fear-driven flight response in horses
Structure	'a set of interconnecting parts of any complex thing; a framework'	Hierarchy Organisational structure Business organisation Herd Business network
Dynamic	'the motive forces, physical or moral, affecting change and behaviour in any sphere'	Competitive pressure Competition for assets Strategic change Decision making Fear, thirst Desire for success
Process	'Course of actions or proceeding, esp [sic] a series of stages in manufacture or some other operation, a natural or involuntary operation or series of changes'	The structures, mechanisms and ultimately the **dynamics** combining to form the operation of leadership [note: the dynamics within leadership can technically be (sub) processes in their own right].
*Source: The Concise Oxford Dictionary of Current English		

Fig. 1 Defining the terminology of processes

The appeal of metaphor lies in its strength for aiding understanding of a target concept (human leadership) through the knowledge or description of a source concept (herd leadership), which is achieved through a 'set of systematic correspondences... [or] mappings', Kovecses (2002:6). Correspondences are 'constituent conceptual elements', in this case, the behaviours or behavioural patterns exhibited and the results thereof. Kovecses argues that metaphors typically offer a more concrete or physical concept to define a more abstract target concept. Alvesson and Spicer (2011:39) argue that applying metaphors to leadership '...encourage[s] the exploration and expansion of use of vocabularies and associated meanings', and that through the introduction and semantic dissecting of metaphors, '...new ideas and possibilities emerge.'

In horses, we can observe relatively simple authentic behaviours in a natural setting that result in clear responses, without the complexity that human personalities and varied business environments may create. Kovecses (2002:17) regards animals as, 'an extremely productive source domain [for metaphor].' Arnold Arluke (2003:27), writing on ethnozoology (the study of human and animal interaction) as a source for sociology argues that, 'Animals also represent one of the richest windows for understanding ourselves... How we think and act toward them may reveal our most essential conceptions of the social order and unmask our most authentic attitudes to humans.' So equine herds, as a metaphor for humans, provide a lens through which to derive a more meaningful understanding of the leadership:followership dynamic to employ in business.

To facilitate a comparison of the dynamics of equine and human leadership, required first identifying established human-leadership theories and scientifically based observations of equines through a literature review. This informed the subsequent phenomenological qualitative research and confirmed the suitability of equine leadership for application in the proposed metaphor and for the comparative investigations.

The research aims, are therefore:

- To seek a deeper and more meaningful understanding of the dynamics of the leadership process for application in the business environment.
- To explore these dynamics through the prism of an equine metaphor, seeking the core structures, mechanisms and dynamics of the natural leadership:followership process.

These aims are supported by the following interview objectives, applied to both human and equine leadership:

- To elicit individuals' leadership experiences and observations.
- To explore their perceptions of these experiences and how they make sense of them.
- To identify patterns in leadership behaviours.
- To seek the underlying elements of the leadership process.

The main research into the leadership phenomenon was based on twenty-six qualitative semi-structured interviews, eight of which were with equine owners and experts. A pilot study was undertaken to trial and challenge the suitability of the chosen techniques. The qualitative methodology is phenomenological (Cresswell 2007:59,60) as it explores lived experiences of the leadership phenomenon and how 'individuals make sense of the world' (Parry 2003:241). Interview data is analysed through template analysis (Teal 2007), and through an equine and a human narrative. The first narrative combines the equestrian interviewees' observations and perceptions of equine leadership and the second combines human leadership stories and experiences in organisations.

The following chapter summarises the literature review, with the subsequent chapters describing the philosophical underpinnings of the research, before detailing the pilot study, methodology and methods. The results and key findings are recorded in the template analysis and narratives. These two narratives serve as both data interpretation and presentation, facilitating comparison of the leadership behaviours described and exploration of the core dynamics of the leadership process. Further interpretation is supported by additional information from previous independent research and authors. The final chapters draw conclusions from the research results and interpretations, and define the apparent underlying dynamics, mechanisms and structures identified in the leadership:followership process. The potential for this new knowledge to be employed by leaders and thus contribute to better leadership practice is then explored and suggestions are made for potential further research. The document closes with reflection on the process and the findings.

2. Literature Review

2.1 Literature Review Objective

This review aims to identify key business leadership theories, models and the development of academic debate on leadership, thus facilitating comparison between the leadership behaviours and processes exhibited by humans in organisations with those of social group-dwelling animals. After providing an overview of human leadership concepts, the review focuses on literature relating to herd leadership behaviour, particularly of the alpha mare (lead mare) and stallion, to support or challenge the potential of an equine metaphor for illuminating the underlying dynamics of human leadership.

This review, which employed primarily leadership articles in peer reviewed journals and academic (and selected non-academic) books had three key stages. Stage one, focused on reviews and meta-analyses of leadership theory, particularly in organisations and business, (search terms included 'leadership', 'leadership styles', 'management styles'), for an overview of current published research and to identify recurring themes, dominant theories and frequently cited authors. Secondly, these identified theories were further researched, cross referencing them with the cited authors' names (e.g. 'Transactional leadership', 'followership', 'servant leadership', 'Bass', 'Mintzberg', 'Conger'), to gain further detail and to reveal the development of academic thought on leadership. Thirdly, equine leadership literature was researched in scientific journal articles and books relating to horse herds (and other social species, e.g. wolf packs), to ensure that the animal element was supported by scientific research and observation. Search terms included 'animals and leadership', 'alpha mare', 'animal hierarchies' 'dyadic relationships' and so forth. Issues from related fields, arising in, or impacting on, leadership theories, (e.g. 'organisational behaviour', 'gender bias', 'metaphor', 'myths'), whilst not central to this research's focus, added supporting information to enhance understanding of leadership theories and the use of metaphor.

This review therefore commences by defining leadership and differentiating it from management, before addressing the history and development of academic conceptualisations of leadership. Key theories of human leadership are then reviewed and finally herd and pack leadership behaviours are considered, prior to a concluding summary.

2.2 Defining Leadership

Leadership (in humans) happens across all organisational levels and is a relationship arising '...anywhere, at any time.' (Kouzes & Posner 2007:8), and should deliver successful outcomes for organisations. There are numerous definitions, for example, to lead is: '...to be ahead of the others, to take them forward, where they may not necessarily want to go. To make them go where they need to be.' (Clegg, Kornberger & Pitsis 2008:128) or, as Trueman says, 'the art of persuading people to do what they should have done in the first place' (in Lowney 2003:15). Leadership is 'a process whereby an individual influences a group of individuals to achieve a common goal' (Northouse 2007:3), or according to Smircich & Morgan, '....one or more individuals succeed in attempting to frame and define the reality of others' (in Yukl 2009a:21). Leadership definitions thus have common themes based on an individual or group influencing the behaviour of other individuals toward a common goal. As shown below, definitions typically include formation and communication of a vision, often involve change, and sometimes follower empowerment and motivation. It is notable that the descriptions are typically leader-centric and primarily focus on what the leader[s] does to the followers - the followers' role, if mentioned, tending to be more passive and less relevant in determining the process and its outcome.

By comparison, management is seen as maintaining the status quo and ensuring business requirements are delivered (Nicholls 1994:8). Emphasising leadership's role in creating movement and change, Kotter considers management responsible for: 'Planning & budgeting, organising & staffing, controlling & problem solving.' He summarises leadership as: 'Establishing direction - developing a vision of the future...; Aligning people - communicating the direction... ; Motivating & inspiring - keeping people moving in the right direction... (Kotter 1990:4). The leader decides what must be done, the manager ensures it is done.

Vision appears in most leadership texts, for example, charismatic leadership, (Conger 1989), transforming leadership (Nicholls 1994), transformational leadership (Bass & Avolio 1993). Unlike Clegg et al.'s (2008:128) definition including, '...where they may not necessarily want to go', most authors consider leaders must create desirable visions, with cultures that encourage staff to want to pursue that vision. A leader can force teams to operate a certain way, but without shared vision, sustaining commitment becomes problematic (Kouzes & Posner 2007). Managers are left to deliver, not create, the vision.

Northouse (2007:11), agrees 'the two constructs [leadership & management] overlap', with commercial progress happening best when they overlap in the same individual or partnership, although Kotter (1990:10), argues few executives are competent at both. Thus, in distinguishing leadership from management considerable consensus is apparent and both attributes are considered desirable. Since leadership is the focus of this study, the following section discusses the development of leadership theory.

2.3 The Development of Leadership Theory

2.3.1 A Myriad of Theories

One of the earlier writers on leadership was Mary Parker Follett. Writing up to 1933, Follett strongly disputed the prevailing notion that 'aggressiveness and leadership are synonymous', that leadership was based on dominating and giving orders (in Graham 1996:164). 'The test of a good foreman is not how good he is at bossing, but how little bossing he has to do' (in Graham 1996:166) suggesting that good leaders should '...create a group power rather than express a personal power' (in Graham 1996:168). As later academics addressed leadership, numerous and increasingly complex theories arose, generally less integrative and tending to focus on specific leadership attributes, causing Warren Bennis (1959:259) to say: 'ironically, probably more has been written and less is known about leadership than any other topic in behavioural sciences'. Half a century later, Yukl (2009a:30) considers that leadership theories still offer, '...a vast and bewildering literature'. However, he and others have endeavoured to group the various theories to identify common themes and developments.

2.3.2 Core Groups of Leadership Theory

Van Maurik (2001:2) identifies four 'milestones' of leadership thinking defining their origins and main period of popularity:

- Trait theory - 1920s & 1930s
- Behaviour theories - 1940s to 1960s
- Contingency theories - 1970s
- Transformational theories - Late 1970s, 1980s onwards

However, he stresses that theories are not mutually exclusive, nor limited to any specific timeframe. Yukl identifies three key variables: leaders, followers and the situation. He considers that leader characteristics have received greatest emphasis, often focussing on one specific characteristic, '...traits, behaviour or power' (Yukl 2009a:31).

The grouping applied by Yukl (2009a) is:

- Trait theory
- Behaviour theories
- Power-influence
- Situational
- Integrative

In broad terms, 'Trait theory', relates to the leader's personal characteristics, e.g. motivation, self-confidence, values - generally inherent attributes. Behaviour theories, emerging more in the 1950s, reflected learnt attributes - how the leader chooses to behave. Power-influence theories relate to the scope of authority. Transformational leadership combines elements of trait, behaviour and the effect of external influences, with leaders inspiring, influencing and motivating subordinates to achieve higher goals - transforming them (Feinberg, Ostroff & Burke 2005). (More detailed definitions are provided later).

From c.1960-1980, situational and contingency theories started to address the environment's impact, looking at the leader's ability to adapt e.g. to differing follower attributes and skills. Latterly, theorists have attempted to create more integrative frameworks bringing together skills, attributes, situations etc. Whilst perhaps more realistic, in better reflecting the breadth of the leadership challenge, they inevitably become more complex (Pearce, Sims, Cox, Ball, Schnell, Smith, Trevino 2003).

2.3.3 Conceptualising Leadership

In addition to these broad groupings, there are also many ways of conceptualising leadership. Fleishman et al. (2000), identified 65 classification systems, for e.g. leaders described as *assigned* versus *emergent*, using *positional* versus *personal* power. Jago (1982) offered a framework for the conceptualization of leadership theories, Fig. 2.

		Theoretical Approach	
		Universal	**Contingent**
Focal Leadership Constructs	Leader Traits	Type I	Type II
	Leader Behaviours	Type III	Type IV

Fig. 2 A typology of leadership perspectives (Jago 1982)

He thus conceptualizes leadership according to whether the focus is on traits or behaviours and whether it provides 'universal prescriptions' defined as 'one-best-way to lead' or 'contingent prescriptions', based on leaders responding to prevailing situations (Jago 1982:316). Jago also argues that leadership is both a process and a property: The process being 'the use of non coercive influence to direct and coordinate the activities of an organised group toward the accomplishment of group objectives' and the property referring to 'the set of qualities or characteristics attributed to those who are perceived to successfully employ such influence' (Jago 1982:315). Whilst workers may question the 'non coercive' description when their tenure may depend on compliance, and others may argue that 'success' is not necessarily the result of leadership, his definition accords with many others, but with the added aspect of more clearly separating what one *is* (leader attributes) from what one *does* (leadership processes).

Interestingly, Northouse (2007), believes that current authors are becoming more process than person orientated, focusing increasingly on the complex interrelations involved. For example, Guo (2004:435), investigates leadership processes in the re-engineering of change in the health care sector, creating a model of: 'Examination, Establishment, Execution and Evaluation', examining the managerial activities and roles that generate successful change, thus exploring the process contextually. Others address process elements, such as Begley and Zaretsky (2004), researching democratic school leadership ethics in Canada's public school systems, or Hayibor, Agle, Sears, Sonnerfeld, Ward (2011) researching CEO-Top Manager value congruence. However, it is harder to find explorations of the core, universal process of leadership. The implicit focus is the leader and their impact on followers, as exemplified in many of the following theories, and arguably suggesting a research gap that an ontologically critical realist exploration may address by searching for more fundamental underlying structures, mechanisms and dynamics, generating the process.

The following sections offer an overview of key leadership theories, grouped by this paper's author, in relation to the overall focus of the theory: the leader themselves - who they are, the way they lead; the leader in relation to the prevailing context; hierarchical structures within which leadership operates; the sharing of leadership and finally, followership and relationships.

2.4 Leader-centric Theories

2.4.1 The Leader's Traits and Attributes

Trait theory: The early 20th century focussed on the "Great Man Theory" of individuals born with the necessary leadership traits, separating them from followers. Traits are consistent, intrinsic, individual attributes, determining personality - confidence, temperament and so forth, unlike behaviours which are chosen and varied at will (Northouse 2007). However, Stogdill's 1948 major review of leadership found no definitive set of traits predominating across different leadership situations, although on average leaders differed from followers in 'intelligence, alertness, insight, responsibility, initiative persistence, self-confidence and sociability.' (Stogdill in Northouse 2007:16). Furthermore, this research identified that leadership involved situationally dependent relationships between people, hence no one set of traits fits all circumstances.

Northouse (2007:18-20), reproduces a table of traits and characteristics identified in work by previous authors, summarising them as 'intelligence, self-confidence, determination, integrity and sociability'. Vision is thus missing, although insight was raised by Stogdill, who also defined good leaders as trust-worthy and believable. Interestingly he includes sociability, which incorporates empathy, interpersonal skills and relationship building - perhaps closer to *emotional intelligence*, with self-aware leaders relating better to others. Kouzes and Posner (2007), after 25 years' research and over 75,000 people surveyed, found the most common traits for a *willingly* followed leader were: honest, forward-looking, inspiring, competent. Continuing support for trait theories suggests some validity but the approach is very leader-centric and insufficiently addresses situational issues and followers' power.

Emotional intelligence: Although a far more recent construct, emotional intelligence is an attribute of effective leadership, requiring a leader to be emotionally aware, recognising and dealing with the emotions and feelings of themselves and followers and acknowledging their effect on behaviours and cognitive processes. It is based on empathy and self-awareness and aids emotional stability. When extended to include the leadership requirements in a specific situation, it is termed social intelligence (Marques 2007; Yukl 2009a). It is an important element of leader:follower relationships.

2.4.2 The Behavioural and Style Theories

Becoming popular in the 1950s with Ohio State and Michigan State Universities' Leadership Studies, behavioural theory acknowledges that elements of good leadership can be taught and individuals can choose to adopt appropriate behaviours. Ohio State researchers, developed a 150 question leadership survey, testing 1,800 leadership behaviour variables, identifying *initiating structure* behaviours - including organising, defining responsibilities and scheduling, and *consideration* behaviours, for example relationship building, respect, camaraderie. Essentially this is a *concern for task accomplishment - concern for people* split, similar to the *employee orientation - production orientation* of Michigan State's interview and questionnaire based research. However, despite later restructuring and meta-analysis, correlation could not prove causality, and with inherent question bias, results remained inconclusive (Northouse 2007; Yukl 2009a).

Contemporaneously, Tannenbaum and Schmidt developed a theory based on a continuum from high manager-centred leadership to subordinate-centred leadership. Evolving this further, Moulton and Blake (1964), disliking a distinct autocratic-democratic split, developed a grid, defining five main leadership styles: Authority-obedience, "Country-club" management, Impoverished management, "Organisation man" management and Team leadership, (van Maurik 2001). McGregor pursued a similar theme, deriving the 'autocratic approach' Theory X, versus Theory Y, the 'soft' approach. Essentially this assumes that managers categorise employees by assuming, Theory X: people naturally dislike work, avoiding it if possible, need coercion, control and direction, (preferring freedom from responsibility) or, Theory Y: they enjoy work, are self motivated, like praise for performance and seek responsibility. Most can be creative, problem solving and generally have under-utilised skills. The underlying theme is motivation and McGregor was evidently working on Theory Z, managers adapting to different situations and employees, rather than adhering to these two stereotypes.

The next section addresses some of the more popular theories that focus on elements of motivation and furthermore, how leaders inspire employees and eventually act as a transforming agent, empowering and developing their staff.

2.4.3 The Leader as Inspiration, Motivator and Transformer

Path-goal Theory & Expectancy Theory: Although among older theories, expectancy and path-goal theories reflect the focus on outcomes or rewards as motivation, rather as transactional theory does. However, the leader's role is to inspire followers' motivation to achieve good outcomes, the leader themself is not required to be inspirational. Expectancy theory originated in 1957 from work by Georgopolous, Mahony & Jones, who proposed the path-goal hypothesis, and theorists who promoted the 'expectancy theory of motivation', including Atkinson, Vroom, Porter & Lawler (House 1971; Yukl 2009a). This centres on the leader's role in modifying the employee's belief that an outcome is achievable (expectancy) and its desirability (its valence). Path-goal theory became prevalent in the 1970s with House as a leading advocate. In concept, a leader provides subordinates the route to future satisfaction or rewards, achieved through instrumental actions, or *initiating structures* and social-emotional dimensions, or *leader consideration*. Thus the leader assigns tasks, plans, specifies procedures, provides clear guidance on expected outcomes - all underpinned by creating a supportive environment and exhibiting concern for group welfare (House 1971). In layman's parlance, 'what are the chances this will work and what's in it for me'. Desired outcomes include a bonus, pay-rise, promotion, job satisfaction or praise.

House (1971), reviewed the relationship between the leader's rating for initiating structure and consideration for subordinates, and the levels of subordinate satisfaction. He anticipated superiors would highly regard leaders who were considered to have high 'initiating structure', and subordinate satisfaction would be rated highly for considerate leaders. However, results were mixed when comparing initiating structure and subordinate satisfaction. Further studies tested eight separate hypotheses relating to satisfaction and role ambiguity, on 199 employees in three organisations, but only moderate evidential support for path-goal theory resulted. Path-goal theory, thus remains appealing in principle, yet somewhat unproven and more relevant to motivation studies. It also ignores the negative motivation of fear of failure (Vroom, 1995). By comparison to such outcome-driven motivation, with charismatic leadership, the leader's own inspirational attributes are critical to follower motivation.

*Charismatic Leadership***:** Charisma, associated with leadership for centuries, and defined as 'a divinely conferred power or talent', (Concise Oxford Dictionary 1990) was first formalised into leadership theory by House in 1976, following the work of Weber, an early sociologist, in the 1940s (Northouse 2007; Yukl 2009a).

'The Charismatic Leader - behind the mystique of exceptional leadership', opens with the sentence:

> *'Most of us have known leaders at work, in the community, in government, who capture our imagination with a passion for an idea - a vision of the way the future could be.'*
>
> (Conger 1989:xi)

Charismatic leaders, 'hold certain keys to transformational processes within organisations...' (Conger 1989:xiv). Their unconventionality and impatience with the status quo of an organisation is considered their strength - but also a possible liability. Interestingly, they need to develop a '...sense of discomfort and unrest with the present' (Conger 1989:15) in their subordinates. Waldman & Yammaino (1999), investigated organisations with multi-tiered management and leaders often 'distant' from subordinates. They identified 'perceived external environmental volatility' creating follower stress and making followers 'more receptive to charismatic leadership' (Waldman & Yammarino 1999:271). They also argue that organisations with an adaptive culture welcome change and both foster and respond positively to charismatic leadership. The emergence of charismatic leadership in times of crisis also arises in Takala & Kemppainen (2007). However, charisma has a 'dark side' (Conger 1989:137-158). Charismatic leaders require a strong emotional base without "psychological baggage" to develop necessary interpersonal skills. Without this, they can become '...narcissistic, paranoid and insecure' (Kotter 1990:107), develop distorted goals, (often for personal gain), and suffer from a '...personal monument building syndrome...' (Conger 1989:138). The extreme charisma of some politicians or war-time generals is perhaps easily recognised, although in business, leaders lacking sufficient charisma may be more evident.

Heroic Leadership: Heroic leadership is an extreme form of charismatic, defined by Lowney (2003:209) as '[believing] that the well-being of the whole world depends on what you are doing'. As Mintzberg (2006:8) says, 'the great one who rides in on the white horse to save the day, changing anything at will, even if he or she arrived only yesterday, with barely any knowledge of the organisation, its history, or its culture.' This, he terms the 'new aristocracy of leadership', potentially disempowering for employees. Some authors decry the overvaluing of 'heroic' leaders, through excessive remuneration differentials, as detrimental to followers, with Allio (2007:13) referring to the 'entitlement neurosis' - driving average American CEO's earnings to 411 times their average worker's.

Post-heroic leadership: This concept regards leadership as more a function of collaboration and agreed practices throughout the organisation. It is less about key senior individuals or 'heroes' and is delivered through influence and learning interactions, thus being more akin to distributed or shared leadership, in recognising a wider spread of leadership. However it could sit with transformational leadership as it acknowledges the senior leader and their creation of the right environment and culture for goals to be achieved (Dutton 1996; Huey 1994; Fletcher 2004).

Inspirational & Transforming Leadership: Inspirational leadership does not require a crisis to motivate followers - however the 'great vision' is still its cornerstone. Nicholls (1994), suggests that inspirational leadership, unlike strategic and supervisory, (considered *managerial)*, can exist outside formal organisations. He asserts that whilst strategic and supervisory leadership are about harnessing followers' 'heads and hands', *inspirational leadership* is 'of the heart' engaging followers' personal beliefs, never relying on coercion or authority (Nicholls 1994:9). Furthermore, inspirational leaders offering a vision 'energise enthusiastic followers to a common cause' (Nicholls 1994:10) often being, *emergent leaders* (lacking formal status or title). This inspiration, converts managerial leaders to transforming leaders - helping to engender change.

Follett first conceptualised 'transforming' leaders at the turn of the 19th century. Burns, then reviewing political leadership in 1978, explored the ideas of transforming and transactional leadership, his premise being that transforming leaders must appeal to followers' moral values to raise their consciousness and motivate them to desired action, (in Yukl 2009a). The emphasis is on the ability to change followers' motivations and behaviour, moving beyond the leader-centric concept of charisma.

Transformational & Transactional Leadership: Burns, in introducing both transforming and transactional leadership as two ends of a spectrum, created the platform for transformational leadership (Avolio, Bass Jung 1999; Bass & Riggio 2006). However, Bass considered transactional and transformational styles to be distinct approaches, not mutually exclusive, and feasibly adopted simultaneously (Conger 1998). In transactional leadership, a less-charismatic more directive leader, relies on instructions, rules and contingent reward. Everything has its price, self interests are stressed and 'commitments are short term,' (Bass & Avolio 1993:116) An extreme example is commission-only sales management. Transactional leadership is not regarded as effective at generating follower trust and motivation, lacking the inspirational and charismatic qualities of transformational, (Avolio, Bass, Jung 1999)

with transactional-based organisations accused of 'lending [themselves] to excessive compensation for top management', damaging staff loyalty (Bass & Riggio 2006:103). Transformational leadership is about a more-charismatic leader changing the organisation's culture, and empowering staff to change with it creatively, following a vision. It involves the leader, 'moving the follower beyond immediate self-interests' (Elenkov, Judge and Wright 2005:668) and is exemplified by:

1) Managers exercise idealized, or charismatic, influence by becoming role models for their followers... Followers seek to identify with...and want to emulate them.

2) Leaders who practice inspirational motivation behave in ways that motivate and inspire... [followers] providing meaning and challenge to their work.

3) Leaders who engage in intellectual stimulation provide support to their followers' [creative] efforts...question existing assumptions...[and] reframe issues important... in new ways.

4) Leaders exhibit individual consideration by providing followers with support, mentoring, and coaching ...for [followers'] personal achievement and growth.

(Elenkov et al. 2005:668)

Receiving considerable attention, transformational leadership was developed further by Bass in the 1980s, through a multi-factor model of its key attributes, later refined to six by Avolio et al. (1999:444): 'Charismatic / Inspirational, Intellectual stimulation, Individualized consideration, Contingent reward, Active management-by-exception and Passive-avoidant. The Multifactor Leadership Questionnaire (MLQ) approach compares models with varied combinations of factors, and subsequent researchers aim to combine different and larger follower groups, hoping to eliminate variances caused by gender, industry sector and so forth (Bass & Riggio 2006:20). This extensive research, first published in 1990, has been performed with over 4,000 respondents (Bass & Riggio 2006:20-26), and applied to a variety of leadership training situations from a Canadian prison to the Israel Defence Forces (Avolio, in Nohria & Khurana 2010:747, 750). Research outcomes generated generally suggest that transformational leadership is more powerful than transactional with longer lasting benefit (Avolio et al. 1999).

However, the followers' role can be important, and without consensus for a vision the leader struggles to be transformational (Feinberg, Ostroff and Burke 2005). The issue of proximal versus distal leadership is another academic focus for both transformational and charismatic leadership, as debated by Boas Shamir (1995). Distance is particularly

important to the 'charismatic' and 'individual consideration' elements of mentoring and follower development activities, leading some to suggest such elements are more relevant to 'near-by' transformational leaders (Alimo-Metcalfe and Alban-Metcalfe 2007). There is increasing acceptance that a good leader can and perhaps must be both transactional and transformational simultaneously (Bass & Avolio 1999; Pearce et al. 2003). From the volume of academic debate and research devoted to it, transformational leadership was a very popular theory across the 1990s and early 2000s. However, Lord (2008), highlights the potential problem of transformational leaders whose visions are out-dated. The role of narcissism is also attracting increasing debate, particularly with reference to the more heroic and charismatic characteristics within the transformational spectrum. These challenges often relate to the more dysfunctional or 'dark side' behaviours, with desire for personal glory, status and adulation.

This dark side was strongly defined in 1985 by Kernberg (cited in Humphrey, Zhao, Ingram, Gladstone and Basham 2010:122), who declares that pathological narcissism leads individuals to:

> *… present an unusual degree of self-reference in their interactions... a great need to be loved and admired by others, and … a very inflated concept of themselves and an inordinate need for tribute from others. … In general, their relationships with other people are clearly exploitative and sometimes parasitic. It is as if they feel they have the right to control and possess others and to exploit them with no guilt feelings…*
>
> (Kernberg 1985)

Such personality traits and resulting behaviours have various impacts. Furthermore, according to Campbell, Hoffman, Campbell & Marchisio (2011:272), research into leadership narcissism has achieved mixed results, perhaps because narcissism is regarded as having both positive and negative attributes - a 'bright side and a dark side'. Kets de Vries and Miller (1984) and Nevicka, de Hoogh, Van Vianen, Beersma and McIlwain (2011) argue that narcissists will be attracted to leadership as it suits their need for power, status and drama, and benefits from their apparent confidence, manipulation skills and ability to forge rapid yet superficial relationships. However, narcissists' lack of moral underpinning and empathy, with exploitative tendencies, can lead towards un-ethical leadership practices (Campbell et al. 2011) and even '...extreme and fluctuating organizational performance.' (Chatterjee and Hambrick 2007:351).

2.4.4 Ethical & Authentic Leadership

Ethical & authentic leadership address the leader's moral dimension. Promoted by Burns in 1978, with authentic-charismatic leadership, Howell & Avolio in 1992 with ethical-charismatic and idealized leadership, and Avolio in 1999, these theories developed in parallel with other theories, particularly transformational. Based on the leader's moral development and ability to deal with ethical dilemmas, ethical leadership involves leaders aiming to affect followers' ethics, thus establishing their value systems for dealing with conflict, change and decision-making. This emphasises strong follower:leader relationships, intrinsic to most ethical leadership theories. The importance of 'Self awareness and reflection', stressed by Avolio in 2004, is considered essential for developing *moral* decision-making attributes: capacity, courage and resiliency (Day et al. 2009:81-82). These allow a leader to recognise moral dilemmas in decisions, have the integrity and strength to transform moral intentions into actions and courage to maintain the ethical stance long-term. One obvious problem is identification of the appropriate ethical path - based on values - which can be personal, religious, corporate, societal, cultural and of course conflicting.

An authentic leader will develop their own set of values or 'value system' (Fritzsche & Oz 2007:343). Turner & Mavin (2008) reviewed a qualitative, empirical study of UK business leaders and found '...life histories and in particular negative trigger events significant...' to interviewees' values and approach as authentic leaders, with life histories critical to leaders developing their 'subjective realities' (Turner & Mavin 2008:376). The leadership journey determines the value system and the values determine behaviours. Authentic leadership thus focuses on the leader's own values and integrity - being true to themselves. Authentic leaders, must be open, trustworthy, emphasise follower development and seek morally correct outcomes (Day, Harrison & Halpin 2009). Northouse (2007:343-344), identifies three different approaches: Ethical egoism - achieving greatest good for themselves, (self interest); Utilitarianism - greatest good for the most people; Altruism - promoting best outcomes for others, (perhaps to own detriment). However, authentic leaders with integrity, stating their values and delivering to them, do not necessarily act within accepted moral ethics, suggesting authentic and ethical should not be interchanged.

The leader-centric theories above relate to who a leader *is* and what they *do*. However, there are prevailing circumstances - specific follower teams, the marketplace, the economic climate, political situations and so forth. This contextual imperative is addressed by the theories outlined below.

2.5 Context-based Theories

2.5.1 Contingency Theories

The behavioural approach could be criticised for implying a leader always exhibits a certain style. Clearly, with the complexities of business, external forces and employees with different attributes and attitudes, even Mouton and Blake's 5 style grid does not address the leadership flexibility potentially required. In contingency theories, described as 'supervisory' theories, because of their 'task + employee' orientation (Boal & Shultz 2007:412), the situation affects the effectiveness of leaders' behaviours or traits. The situational elements are termed *situation moderator variables*. However, whilst general agreement prevails amongst contingency theorists that a leadership style's appropriateness depends on the prevailing situational contingencies, the specific factors involved receive less agreement, (Lorsch cited in Nohria and Khurana 2010). Vroom and Yetton defined the 'task' element as 'decision making', but others did not accept that and, whilst Tannenbaum and Schmidt argued that a leader could adapt their style to suit the situation, Fielder claimed to model how to select the leader to fit the situation (Nohria and Khurana, 2010).

2.5.2 The Least Preferred Co-worker (LPC) Model

Fiedler, in the 1960s, produced the *LPC Model* which asked leaders to rate their 'least preferred co-worker' on a series of bipolar adjectives, (e.g. cooperative or uncooperative), interpreted as very critical leaders generating low LPC scores and more lenient leaders high LPC scores. Feidler's contention being that a high score leader was relationship motivated, a low score leader was task orientated - a questionable conclusion. The relationship between three ranked *situational variables:* 1. Leader-member relations, 2. Task structure, 3. Position power, allows the model to define leader effectiveness in relation to their LPC score, although later researchers' criticism centres on the results' lack of statistical significance and the model being unable to explain how a leader's LPC score affects team performance. Consequently, LPC modelling is considered useful in encouraging debate on situational issues, but of limited value in itself (Yukl 2009a).

2.5.3 Situational Leadership

Situational leadership involves leaders changing style to suit differing employee demands, moving along directive or supportive axes, depending on the team's motivation or skills base. In the 1960s, building on Reddin's work which proposed a 3-D management style theory, Hersey & Blanchard plotted the amount of more-directive behaviour against employee maturity levels (Northouse 2007). This created a negative

correlation, with low follower maturity requiring higher task-related leader behaviour and vice-versa. Popular with management consultants, situational leadership provides a training tool suggesting whether to delegate, support, coach or direct, according to follower development levels (Northouse 2007). However, although intuitively appealing, it has been subject to very little published research, and is described by Thompson and Vecchio (2009:837), as 'among the less well-substantiated models', with relationships between employee 'competence' and 'commitment' ill defined. This model fails to address culture, within-team diversity (age, gender, ethics etc) and the impact of mixed levels of commitment and competence and in particular it fails to address external environmental demands. When business is going smoothly, being supportive, coaching and seeking opinions seems reasonable, but in a crisis, teams may prefer leaders making swift decisions and issuing instructions - avoiding consultation.

2.5.4 Adaptive/Flexible Leadership

Acknowledging the need to adapt, inevitably raises questions on leaders' ability to adapt. In flexible leadership, a leader must adapt and balance conflicting priorities and 'performance determinates', ensuring that one critical success factor is not supported to the detriment of others and thus, overall performance (Yukl 2009a:394). This requires a leader not over-focussing on a specific pathway, but being able to change and rebalance plans. The "Adaptive Leadership Theory" of Glover, Friedman, Jones and Rainwater (cited in Hogan 2008), defined four leadership responses to change: Cultural trap, (stuck in the company culture and failing to change), Natural selection, (assimilating new information but failing to respond), Serendipity, (leaders create change without proper prior research/information), Adaptive, (high assimilation of information, high propensity to change).

2.6 Strategic Leadership

Whilst situational leadership, contingency and path-goal theories may be focused on task delivery, strategic leadership requires that a leader sees beyond the present, assessing internal company issues and external competitive markets, developing a *vision* and communicating it and the required delivery mechanisms. 'Strategic leadership sets the directions, meaning, purposes and goals of the organization' (Bass 2007:33). It necessitates J M Stewart's 'Future State Visioning' (van Maurik 2001:187) and impacts on the whole organisation, forming its culture, aims and capability to deliver and evolve. Focussed on leadership 'of' the organisation, compared to supervisory leadership 'in' the organisation (Boal & Schultz 2007:412), it is typically a senior management function, if not the primary domain of the CEO. However, the

evidence supporting CEOs' ability to effect the desired changes and deliver desired outcomes is more rigorously contested. Nohria and Khurana (2010:66) found that 'numerous empirical studies', suggest performance is outside the control of any one individual, success being influenced more by external factors like market conditions. Thus some academics argue leaders have the major impact on strategic delivery, others believe their impact is minimal (Shrivastava & Nachman 1989). More recently, Elenkov, Judge and Wright (2005:665) researched what they describe as 'actual' strategic leadership, adding cultural dimensions through a multi-national/multi-sector approach, surveying 1095 top managers of 227 companies. Analysis, suggested that 'strategic leadership behaviours are positively associated with executive influence on innovation processes, beyond the effects of organizational size and the CEO's personality traits' (Judge et al. 2005:678). Heterogeneity of the top management team was found to have a mediating effect on the ability of strategic leadership behaviours to effect innovation (Elenkov et al. 2005). However, whilst this and much strategic leadership literature focuses on the formal leader's role, the author of this paper has found little discussion on the possible role of non-managerial team members in driving strategy and providing strategic leadership.

The summary above of leader-focussed theories, exemplifies the variety of existing concepts. Pearce et al. (2002), reviewed many diverse theories, developing a model that combined four general leadership types: directive, transactional, transformational and empowering. Importantly, their work recognises that leaders can actually display different leadership styles at the same time and sequentially. It suggests the truly adept leader has flexibility to adapt their behaviour to different business needs and staff aptitudes and that previous leadership theories are not necessarily mutually exclusive.

2.7 Hierarchies and Sharing Leadership

2.7.1 Hierarchies

All of the above theories require a leader to be operating within a (typically hierarchical) organisational structure. Formal hierarchies are those dictated by the organisation's senior management, however informal hierarchies also arise. Certain researchers have attributed these to aggression-based dyadic encounters (Jones 1983 and Lamb 1986, cited in Ridgeway and Diekma 1989:79), although later researchers argue coalitions can play a role. Where these coalitions '...refuse to acknowledge the status claim of a lone member, then that claim generally fails' - even if that member is the formally appointed leader. For Ridgeway and Diekma, this dynamic is founded on the impact of by-stander interventions. Informal hierarchies therefore are regulated by a complex

combination of dyadic interactions, mediated by by-stander collectives through, what Ridgeway and Diekma (1989:80), term a 'network collective approach' impacting on leader efficacy. Whilst Ridgeway and Diekma's (1989) results apparently support this conceptualisation of hierarchies, as evidenced in their observations of dominance-submission dynamics in 'task' workgroups, their interpretations merit questioning. In noting that female work groups '...generally display lower levels of dominance behaviour ...than did male groups', their response was to question, 'why female confederates found it difficult in the context of group interaction to be as dominant as male confederates...' Ridgeway and Diekma (1989:91). They consistently imply dominance to be an issue of assertiveness and *aggression* but ignore the issue of *social* dominance, despite noting negative by-stander reaction to aggressive dominance behaviours. However, overall, their research does suggest hierarchies' success is determined by followers acting as collectives and not just individual dyadic encounters or formal structures.

Perhaps formal hierarchies are not necessarily optimal and may create dictatorial status-based leadership? However, as with many enduring social structures, the correct question is perhaps how should they best work and a business leader best use their hierarchical position. Romme (1996), enters the debate, using the concept of information flow to reflect team versus hierarchy efficiency. He argues that teams deal better with change and new information, hierarchies are best for processing information vertically through the company, (note he does not question 'vertical' structures). Quoting Carley's work of 1992, he claims that whereas 'teams tend to learn faster and better than hierarchies, hierarchies are less affected by high turnover rates' (Romme 1996:412) providing structural buffers (supervisors and managers), thus limiting potential 'damage'. One may argue, hierarchies also inhibit individuals and suppress ideas. Romme, however, concludes that hierarchies are more reliable, teams are good for innovation, and both are necessary.

Some scholars argue that hierarchies are an outdated concept, unable to meet modern industries' requirements for 'speedy innovation'. (Anon 1996:7). Conger (2000:84), considers 'command-control' leadership style hierarchies increasingly redundant, as '...baby-boomers and their Generation X' offspring ...have little tolerance for unquestioned authority', arguing for 'persuasion' in leadership, relying on four essential steps: 1. Establish credibility, 2. Frame goals for common ground, 3. Provide Evidence, 4. Connect emotionally. However, command & control behaviour is still a powerful force in business and major institutions like the military and police forces.

Directive & Military Leadership: Police and military organisations are typically founded on rigid pyramidal hierarchies, with strict discipline and clear rules. Leadership is authoritarian command, justified by the need to achieve fast and unquestioned mobilisation in crisis situations - rank rules. Leadership can become directive, which 'primarily relies on position power' and often 'coercive power' with words like command, intimidation and reprimand being 'primary mechanisms to influence subordinate behaviour' (Pearce et al. 2002). Researching the American police force, Jermier & Berkes (1979:4) described the leader's role as an 'impersonal commander'. However, they challenge this authoritarian-command assumption, saying that despite apparent bureaucracy, officers face many varied situations requiring instant decisions and considerable discretion. Their research also showed that 'impersonal, highly directive, authoritarian leader...' behaviour, was diametrically opposed to staff job satisfaction, with participative leadership and task variability preferred (Jermier & Berkes 1979:19). Their conclusion, was to question the suitability of predominantly quasi-military, authoritarian hierarchies, suggesting that their resulting culture fostered police brutality and poor attitudes to the community. Negative references made to 'social work and service [to the community]' rather than 'fighting crime' (Jermier & Berkes 1979:2) indicated that applying the perceived American military approach can create an undesirable imbalance in staff behaviours. However, 'Serve to Lead' (Anon 1959), (given to trainee officers at Sandhurst Military Academy in the UK), declares that 'One of the fundamental elements of discipline [in the ranks] is loyalty ...[which] is in no way merely a blind and servile service to the letter of the regulations. It is an active, intelligent and willing effort to carry out the intent of the commander to the best of your ability. ...Leaders must provide outlets for individualism, either by hearing complaints or by making point blank inquiries of soldiers who may otherwise carry repressed resentments.' This leader guidance-booklet recognises that command-control hierarchical based leadership is diminished in efficacy in the absence of willing, aware followers.

2.7.2 Shared Leadership

Shared leadership moves beyond status-based rigid hierarchies. Follett used the example of fishermen on a boat to exemplify 'intelligent, alert, self-willed obedience' with all working toward the same goals, and the leader is both 'obeyed and obeying' (in Graham 1996:172). Again the importance of follower intelligence and willingness arises. Follett thus advocated leadership by the most suitable person and good leaders being capable of sharing leadership. This is reflected by Lee-Davies, Kakabadse and Kakabadse (2007), who argue that despite tendencies to seek a "hero leader", perhaps

leaders should focus on appreciating and fostering followers' input. In the complexities and speed of modern business, 'no one individual is that perfect [leadership] choice and a team of diverse individuals stand more chance of providing what the organization actually needs' (Lee-Davies et al. 2007:2). Good *shared leadership*, they believe, requires interaction and good relationships, relying on a polylogue principle, i.e. multiple across-team dialogues. Greater recognition is also encouraged for multi-tier co-leaders who, better understanding staff and customers, are important in fast-changing business environments. Follett (in Graham 1996), uses the term *occasional leadership,* suggesting staff development through the opportunity to lead at different functional stages when particular needs arise - reflecting project leadership. These descriptions resemble and overlap with "distributed leadership" outlined below.

A clearer definition arises in the work of Arnone and Stumpf (2010) in which they examined examples of two leaders formally sharing the role of CEO in global organisations, e.g. Twitter and Goldman Sachs. The justification is that two sets of combined executive expertise are beneficial, 'offering a broader range of leadership styles, skills, and competencies', Arnone and Stumpf (2010:15). Also, sometimes applied at other management levels, shared leadership is occasionally recognised as strategically employed for high-level executive retention, to prevent executives joining a competitor, or in transitional phases to achieve smooth hand-overs. Where deemed successful, there were clearly defined roles, acknowledged throughout the organisation and externally, exploiting each leader's individual competencies. However, not all leaders welcomed the concept: ‘sharing leadership runs counter to what has contributed to my success: my belief in my own decisions, my desire to win, my willingness to take big risks for big rewards, and my ability to act, without another’s approval, and then deal with the consequences', Anon CEO (in Arnone and Stumpf 2010:16). Globally, the success of this approach varies, with failures including Martha Stewart Living and Unilever, although most CEOs interviewed considered the experience benefited their organisation and enhanced their own personal growth as a global-level leader (Arnone and Stumpf 2010).

Shared leadership can be viewed as a formal structural process, distinct from distributed leadership (below), whereby (typically) two equal status individuals have responsibility for specific activities within a given leadership role. There could feasibly be very rigid hierarchical structures throughout a company and yet shared leadership at specific levels. Leader-centric 'Great Man Theory' attitudes could still prevail in the corporate psyche.

2.7.3 Distributed Leadership

Distributed leadership is almost an antithesis to this leader-centricity, with different leaders responsible for different functions and/or potentially taking the lead at different times, and sometimes being emergent rather than appointed. Gronn (2008:142) argues against the 'hijacking' of leadership thinking by the 'Trojan horse of heroism', referring to the 1980's focus on charismatic, visionary and transformational leaders being effectively regarded as an organisation's sole power and influence-centre. In support of distributed leadership, he highlights the 'conceptual links between distributed leadership and longstanding organisational phenomena: power, influence, co-ordination, collective decision-making and delegated authority'.

Ancona and Blackman (2010:11) describing distributed leadership as 'Going from pyramids to networks', identified five elements of distributed leadership arising from their research, based at MIT Leadership Centre in the USA, into patterns of leadership. These compared distributed leadership to command-control practices:

> *i. Spontaneous forms of collaboration* - where individuals or work-groups instinctively collaborate, sharing ideas to solve problems without senior management intervention, as opposed to formal management meetings with issues debated and eventually required actions identified.
>
> *ii. Multi-directional influence* - this involves giving teams product development power (possibly involving external partners) within defined budgets, rather than management dictating product development.
>
> *iii. Local entrepreneurship* - employees coming up with ideas for new products, systems etc, 'employee-initiated change'.
>
> *iv. Global ownership* - the opposite of teams working in 'silos', individuals across the company understand and accept the corporate vision, understand the operation's financial dynamics and appreciate market influences.
>
> *v. Peer mitigation of risk* - 'shared accountability for [company] survival'. Teams self-regulate, rather than separate departments monitoring and managing risk.
>
> (summarised from Ancona and Blackman 2010:11)

These five elements imply well-informed, empowered, trusted employees who respond by taking responsibility and acting with initiative - often effectively becoming un-appointed leaders as needs or opportunities arise. This being achieved by:

> *i. Traditional hierarchies* - e.g. IBM, Cisco and Best Buy where the corporate structure is fairly rigid, yet management actively encourage distributed leadership as an 'overlay' to formal hierarchies.
>
> *ii. Distributed DNA organisations* - e.g. Google, Gore (see below) and Whole Foods, employing an anti-hierarchical approach with distributed leadership 'hardwired' into the organisation's genetic structure. (DNA = deoxyribonucleic acid, implying distributed leadership is genetically embedded into the organisation).
>
> *iii. Nimble networks* - open sourcing organisations, prime examples being Wikipedia and Linux, (both internet based systems) where individuals, usually at no cost, work on the project and the wider population benefit.
>
> *iv. Cross-organisational collaborations* - these are joint ventures or value-chain collaborations, conceived to facilitate 'predictable raw material delivery and sustainable work practices'.
>
> (summarized from Ancona and Blackman 2010:11)

It could be argued that the variants of distributed leadership (DL) are effectively a continuum from full command and control directive hierarchies, to anarchy, (involving no formal leadership). It is perhaps questionable to treat 'cross-organisational collaborations' separately as such collaboration could potentially occur between multiple organisations displaying any of the steps along the continuum. (See Fig. 3). Ancona and Blackman (2010:12) claim that distributed leadership levels can be measured relative to the prevalence of activities such as 'creating contextual understanding (*sensemaking*), setting direction (*visioning*), gaining commitment (*relating*) and aligning action (*inventing*)'. However they provide no evidence for claiming that 'many organisations have DL', with '...great variation in the levels and patterns.'

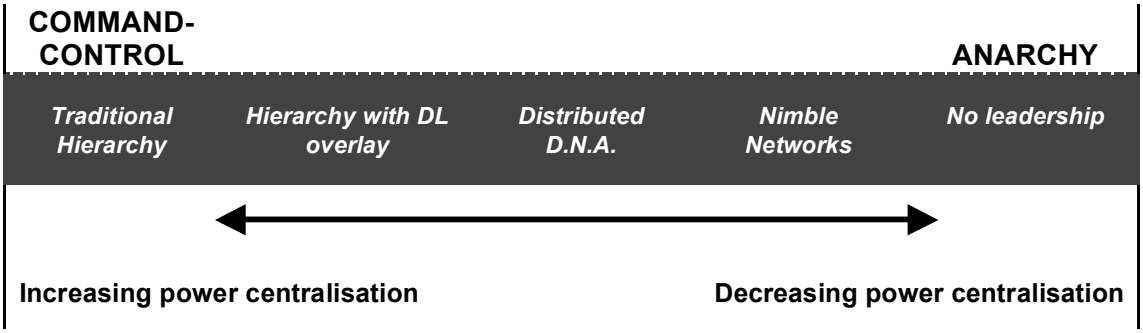

Fig. 3 The leadership distribution continuum

(developed from concepts of Ancona and Blackman 2010)

From this author's direct experience over 30 years in (UK) business, the apparent prevailing construct is primarily linear hierarchies, with varying degrees of distributed leadership overlain. Beyond, Google, Wikipedia and Linux, (all in the relatively new and non-traditional internet sector), only Best Buy and Gore are easily identified examples of non-hierarchical organisations. A database search of peer-reviewed journal articles also suggests a predominance of recent investigations into distributed leadership are based on the academic sector, with little evidence of it being investigated (or perhaps evidenced?) in other sectors.

Barry (1991:31) addresses this structural duality in his debate on self-managed teams within more formal hierarchical structures. Using examples like quality circles and new venture teams, he suggests that these increasingly common constructs result from rapid increases in 'technologically based information' and the 'unprecedented numbers of highly educated, self-motivated, self-directed specialists' in the workplace - people frequently more specialist than their formal managers. Self-managed teams, he claims, risk discord, and he proposes distributed leadership practices to overcome potential conflicts, permitting 'leadership behaviors that can be split apart, shared, rotated, and used sequentially or concomitantly' (Barry 1991:34). Reflecting Follett's 'occasional leadership', the person possessing appropriate expertise and aptitudes leads, or several individuals bring partial skills together. As Bligh, Pearce & Kohles (2006:229) suggest, sharing leadership requires motivated self-leadership, inter-member trust and individuals exceeding their basic role. Such trust may be 'affective-based trust', relating to citizenship behaviours and social interactions, or may be 'cognitive-based', recognising another's expertise and experience, i.e. trusting they will deliver the right outcomes (Bligh et al. 2006:301). It takes time to establish real trust and it is founded on the individual's cumulative experiences of the leader (Fairholm and Fairholm 2000).

However, despite the modern examples from the internet and technological advances, the distribution of leadership is not a new concept. As far back as 1958, Gibb (in Gronn 2008:146) proclaimed that:

> *There is still a tendency among psychologists and sociologists to think of every group as having a leader . . . however . . . unequivocal unipersonal leadership rarely, if ever, occurs.*
>
> (Gibb 1958)

Gibb's argument, (reflected in Barry's (1991) much later debate), being that leadership will typically 'pass from one individual to another as the situation changes' (Gibb 1954, in Gronn 2008), thus reflecting the situational context of contingency theory as a driver for distributed leadership emergence. Furthermore, Gronn (2008:143) maintains that polarising the debate to the extremes of sole leader versus fully distributed is not productive as the 'sources of influence' (leadership) can be 'dispersed' or 'concentrated' at different times within an organisation, and that 'agents' of such influence may be individuals or a 'collective'. Gronn (2008) identifies how distributed leadership is common in many industries as "management teams" where leadership relies on specialist skills or qualifications. In the construction industry, for example, a business-unit management team will typically contain the department heads for: construction, surveying, marketing, architecture & engineering, each manager being a functional department leader, with the M.D. relying on input from the specialist managers. Supporters of distributed leadership all seem to agree that there is a temporal dimension and situational responsiveness that particularly prevails where specialist skills are required and are not or cannot be held by one all-knowing leader. The sharing of leadership, intellectual capital and the resultant collective learning thus becomes a survival advantage to an organisation.

Yukl (2009a), debates the idea of collective learning by organisation members and the importance of understanding how it is influenced by multiple leaders. He regards the dominance of dydatic, (leader:subordinate, instructive), theories as having over-shadowed team, strategic and shared leadership. In practice, more time is passed with colleagues than leaders, implying that more learning is collective than otherwise.

2.7.4 Lattice Leadership - the Ultimate 'Shared' Leadership?

(Note: All references in this Lattice Leadership section, except Mintzberg, are from: hppt://www.gore.com/en_careers/whoweare). W.L. Gore Associates. Inc., claim to have a unique 'lattice' management style, with everyone (as 'associates') part owning

the company, which is a 'non-hierarchical system' based on the interconnection among associates. 'There is no assigned authority, and we become leaders based on our ability to gain the respect of our peers and to attract followers.' Staff manage their own workload and are accountable to their team. Work is based on making a 'commitment to do something', for e.g. delivering a project, and '...be[ing] expected to meet it'. They call this a "core commitment". The organisation's "Fundamental Beliefs" originated with founder Bill Gore and are: 1. Belief in the Individual, 2. Power of Small Teams, 3. All in the Same Boat, (referring to the associates stock plan), and 4. Long Term View. They support these with "Guiding Principles": Freedom - action is prized, ideas encouraged, associates are given the freedom to encourage each other to grow. Fairness - to colleagues, suppliers, customers, anyone they do business with. Commitment - the making & keeping of commitments, [self-determined task delivery]. Waterline - staff have to consult with colleagues before they do anything they consider may damage the company.

They acknowledge this style 'isn't for everyone'. Staff have to be passionate for innovation and are supported by a personal sponsor. This is not anarchy [no leadership], but business with multi/distributed leadership - everyone empowered to lead themselves and others. The company achieves awards for innovation and 'best workplace', in different countries and over many years. They describe themselves as 'A stable, privately held company.....taking the long-term view', and believe they have a reputation for 'integrity and ethical practices'. Perhaps being private and not answerable to the vagaries of the stock market allows their philosophies to flourish. As Mintzberg, Simons & Basu (2002:70), claim, '...fewer and fewer shareholders are in any way committed to the businesses they "own".' Giant mutual funds buy and sell millions of shares each day to mirror impersonal market indices. ...day traders ...buy and sell within hours, looking for arbitrage or momentum opportunities.' (Mintzberg et al. 2002:70), a situation promoting short-termism in corporations and unlikely to permit a Gore style approach.

The preceding sections have considered leaders' styles and behaviours and how leadership can be shared within a team, hierarchy, or even across an organisation, as exemplified by Gore. The following section shifts the focus to the leader's relationship with followers within such structures - followers being critical agents in the leadership process.

2.8 Relationship-based theories

2.8.1 Followership

Leader-follower relationships can be conceptualised as: dyadic, group/team and organisation (Yukl 2009a), reflecting different leadership approaches needed where follower numbers and/or distance varies. In recognising the relationship process over individual attributes, modern thinking moves closer to Follett who emphasised follower significance. However, it was not till the 1980s when Robert Kelly, described as 'a followership pioneer', Antello, Prilipko and Sheridan-Pereira (2010:1), strongly argued that followers deserved more attention. Kelly insists that '...conversations about leadership need to include followership because leaders neither exist not act in a vacuum without followers.' Kelly (2008:5). Follett claimed that followership is not simply following and obeying, but is, 'helping to keep [the leader] in control of the situation', being active, not passive (in Graham 1996:170). Intelligent leaders, she argued, dislike "yes-men". She regarded 'consent of the governed', (willingness to accept direction), as dated, preferring 'consent of the governing', with followers offering suggestions for the leader's consideration - a form of empowerment. Arlinghaus (2006:8) too valued beneficial followers, as having '...a tremendous positive impact on their leaders', challenging them and employing 'independent, critical judgement of goals'. Carsten and Bligh (in Riggio et al. 2008:277) go further, asserting that, '...the importance of followers in the creation and visualisation of vision is equal to, if not greater than, the importance of strategic leaders.' They consider the tendency to empirically examine the creation, communication and delivery of strategic visions from the leader's perspective inevitably overstates the leader's role, underplaying that of followers. Whilst followers' support is necessary, Carsten and Bligh (2008) argue that followers must own the vision, having been involved in its genesis, otherwise commitment and engagement diminish and strategy may fail.

Followers therefore help to generate the vision and aid or diminish its deliverability, thus impacting on the leader's efficacy. Lynn Offerman's work (2004) identified leaders as possible victims of a 'version of majority rule', exemplified by IT company leaders, permitting technical colleagues to persuade them to produce products that ultimately failed to please customers (Goffee & Jones 2006:25). Goffee & Jones (2006) also identify followers who flatter, to fool their leader, or are simply alienated. Bjugstad, Thach, Thompson and Morris (2006:304), found a '...lack of research and emphasis on followership relative to leadership in the business world ...ironic, considering that the two are so intertwined'. Attributing this to the stigma associated with 'followership',

creating ideas of passivity, weakness and conforming to leader demands, they too argue that leader effectiveness requires follower consent.

Bain, in 1982 and Green in 2000, tried to determine individual follower motivations, building on Vroom's 1960's expectancy theory to define three conditions required for follower motivation - confidence that they can deliver as required, trust that outcomes will align to their performance and their satisfaction with those outcomes. Bjugstad et al.'s main contribution is an integrated model combining Kelley's, four follower types, (alienated, conformist, passive and exemplary), with Hersey & Blanchard's Situational Leadership Quadrants of 1982, identifying how leaders should behave to motivate different types of follower (Bjugstad et al. 2006). Goffee & Jones (2006) suggest good leaders must have experience of following, with Follett (in Graham 1996) saying good leaders must know when to become followers. Latour and Rast (2004) believe that in military service, dynamic followership leads to leadership and all must be leaders and followers simultaneously, throughout their career.

2.8.2 Leader Member Exchange Theory

By the mid 1970s, a refinement of leader-follower theory evolved, as Leader-member exchange (LMX) theory, derived by Dansereau, Graen and Haga, and developed further by Graen and Cashman in 1975 (Northouse 2007). LMX theory recognises that leaders do not treat all followers identically, and addresses the development of different roles between a leader and specific individuals. Originating from vertical dyad theory (Graen, Dansereau, Minami, & Cashman 1973:623), it suggests that in a one-to-one relationship, a high-exchange or low-exchange relationship develops. Based on personal attributes, personalities and subordinates' competencies, an 'in-group' and an 'out-group' evolve. In-group members are closer to the leader, more trusted, receive more interesting projects and so forth. Research centres on the quality of exchanges, applying up to 15 different measures. High quality leader-member exchanges are desired, resulting in better attitudes and lower staff turnover - generally enhanced, productive working relationships. Where follower rated LMXs are tested, however, the correlations with leader LMXs have been lower than expected which either questions the measurements, or suggests a leader-subordinates perception gap (Schyns, and Wolfram 2008). Encapsulated in 'implicit leadership theory' this means that a follower's judgement is not related solely to the specific leader's actual performance, but is mediated by the followers' beliefs of how a leader *should* be, and the follower's needs, Schyns, Kroon and Moors (2007:772). Thus followers requiring very structured work environments, with clear tasks, may struggle with a transformational leader, who promotes change and innovation (Felfe and Schyns 2006, in Schyns et al. 2007).

From the authors' work and views cited above, it is evident that followers can have more impact than many leader-centric theories acknowledge, but most still assume one leader, multiple followers and a top-down structure with the followers' role being to support the leader. Robert Greenleaf, however turns the leader-follower relationship up-side-down, placing the leader effectively in service to the staff.

2.8.3 Servant Leadership

Defined by Greenleaf, in the 1970s, servant leadership requires concern for and empathy with followers and external stakeholders, removing social injustices and inequalities. Having strong follower:leader relations an altruistic servant leader empowers staff, receiving their loyalty, support and commitment and fosters a service-orientated philosophy (Barbuto & Wheeler 2006). Thus, 'institutions should serve people' (Stanzione 2009:60) displaying, although not claiming, utilitarianism (Barista 2008; Spears 2009), - a philosophy defining an action's value as being dependent on the welfare to individuals of its outcomes. Importantly, 'servant leaders... act on what they believe' (Greenleaf 2002:341), reflecting debates on authenticity, and create 'change by convincement rather then coercion...' (Greenleaf 2002:44). Greenleaf, however, goes beyond "leader as *supporter"* and challenges the traditional "one person at the top" hierarchical pyramid, evidenced by most organisational structures. By placing accountability on the one leader, he argues, we will inevitably demand even stronger leadership to 'further strengthen the control of this one person at the top', which he believes generally '...exacerbates rather than alleviates the problem.' (Greenleaf 2002:74). The ideal, he argues is the Roman concept of *primus inter pares* or *first among equals.* Thus, the leadership team should be composed of equals with this *primus*, surrounded by trustees who are truly accountable and cannot simply delegate their responsibilities to a CEO. He considers that trustees who effectively hide behind the traditional hierarchy, thus abrogate their true responsibilities. Furthermore, he considers that: 'To be a lone chief atop a pyramid is *abnormal and corrupting*', (Greenleaf 2002:76), turning colleagues who can help and guide into subordinates who will not sufficiently challenge and communicate with the leader, ultimately damaging the organisation.

This is one of the few leadership theories that far from endeavouring to explain how leadership typically operates in western cultures, offers an alternative conceptualisation for the whole leader-follower relationship and even for the whole structure within which organisations operate. He is not however arguing for a radical structural change, more

a re-interpretation of how those structures and relationships should operate. He argues that leaders should essentially do good and worthy things, whilst acknowledging that leaders can at times harm followers and the organisation, either through aversive (coercion-based) leadership, '...dysfunctional traits, nefarious behaviours...', self-interest, bullying, intimidation and other dubious behaviours, resulting in *destructive leadership* (Thoroughgood, Hunter and Sawyer 2010:647).

2.8.4 Social Network Theory

Whilst servant leadership effectively inverts the traditional pyramidal leadership hierarchy, social network theory stresses 'the importance of relations, actors' embeddedness, the social utility of connections, and the structural patterning of social life' (Balkundi and Mildruff 2006:419). Bringing social network theory together with leadership theories, such as LMX theory, Balkundi and Mildruff (2006) argue that a leader has to understand the complexity of, and be able to manage, the social structures within their organisation and recognise the social influence patterns. With particular focus on the relationships between individuals, they consider social networks' relevance to leadership to be: a) the *'Social Capital*, that collects around individuals', based on their social perceptions [emotional intelligence?] and 'the structure of their social ties'; b) their investment in '*social relations'* with others, c) *'embeddedness*' in the social networks prevailing, d) the organisation's '*social structures'* and e) the impact of the *'social network'* on emerging leaders. The degree to which their 'principles' are then managed by leaders within three networks: 'the ego network, the organizational network and the inter-organizational network', determines the leader's effectiveness (Balkundi and Mildruff 2006: 421-422). Regarding social network theory as 'at the intersection of leadership and team dynamics', Bligh et al. (2006:311) suggest that leadership studies will need to focus less on conceptualisations of individual's behaviors and characteristics (as in trait theory) and more on leadership as a social process, explored within a context of influence-networks and social relationships.

These relationship based theories, unlike the previous leader-centric theories, therefore place greater emphasis on followers and the relationships across complex social networks. They suggest that leadership is not a simple construct based on one leader at the top of a power pyramid, but a far more complex process of interactions across a matrix of (often informal) inter-connected relationships. Inevitably, where social processes and relationships prevail it is necessary to at least acknowledge the potential impact of gender, race and culture on the outcome of interactions such as leadership:followership.

2.9 Gender, Race & Culture

The issues of gender, race and culture should merit a complete review, however, not being the main research focus, they are included to acknowledge their impact on leadership, but addressed only briefly. Since equines exhibit distinct gender-based differentiation in leadership roles and behaviours, (outlined later), this research does respect the equine gender divide. There is more debate regarding gender-based leadership dynamics in humans, however - a brief overview of which follows.

Yoder (in Schyns, von Elverfeldt & Felfe 2008) is credited with dividing leadership into 'masculinised', (hierarchical, directive, agency based) and 'transformational', (influence and empowerment). Arnold and Loughlin (2010:670,682) found, 'Male leaders in particular were less likely to sacrifice their personal interests to develop employees' - suggesting staff development implications and some research suggests women leaders demonstrate more transformational leadership, whilst men can be more transactional (Alimo-Metcalfe 2010). Whilst some researchers argue that there are no real gender-related differences, male and female leaders have been found to hold different mental 'prototypes' of leadership with perception differences varying across countries and industries (Paris, Howell, Dorfman and Hanges 2009). Additionally, men are more likely to be pre-selected for leadership and identical behaviour will be more valued when attributed to a male leader (Kolb 1999). Focussing on the impact of culture, Den Hartog, House, Hanges, Ruiz-Quintanilla and Dorfman (1999) determined that: Culture evidently affects the success of leadership styles: vision and good communication skills are universally highly rated, whilst charisma is culturally dependent. They observed that the Dutch dislike 'heroes', Mexicans regard charisma with suspicion and the Chinese prefer modesty. In more egalitarian Denmark, 'dominance and ostentatious displays of power', are not well regarded (Den Hartog et al. 1999:6). Generally, they concluded that the transformational approach is supported across many different cultures, with more masculine cultures apparently more tolerant of strong, directive leaders than feminine cultures, where more consultative, considerate leaders are preferred.

From this brief overview, it is clear that gender, culture and potentially race have an impact on leadership and this should be considered when restricted scale, mono-cultural or single-gender research is evaluated for generalisability or transferability. However, despite the gender-based role dichotomy of stallions and mares (see below), gender is not the key focus of this particular research, although it would be a logical

future extension. The preceding sections provided an over-view of the more recognised leadership theories for human leadership. The following section addresses animal leadership to provide further insights and perhaps identify common behaviour patterns between humans and animals.

2.10 Horse Herds and Leadership

Fables and novels create an image of the proud stallion protecting his passive herd of mares. More recently, horse handlers across the world have come to speak of herds being primarily led by an *alpha* (dominant or lead) mare, who will select new grazing, discipline youngsters, decide when young colts should leave a herd and generally control day-to-day herd management. The stallion's role is considered to be centred on procreation and aggression towards competing stallions. However, mares are not particularly passive and alpha mares can display aggression on occasions and will defend a herd where no stallion is present (Bennett & Hoffman 1999; Feh 1999).

Bennett and Hoffmann (1999), reviewed 169 articles and books, summarizing the evolution, distribution and behaviours of wild horses, up to Equus callabus (Mongolian wild horse). In this subgenus, family groups, normally around six unrelated mares and a stallion, remain in closer contact with the larger herd in the breeding season, without much evidence of stallions fighting when family groups come together to form bigger herds. Family groups with up to five stallions have been observed (Linklater, Cameron, Minot and Stafford 1998). The cohesive group typically follows one of the alpha mares, often in single file, with the stallion to the rear. If another stallion threatens to steal mares, the herd's stallion may move forward to attack the challenger. The stallion's 'leadership' is generally threatening, whereas a lead mare walks forward and others apparently choose to follow - 'When rounding up females, males slink around with their ears laid back and head lowered in a threatening position, and chase, bite and kick females, while females generally kick back at males' (Bennett and Hoffmann 1999:628). Such observations suggest the herd willingly follows an alpha mare, (often the same mare, in smaller groups), but resists being moved by the stallion. The mares are not instinctively submissive to the stallion, although they may form affiliative bonds, (resembling human friendship) with him.

The lead (or alpha) mare's role, appears to determine times and direction of daily movement, 'Many of the behaviours of other herd members are directed to her, not to the alpha male, who is not a herd member in the fullest sense.' (Bennett and Hoffmann 1999:628). Elephants and deer display similar supportive matriarchal behaviours in

family groups (Darling 2003; O'Connell 2007). Rassa & Lloyd (1994:174) however, refer to dominant Zebra mares being 'highly aggressive' and holding a 'quasi despotic position'. Fischhoff, Sundaresn, Cordingley, Larkin & Rubenstein (2006), focused on social relations and leadership, studying Equus buechellii, the plains zebra. Approximately 700 such zebra observed in a conservancy in Central Kenya, lived in stable 'family groups' (a stallion, several females and offspring), or alternatively non-breeding 'bachelor' groups. Groups occasionally joined to form large herds which were of much shorter duration and low cohesion. In stable groups, the female hierarchy prevailed and specific mares tended to lead. In less stable times, or when groups joined to form large and diverse herds, each smaller group functioned as a 'cohesive decision making unit' (Fischhoff et al. 2006:826), remaining a tight family group, and herd movement was through 'distributed' leadership, i.e. no one group consistently instigates movement. This, the authors attributed to differing needs and experiences of individual family groups, suggesting that, 'Individuals' history of leader-follower interactions and outcomes is another possible source of variation in leadership', and that they 'expect individuals to be more likely to follow others that have previously led them to rewarding locations (Fischhoff et al. 2006:826) - reflecting the impact of life histories on leaders and human path-goal theory.

Horses and various other quadrupeds thus exemplify social groupings, long-term hierarchical relationships and two contrasting forms of leadership, both achieving different outcomes - the stallion creating stress and adrenalin highs to initiate dramatic movement in times of threat, reflecting charismatic leadership - the mare providing quiet leadership to good outcomes, (e.g. new pastures). These are arguably situational differences in leadership with the key roles distributed between the alpha male and alpha females. Significantly, hierarchies are self-determined, non-linear and stable, with individuals entitled to challenge others, although mares tend to settle their respective ranks after brief disputes, (Bennett and Hoffmann 1999; Darling 2003; O'Connell 2007; Fischhoff et al. 2006). The apparent pattern is thus a matriarchal, often older, alpha mare 'running the herd' with a stallion providing additional defence, mainly from other stallions.

2.11 Alpha Leaders and the Leadership Mythology

In nature, Alpha leaders are not, *'Homo economicus,* obsessed with [his] own self interest', (Mintzberg 2002:68), but are animals that assume leadership, when their skills or attributes are best matched to the situation, (Lopez 1978). Lopez studied wolves and explains how the pack hierarchy is a dynamic social structure that can, at times, be completely reversed. He challenges the way humans like to imagine that, 'intimidation, pulling rank and games of psychological cruelty based on social structures,' are typical of animal groups, and suggests that when humans identify such traits in animals, they are actually imposing corporate dominance hierarchies incorrectly on the animal behaviours (Lopez 1978:33,34).

Ernst Mayr, an evolutionary biologist, argues that altruism is actually favoured by natural selection and likewise argues that 'the old thesis of Darwinism - strict selfishness - was based on an incomplete understanding of animals, particularly social species' or misinterpretation of Darwin's theories (in Mintzberg et al. 2002:69). Thus social dominance and expertise are more important than physical, aggressive dominance and social animals benefit when they co-operate for the common good.

This evidence suggests therefore that socially dwelling animals form socially supportive groups which are typically matrifocal, with the group cohesion centred around an often older matriarch. Within the family based group individuals exchange roles to suit prevailing needs. Beyond this, there is a newer interpretation of horse-herd behaviour achieved though more scientific empirically-based observations (Rees 1993; Marsden, publication due 2012). This research found that hierarchies are dyadic and there is not one 'alpha mare', but a number of dominant mares, any one of which can initiate herd movement. Since it takes courage to leave the group safety, these 'braver' individuals are often more mature and experienced, with the herd more likely to follow them as they have previously delivered good outcomes. It seems a very successful - if potentially unwitting - form of leadership. Stallions are not really 'leaders' but chase the herd at times, generating fast movement. At most times, stallions actually follow, but do not lead, (Kiley-Worthington 2005) and are as submissive to other aggressive horses as any other herd member (Rees 1993).

2.12 Conclusions on Literature Review

Starting with human leadership, this review shows a general move from earlier trait-based theories to behaviour theories and then transforming styles, particularly transformational, whilst many older theories remain popular, e.g. charismatic leadership, reflecting their fundamental logic. Recent constructs, notably emotional intelligence return to investigating specific attributes of good leadership. Within this review's limitations, it suggests that the vast body of research and resulting, increasingly complex and occasionally contradictory theories, mirror the complexity and variability of leadership challenges in an increasingly dynamic business environment.

However, there are arguably two extremes that emerge. Earlier theories were very leader-centric, evolving from the near hero-worship of 'Great Man Theory', focused on the leader's traits, charisma and strength of character, creating almost God-like imagery. He rises to this exalted status where turbulent external environments require confident, autocratic decisions to 'save' his organisation. Little was said of followers and the leader's relationship with them. Indeed, with 'Taylorism' arising early in the 20th century (Fleischman 2000) and 'Fordism' (Murray 2005), followers were not individuals to be related to, but elements to be managed. Advocating operational efficiency, Taylor applied analytical, scientific approaches to rationalise processes and facilitate control of production. Effectively reductionism, Tailorism defined the discrete role required of each worker and how it should be performed (Boyns 2001; Anon. 2006) and was first applied by Henry Ford, in his early motor vehicle production-lines, termed 'Fordism' (Murray 2005). Modern charismatic leadership theories evolved around the First and Second World Wars, reflecting nations' desires for saviours during a crisis. Like a stallion 'defending' his (often un-willing) mares from another stallion, the charismatic leader mirrors the dramatic, dictatorial, autocratic response to crisis. The power lies with him and he will resort to force as he deems necessary, relationships with workers (the mares) being unimportant. Embedded in the popular psyche, charismatic leadership permeated the corporate world, remaining despite the return of peace (Dixon and Westbrook 2003).

Later theories began to address relationship issues and consider not just who a leader was but how he related to others, moving towards the other extreme of the servant leadership approach, where the leader is not omnipotent but serves and supports his colleagues. The role of others arises in distributed leadership, network theory and the recognition of followers' impact on leader success, suggesting a different power balance in the leader-worker context and emphasising relationships. Contextual

aspects also gain attention, through the situational and contingency theories. In theory a highly charismatic, hero-like leader who genuinely regards himself as his followers' servant should be possible, but published research suggests this is not the norm.

Leadership theories tend to overlap, rise and diminish in popularity, but in simplistic terms, leadership theory evolution could be expressed as Fig. 4, where the grey infill is the team, the leader the black dot and pyramids represent hierarchical structures - the circle of distributed leadership implying has hierarchy has reduced significance:

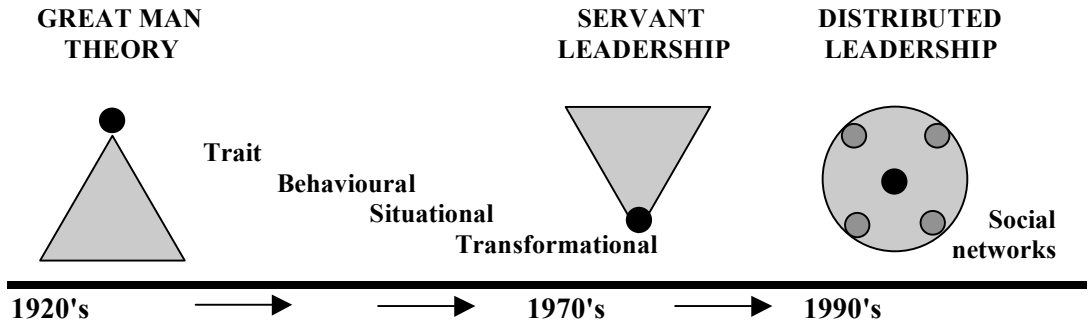

Fig. 4 A simplified evolution of leadership theories

Many theories suffer from reducing leadership to one specific pattern/model of behaviour, whilst the complexity and dynamic nature of business suggests no one leadership solution is universally applicable. This tendency may reflect a desire for quantitative data. It requires belief that there are absolute distinct social realities of leadership that can be identified and empirically measured, existing independently of the individuals involved in their influence. Klenke asserts that 'Historically, leadership research has been grounded in the objectivist, positivist, quantitative paradigm...', (Klenke 2008:1). Whilst researchers may declare an inductive approach, creating theories from empirical data, the very framing of questions for research questionnaires, e.g. the MLQ, may itself create inherent biases. In analysis, many leadership theories achieve only slight empirical support, with minimal statistical correlations found in meta-analysis (Northouse 2007; Yukl 2009b). This suggests the foundation of some models, particularly those that ignore the followers' role, is questionable or perhaps they only address a limited part of the leadership:followership process e.g. charismatic leadership, seeking simplicity not supported empirically in a complex world.

There is thus a strong argument for a more qualitative approach to leadership studies, as quantitative approaches can identify trends and patterns, but not explain the implicit motivations and meanings, nor necessarily address the context-dependant elements of leadership and followership. The more functionalist, ethnographic approach of Follett and others often, despite the lack of quantitative testing, delivers concepts familiar to practitioners.

Returning to equine leadership, there appears to be a similar dichotomy arising between the stallion and the mares' leadership behaviours and the extremes of Great Man Theory to Servant Leadership. When the stallion creates herd movement it is generally from behind, requires high energy, a perceived threat and often becomes very directive and coercive, reflecting the 'Charismatic' end of the human spectrum. When following an alpha mare, the herd is calm, often slow moving. There is no coercion and followers apparently 'vote with their feet' and the researchers' view is that this relates to belief that the mare's expertise and experience leads to good outcomes. This coercive versus more passive, nurturing approach also somewhat reflects McGregor's Theory X - Theory Y split of leadership styles (in van Maurik 2001). However, no-one claims to have identified communication by the mare to impart her intentions and the 'good outcomes' motivation is only assumptive, we humans assuming that they follow because of affiliative relationships (usually genetic, family ties) and because of previous good outcomes. No researchers claim that it was always the same mare that initiated movement, or indeed dispensed discipline, although typically older more experienced mares were identified as being 'alpha females'.

In conclusion, the patterns of leadership behaviour exhibited by horses and other pack-dwelling animals in the literature reviewed, relate well to some of the human leadership theories supporting the equine metaphor's potential for exploring human leadership. Animal studies typically attempt to identify leadership activities through interpreting the interactions empirically observed in herds. Human leadership theories tended to focus on the behaviours and styles of individual leaders, only more recently beginning to address the complexity of the social networks within which leadership occurs. Interestingly, little debate was identified questioning how there can be so many, sometimes contradictory, human leadership theories nor importantly, what underlying structures, mechanisms and dynamics facilitate leadership. Why do people follow at all?

The original research undertaken for this thesis therefore aims to fill the gap in previous investigations to address exactly how, through what core process, leadership happens naturally, and to do so by exploring the equine metaphor and contrasting it with human leadership through the ontological lens of critical realism. It was thus necessary to review the breadth of popular leadership theories to enable their consideration in the context of any natural leadership process identified and to offer the potential to explain how so many, sometimes conflicting, theories can still hold some currency. If the structures, mechanisms and, especially, the dynamics identified by this research can hold any universality as a core process they must accord with the theories already existing and believed to have credibility.

3. The Research

3.1 Introduction to the Research

The following section outlines the research principles, highlighting the philosophical underpinnings, methodology and methods employed. As stated, the main research was based on twenty-six qualitative semi-structured interviews. A pilot study was undertaken to trial and challenge the suitability of the chosen techniques in relation to the research's aims, practicalities in execution, and desired outcomes. The pilot study results were reviewed and the adjustments made to the main research approach prior to its execution.

Since the aim of the research is to explore the phenomenon of leadership, (after identifying the suitability of horse-herd leadership as a metaphor for human leadership), it involves exploring human leadership experiences and observations, through the equine prism. The interview focus is therefore to gather information to facilitate the comparison of equine and human leadership (as observed and perceived by humans) and the patterns of behaviour identified are then related back to leadership types and styles identified through the literature review, in order:

- To seek a deeper and more meaningful understanding of the dynamics of the leadership process for application in the business environment.
- To explore these dynamics through the prism of an equine metaphor, seeking the core structures, mechanisms and dynamics of the natural leadership:followership process.

The core research interview objectives for both human and equine leadership were therefore:

- To elicit individuals' leadership experiences and observations.
- To explore their perceptions of these experiences and how they make sense of them.
- To identify patterns in leadership behaviours.
- To seek underlying structures, mechanisms and dynamics in leadership behaviours.

To address these questions and determine the appropriate research methodology, the philosophical underpinnings first require discussion.

3.2 Philosophical Background

A researcher's philosophy has such an impact that "...it is not possible to conduct rigorous research without understanding its philosophical underpinnings.' (Klenke 2008:14). Cresswell and Plano Clark (2007:21) stress philosophy's role by describing researchers' 'worldview' or paradigm as the foundation of their approach to enquiry. This, sometimes acknowledged, worldview underpins assumptions about the way the world is, (ontology), how to gain knowledge (epistemology) and the type of research to apply (methodology) through to method selection. Simply, a researcher should acknowledge their beliefs and biases, which impact on the research approach, execution and data interpretation - and, by acknowledging them, justify research processes and outcomes (See Fig. 5 below). Philosophy is intrinsic to research, whether expressed explicitly or implicitly - as, Ackroyd and Fleetwood (2001:10) assert, 'everyone has an ontology'.

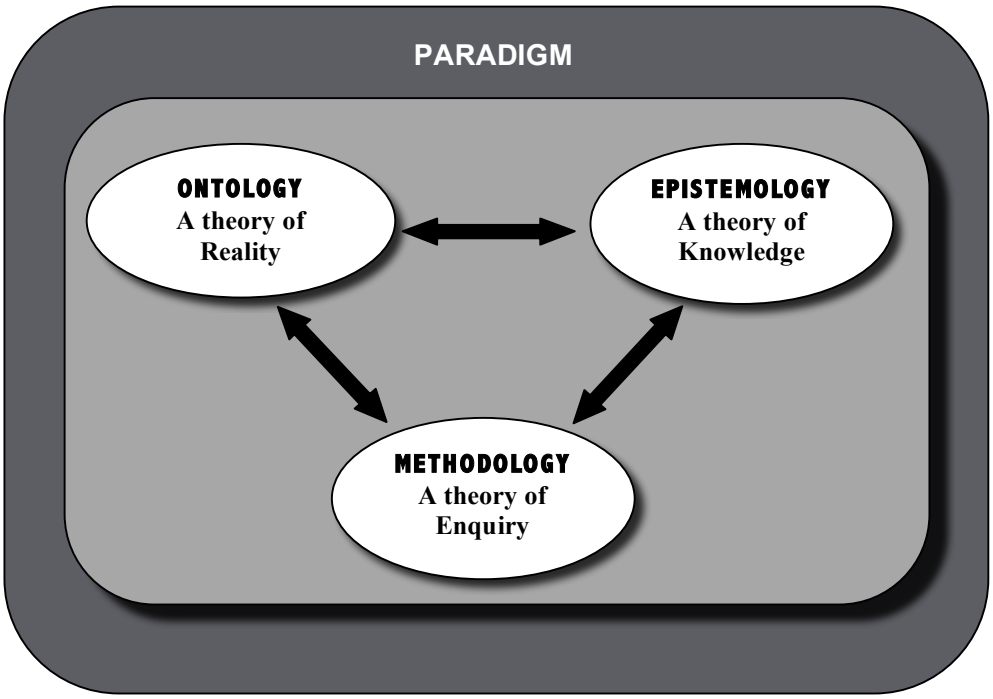

Fig. 5 The philosophical research triangle (Adapted from Klenke 2008:18)

As a practitioner, the author's worldview accords with many of the attributes of pragmatism as outlined by Omerod (2006:906-907) in relation to organisational research, particularly in '...placing theory in the service of practice' and '...learning based on experience, experimentation and action.' He also argues that it '...is flexible enough to accommodate other philosophical positions' and encourages an outcome-

driven focus. Mingers (2000:1258) describes pragmatism as a view that science is '...essentially a practical activity aimed at producing useful knowledge rather than understanding the true nature of the world' - unlike positivism that searches for "truths". This fits the research aim of creating a usable or *practical* construct for leadership. Pragmatism-based research typically focuses on the experiences of social actors drawn from interviews, cases and surveys (Klenke 2008:20) and as Ulrich (2007:1009) suggests, it offers a 'philosophy for professionals'.

Klenke (2008:20), writing on leadership research, suggests that a pragmatist paradigm will evidence an epistemology that assumes:

> *'Knowledge is derived from experience; researcher as reconstructor of the subjectively intended and "objective" meaning of the actions of others.'*
>
> (Klenke 2008:20)

Within this pragmatic paradigm, the pilot study and research were approached through the ontological lens of critical realism and a phenomenological epistemology. This philosophical approach relates to the research aims - exploring leadership as observed through experiences, events and patterns in horse and human leadership, which are apparently based on deep power structures or relationships. Seeming to occur independently of observation or external intervention, these behaviours are clearly mediated by the individuals' experiencing the event or relationship, who can exhibit some choice in how they interpret and respond to them. Furthermore, such leader:follower interactions are inevitably subject to additional interpretation by any observers. At first glance this suggests a curious clash of realism and relativism.

Relativism essentially sees realities as existing through the perception of humans and relativist philosophies typically employ qualitative, interpretivist techniques, often phenomenology or case study, aiming at deep-level investigation, (Cresswell 2007a). Seeking deeper meanings through human perception is relevant to this research, in the context of exploring the underlying dynamics, structures and mechanisms of the leadership process through in-depth interviews, to understand how leadership actually works. However for practical application of the resulting knowledge, for example by providing a contextual framework to enhance the understanding of leadership, the outcomes do require to be 'transferable', if not generalisable (van Aken 2005:21). Purist relativist-interpretivist philosophical approaches would not deliver this transferability nor permit the potential for 'realities' to exist independent of human observers.

In contrast, a realist ontology accepts 'reality exists "out there", driven by immutable laws and mechanisms', thus the '...world surrounding an individual is concrete and the components within that world exist independently of an individual's ability to be aware of them' (Meredith 2001:327). A realist approach could suggest an objectivist epistemology where, 'social entities exist in reality external to the social actors concerned' (Saunders et al. 2007:108), following a deductive route with theories conceived, then empirically tested (Bryman & Bell 2009). Similarly reductionist, positivist approaches could question a specific leadership element, requiring a restricted environment (Downward, Finch & Ramsay 2002) - a closed system approach. Leadership clearly happens in open systems, with situations, behaviour, team dynamics and so forth varying contextually and temporally. Fleetwood (2006:76) insists there are '...very few spontaneously occurring closed systems in the natural world and none in the social world...'. This research addresses both the natural and social worlds of humans and horses, negating a closed systems approach. Unlike positivism and empiricism, realism however does accept that independent 'realities', may be '...disputed, not directly observable...' nor open to empirical analysis, (Ackroyd & Fleetwood 2005:6). Critical realism goes further, allowing for social and historical relativism, with realities we may perceive, and can be involved in or affect. This permits the possibility of leadership dynamics or structures, displayed through events individuals can experience, perceive and/or interpret differently.

Bhaskar (1997) argues for a stratified ontology (see Fig. 6 below). The 'empirical' realm is experience based only, whereas the 'actual' are the events or 'objects of the experience', and the 'real' provides the deeper realm of 'structures, mechanisms and associated powers' (Downward et al. 2002:481). Critical realism therefore encourages research depth and breadth and searches for this 'deep dimension, [of] ...generative mechanisms producing the events in the world' (Danermark, Ekstrom, Jackobsen & Karlsson 2006:43). In this case Bhaskar's events and experiences are sought through the interviews.

	Domain of REAL	***Domain of ACTUAL***	***Domain of EMPIRICAL***
Mechanisms	***X***		
Events	***X***	***X***	
Experiences	***X***	***X***	***X***

Fig. 6 The stratified ontology of critical realism (Bhaskar 1997:13)

Bhasker's "mechanisms" relate to leadership structures, dynamics and mechanisms as defined in Fig. 1, combining to form the leadership process. These elements potentially emerge in the analysis of interviewees' perceptions - what is behind what happens, why does it happen? It is from the stories behind the events, with the emotions and reactions to interviewees' experiences of the events, explored through a phenomenological methodology, that deeper "mechanisms" may be sought.

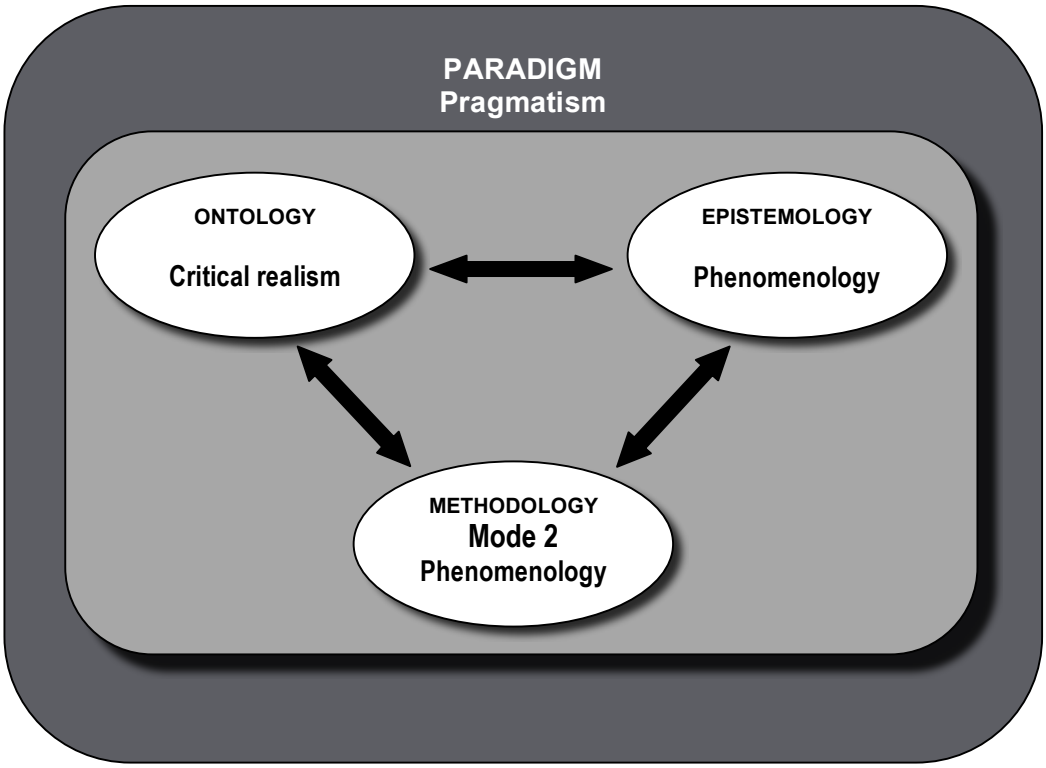

Fig. 7 The philosophical research triangle as applied to this research.

(Further adapted from Klenke 2008:18)

Critical realism, by accepting 'realities' (realism) but mediated by the observers of them (relativism) (Fleetwood 2005), resolves the 'curious clash of relativism and realism' highlighted above and best reflects the desired outcomes of this research. Critical realism accepts quantitative and qualitative methodologies, particularly combined as mixed-methods research, allowing for quantitative research if desired in the future (Cresswell & Plano Clark 2007). Fig. 7 summarises the philosophical basis of this research.

3.3 Research Methodology and Methods

The application of a qualitative, phenomenological methodology, underpinned by a critical realist ontology, enhances the potential for discovering deeper dynamics, structures or mechanisms beyond 'what' happened and 'how' people or horses experienced it, to 'why' it happened - thus identifying these more hidden yet intrinsic driving forces behind a leader's desire to lead and followers' desire to follow. Alvesson and Spicer (2011:4) in, "Metaphors We Lead By", argue that, 'Complex cultural phenomena cannot be measured using some sort of standardized scale', instead they must be interpreted, requiring, 'an ambition to go deeper, to acknowledge uncertainty, work with our imagination and be quite open about our insights' - supporting this research methodology. The pilot and subsequent research employed qualitative semi-structured one-to-one interviews, eliciting personal stories and reflections on leadership experiences of business men and women, representing both followers and leaders. Interviewees were invited to include a short personal narrative, (c.5 minutes) about a leadership event or leadership experience that holds particular significance for them. To explore the horse analogy, comparable interviews were held with suitably experienced individuals, (equine handlers, trainers and/or owners), to glean their understanding of horse leadership behaviours.

The qualitative approach recognised the 'exploratory' aims of the research and its focus on group leadership behaviours 'interactions among people...[which] are difficult to capture with existing [quantitative] measures.' (Creswell 2007:39,40). Employing a semi-structured interview format allowed the researcher's a priori themes to be addressed, whilst encouraging the respondents to '...develop ideas and speak more widely on the issues raised' (Denscombe 2005:165-167). This permits emergent themes to arise, giving the respondents the opportunity to offer more personal and sensitive reflections if desired. Such qualitative research also suits 'a concern with patterns of behaviour...', (Denscombe 2005:267). The quality of the interviewees' contributions prompted a change in the proposed methodology away from the initial intention of employing qualitative interviews to inform quantitative survey. Instead, a phenomenological and therefore purely qualitative approach was adopted to exploit the richness of the interview data. (See Chapter 9).

Researching followers and leaders, by considering both sides of the issue, is a naturalistic approach and is essentially cultural rather than topical, being about routines, rituals and patterns, not one specific occurrence or situation (Rubin & Rubin 2005). Triangulation is a term Denzin (in Bryman & Bell 2009:142) is credited with

introducing for research employing, '...multiple observers, theoretical perspectives, sources of data, and methodologies.' This research offers 'multiple observer' and 'data' triangulation. A quantitative approach such as a survey would provide methodological triangulation. (See Appendix 1.) Such Mode 2 research, in-keeping with the desire for practical outcomes (van Aken 2005), is 'transdisciplinary' and 'problem focussed' (Aram & Salipante 2003:190). Essentially Mode 2 research goes beyond *validity,* to achieve *relevance* - especially to practitioners (van Aken 2005:19).

Burgoyne & Turnbull-James (2006:309) describe Mode 2 based leadership research produced for the Council for Excellence in Management & Leadership, explaining how their questions evolved to address issues of 'what works, where and why?'. They describe their's as 'normative theoretical output', as it implies recommendations for something to be done, unlike 'descriptive', which is limited to *how* things currently are, analytical (*why* things are as they are) and critical (*challenging* how things are) (Burgoyne & Turnbull-James 2006:312).

The data gathering, trialled in this pilot study, and performed in the main research, may potentially challenge typical leadership conceptions, and aims to identify what happens, why, and how it is experienced. Ultimately the aim is the application of the resulting knowledge in organisations, to enhance understanding of the leadership:followership process and thus, afford the opportunity for improved leadership practice in the workplace. The research pathway is outlined in Fig. 8.

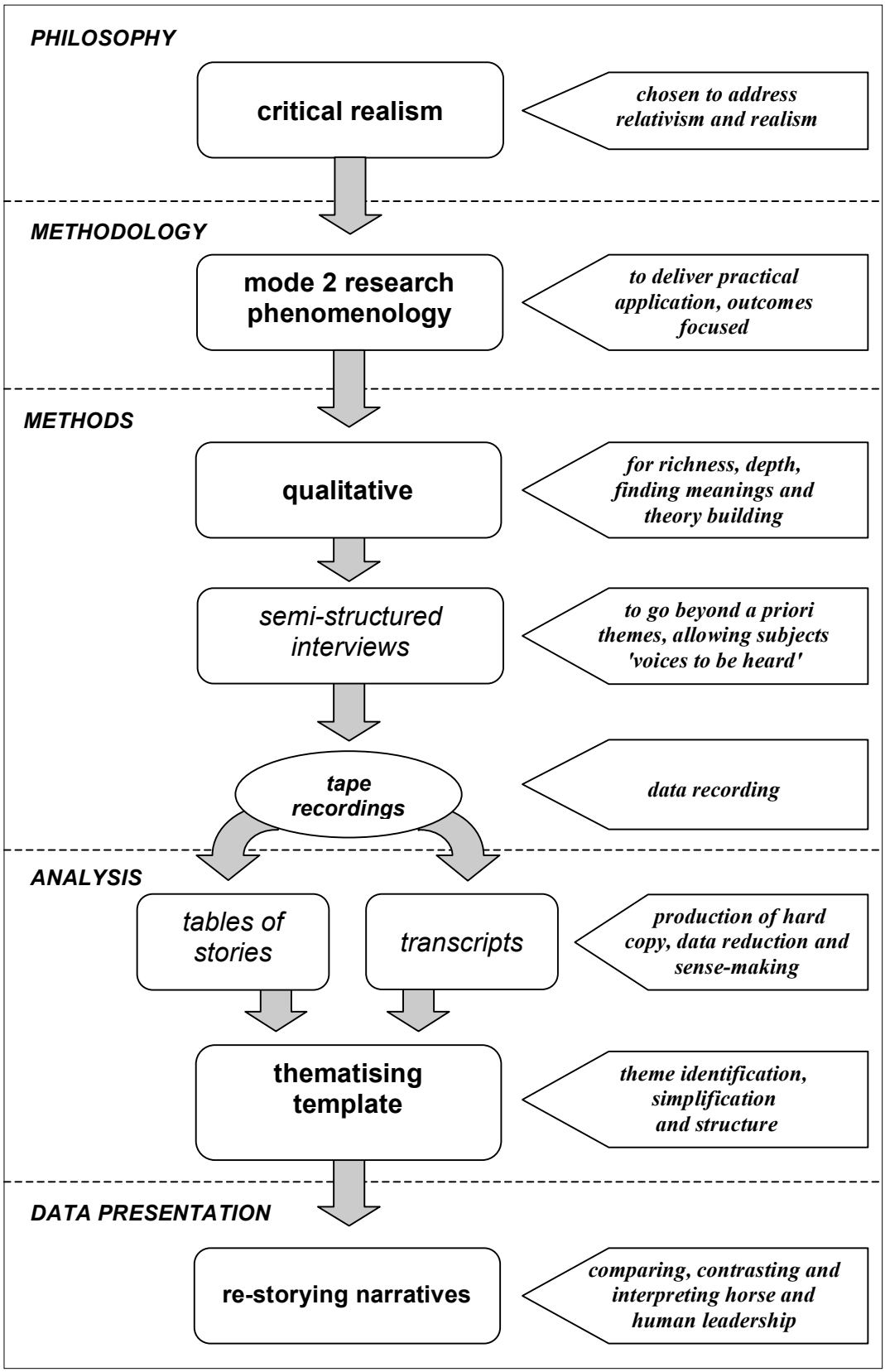

Fig 8. The research pathway

3.4 The Pilot Study

The pilot study trialled the following (equine and human) research elements:

1. Sampling procedures
2. Constructing the interviews
3. The interview process
4. The interview questions
5. Interview transcription and analysis methods

3.4.1 The Pilot Sampling Procedures

Basing sampling on 2 interviewees directly known to the interviewer and 2 sourced through introductions, aided interviewee sourcing and evaluation of the impact of researcher familiarity on interviewees' comfort, openness and so forth. Business interviewees were a leader, a follower and a follower with limited managerial experience, to determine the efficacy of the interview structure, irrespective of interviewee experience or status. Sampling was trialled for replication potential, timing, budget and practical limitations and to ensure there was not excessive sample variation preventing behavioural pattern identification. An additional section provided respondents' feedback on the experience, particularly to ensure they had felt able to express themselves and not felt 'led' by the questions or format. The interview process was thus assessed in terms of practicality, the interviewee experience, the analysis method suitability and outcome quality and usability. (See Fig. 9).

To evaluate the narrative element, the pilot addressed interviewees' comfort with narrating their thoughts or experiences, the practicality of allowing the interviewees to select the subject and whether this freedom elicited deeper meanings. Any benefit of advance warning of this element was also noted.

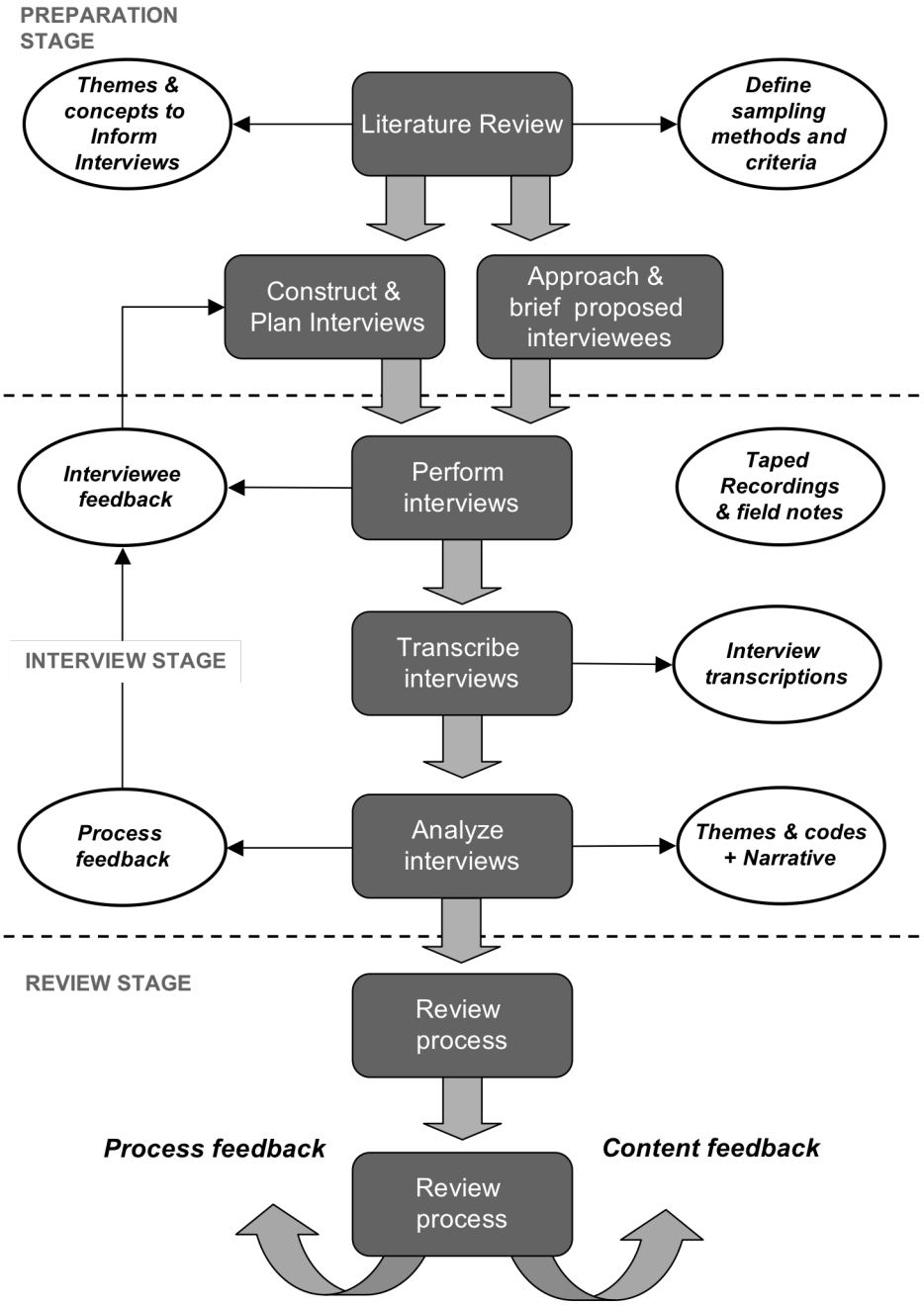

Fig 9. The pilot study process

3.4.2 Pilot Analysis

Data was analysed using 'Content analysis' (Kvale 1996:68-69; Patton 2002:463), to trial its methodological suitability and specifically the appropriateness of the resultant information in the context of the desired research outputs and its critical realist underpinning. Words and phrases of similar meaning (codes) were identified, grouped (convergence) and their recurrence noted in a coding template (see Appendix 5). The frequency and patterns revealed by the resultant 'themes' were then considered, (the terms 'codes and themes' are interchanged by different authors). Finally codes were classified into categories to identify the meanings they deliver or the story they tell. The stages and their purpose are shown below, Fig 10.

Stage	Action	Purpose / benefit
1	Interviews & narratives transcribed	Ease of analysis
2	Interviews replayed and checked against transcriptions	Check external transcription, correct errors, gain a 'feel' for the content. Transcription 'cleaning'.
3	Interviews tabulated	To make comparisons easier between interviews
4	Reread interviews, 4 at a time, question by question, highlighting codes	Easier to spot and converge common themes by comparing responses to same questions together
5	Grouping & counting of codes (Tabulated)	To generate themes based on quantitative frequency
6	Comparison with a prior themes/concepts	Allows respondents themes to dominate; check correlation between interviewer preconceptions and interviewee themes.

Fig. 10 Pilot analysis stages

3.4.3 Pilot Study Results

Three interviews flowed well with insightful, reflective responses, exhibiting thoughts being freely developed. Where responses didn't sufficiently address a question's focus, the flexible semi-structured approach permitted the researcher to rephrase questions, enhancing response quality. One interviewee, perhaps uncomfortable with the experience, didn't respond as directly to questions as others, despite question rephrasing, however, they still contributed very valid and rich insights. Their constant reference to, 'experience' was important as it displayed the dominance "experience" held in their leadership thoughts, representing a valid expression of their perceptions. With minor question adjustments to elicit deeper responses, no significant changes were made to the data collection process. Employing content analysis of transcripts, identifying codes and grouping them as themes, was time consuming but straight forward, requiring limited subjective interpretation. Inevitably some codes related to

pre-selected themes of the interview matrices, but others, such as themes coded as 'respect', came from the interviewees' comments alone. However, this rather 'quantifying' approach to the qualitative data, respecting frequency of words or phrases occurring in transcripts, seemed to diminish some of the stories emerging in discussions. Consequently, a recording based analysis approach was included in the main research, with template analysis replacing content analysis. No obvious 'deviants' Silverman (2008:185), going against the identified patterns, arose in the sample interviews. In output terms, the interviews yielded good quality data, supporting, illuminating and expanding upon the a priori themes. The interviewee experiences and related events offered leadership behaviours, styles and patterns although it was difficult to identify any underlying dynamics, given the small data volume.

In summary, the main research commenced on the basis trialled in the pilot, with only minor changes to the interview questions. The main adjustment was employing recording-based analysis over transcript-based and a more interpretive way of approaching the codes and themes through template analysis. The following section describes the main research in more detail.

3.5 The Research Data Collection

3.5.1 Sampling Procedures

The data collection or 'insight gathering' (Czarniawska-Jooerges, cited in Alvesson 2011:69), commenced with sourcing of interviewees. Their selection was 'purposeful' sampling or 'purposive' (Cresswell & Plano Clark 2007:113, Liamputtong and Ezzy 2005:49), with participants selected specifically within one of the two desired 'primary sampling units' (Dorsten & Hotchkis, 2005:239), offering knowledge of horse herds or business/organisation experience. The aim was to elicit 'information rich' responses, from 'participants representative of the same experience or knowledge, ...not selected for their demographic reflection of the general population' (Denzin & Lincoln 1994:229). Focusing on individuals with direct relevant experience avoided excessive 'random sampling error', given the limited sample size (Dorsten & Hotchkis 2005:233). Selecting interviewees from different levels, sectors and industries, (e.g. medicine, construction, banking, the military), also attempted maximal sampling variation, aiming to identify core leadership behaviour patterns, irrespective of specific industry or sector cultures and practices. Seeking variation in interviewee ages, experiences and profiles further aimed to provide justifiable transferability of results. Candidates were sourced through personal contacts using the 'snowball or chain' technique (Oppenheim 1992:43) often

with two interviewees at different levels from the same organisation, although specifically not in reporting relationships.

3.5.2 Interview Candidates

Several candidates were recently retired, offering longer experience and more freedom to discuss issues. Retired interviewees described their most recent or main career post for the 'personal background' questions. Thirteen different 'industries' were represented across the private, public and third sectors, with an additional five (non equine) industries from the equine experts' previous or current employment. Individuals ranged from having no management role to managing 6000 armed forces personnel and whilst followers had no budgetary responsibility, leaders typically held budgets or managed business units up to £50m, two managed budgets between £150M and £200M, and one managed a portfolio worth £50Bn. Interviewees were categorised by self-description as followers or leaders. Inevitably certain individuals performed both follower and leader roles at the same or different times - particularly those with 'manager' type titles, thus technically a manager with 36 staff may consider himself a follower as he does not set strategy, whereas an M.D. in a small company may have only 5 staff, but sets strategy. Leader follower definitions should thus be treated cautiously. Defining interviewees 'follower' or 'leader' was not critical as all have observed or experienced leadership and followership at some career stage. Consequently perceptions are equally valid, irrespective of current status. Were the sample size considerably larger, there may be potential benefit from differentiating as different leadership process perceptions may be forthcoming from leaders or followers.

The pilot interviewees confirmed that stallions rarely run free with domesticated herds in the UK, so some opinions on stallion behaviour reflected anecdote and reading more than direct observational experience. If it were possible to observe groups of wild horses, a more positivist, quantitative analysis would reduce human bias with regards to event description, although observer interpretation is still inevitable. However, this was somewhat overcome in the main research by sourcing an interviewee who held a Doctorate in equine behaviour, who had performed extensive domestic and wild equine herd observations in the UK and abroad. Additionally the opportunity arose to interview two senior veterinary academics who studied brumbies (wild horses) in the Australian outback and also owned domesticated horses. Whilst not specialising in equine behaviour, they contributed some very informative observations of natural behaviours from a scientific perspective.

3.6 The Interviews

3.6.1 Constructing the Interviews

The interviews were structured using a matrix system (see Appendices 3a & 3b), to identify key themes and concepts for inclusion, ensuring important issues were prompted during the interviews and aiding concept clarification and focus - thematizing the interviews (Kvale 1996; Kvale & Brinkmann 2009). Given the desired outcomes, the early questions were primarily 'background/ demographic' questions, moving to more leadership-specific open-framed questions, to '...minimize the imposition of predetermined responses...' (Patton 2002:353), and encourage people to answer in their own words, with their own interpretations. These led into further open-ended 'opinion & value' and 'feelings' questions (Patton, 2002:350). (See Appendix 2). Standard fixed-response questions were not employed. Interviews were therefore divided into 6 stages, each with a different objective as discussed below and outlined in Fig. 11, which summarises the interview process.

3.6.2 The Interview Process

Interviewees selected their preferred venue, typically their own office, and interviews commenced with a pre-interview briefing to explain the format, focus and interviewee rights and ensure informed consent forms were signed (see Appendix 4). The prepared questions acted as prompts, with paraphrasing to suit the mood/language of the discussion, and subjects were encouraged to talk freely and not feel restricted by the questions or structure. Specifically encouraging interviewees to 'go off-question', and raise subjects they considered relevant, reflected the exploratory interview focus, going beyond the researcher's *a priori* speculation' (Silverman 2006:185). It was stressed that perceptions were as important as 'hard facts'.

After the initial background and opinion questions on leadership:followership, interviewees were asked to relate a self-selected leadership experience significant to themselves, 'the personal narrative'. Supplementary questions covered issues, e.g. gender, not previously discussed and later questions further explored and clarified issues arising, through 'responsive' interviewing, defined as a 'dynamic and iterative process' (Rubin & Rubin 2005:15). The aim was to gain the interviewees' perspectives on, and specific experiences of, leadership (business or horse) and to gain a better understanding of their resultant feelings and own sense of meaning, thus discovering '...what is in or on someone's mind, to gather stories' with the researcher providing ...a framework within which people can respond comfortably, accurately and honestly...' (Patton 2002:341). The more relaxed and informal the interviews, the more open

respondents became, yielding greater depth to responses - highlighting the value of empathy, but with its attendant risk of interviewer effect or bias (Kerlinger 185:480). Subjects previously knowing the interviewer apparently did not change the output, although empathy developed quicker with greater openness. However, no one was interviewed for whom a personal relationship, (e.g. ex staff member) could be uncomfortable or questions commercially sensitive. Interview length, (typically just over an hour, but extending beyond two hours), allowed meaningful responses and sufficient data gathering to compare results and permit analysis, with some interesting interviewee insights providing depth. Fig. 11 outlines the interview structure and desired outcomes.

Interview stage	**Type of questions**	**Themes**	**Desired outputs**
1. Pre-interview briefing ***5 mins.***	Researcher explains purpose and process of interview. Interviewee's rights etc.	Interview structure. Understanding that there are no 'right' answers.	Inform interviewee & put them at ease. Encourage them to feel free to go 'off question' and follow own thoughts.
2. Mainly closed questions ***5 mins***	More closed, factual questions. Background/demographic.	Interviewee back-ground, e.g. age, role, experience, team size.	Provide context for the answers, possibility to identify patterns of response related to background.
3. Open-ended questions ***10 to 15 mins***	More open, opinion & value questions.	Leadership roles, follower roles.	Opinions, descriptions, definitions, judgements on leadership.
4. Personal narrative ***10 to 15 mins***	Interviewee selected topic, possible oral history or critical incident narrative.	Interviewee's selection & perspective of significant & personal leadership issue.	May identify important themes/issues not raised by researcher. May develop patterns of critical leadership issues.
5. Mainly open-ended questions ***20 mins***	Follow-up questions. Opinion-value & feeling. Focus on interviewee's experiences of and opinions on specific leadership themes.	Develop themes arising from or to clarify the narrative. Behaviours, gender, good, bad leadership styles, resultant emotions.	Richer descriptions and wider subjects not addressed by interviewee's earlier responses or interviewer's questions.
6. Closed and open ended questions ***10 mins***	Closing discussion, clarifying questions.	Revisiting specific themes arising earlier for clarification. Interviewees' definition of the 'ideal boss'.	Ensuring earlier themes were correctly interpreted by researcher. Encouraging interviewee to summarise their thoughts on 'ideal leadership'.

Fig. 11 Interview structure and approximate timings

Kvale (1996:183), describes the interview as '...an inter-subjective enterprise of two persons talking about common themes of interest' and stresses interviewer's need for active listening and following-up of questions, which '...co-determines the course of the interview'. Not taking detailed contemporaneous notes permitted the researcher to

focus on the responses, allowing the conversation to flow easily. Flexibility within the predetermined structure prevented restriction of topics and the attentive or active listening (Jepsen & Rodwell 2008) allowed themes to be noted for follow-up questions.

3.6.3 The Personal Narrative

Where interviewees were comfortable to, and had additional thoughts to share, they provided a brief 'personal narrative' (Trapp-Fallon 2003:300). Depending on the topic they narrated, this could become oral history or critical incident method and aimed for "thick" description from first-hand experience (Rubin & Rubin 2005). Bryman & Bell (2009:227) define critical incident method as:

> *'...interviewing respondents about particular types of event or behaviour in order to develop an understanding of their sequence and their significance to the individual.'*
>
> (Bryman & Bell 2009:227).

For example, an M.D in food-manufacturing, interviewed in the pilot, described moving from senior management in a multi-national organisation to leading a small manufacturer after a management buy-out (an event) and the resultant leadership issues (experiences). However in spanning a larger period of his life, it became more oral history than critical incident, not being limited to describing the actual buy-out but including the surrounding stories. Oral histories involve individuals recounting the experiences of their life, or '...involvement with and the meaning of a given topic.' (Trapp-Fallon 2003:300), which better describes his narrative and that of the check-out operative as she related working with a particular matron in her earlier child care career. Included to further enhance the research's qualitative nature, the narrative functioned to better '...capture how those being interviewed view *their* world, to learn *their* terminology and judgements, and to capture the complexities of *their* individual perceptions and experiences.' (Patton 2002:348). Aiming to elicit deeper meanings and possible emergent themes by giving the interviewee control, the narrative element ensured interviewees' own 'voices' were heard. McKenzie (2005), researching entrepreneurship, argued strongly for oral histories, regarding them as more accurate for recording (inevitably subjective) information, yet enhancing researcher objectivity - hence its appeal for this investigation.

Sumner-Armstrong, Newcombe & Martin (2008), followed a similar semi-structured interview approach in their investigations into leader flexibility. However, their

interviews centred around a specific event narrative as critical incident interviews. For practical reasons, some interviewees were only advised of the personal narrative element in the pre-interview briefing and accordingly were permitted to address this element later in the interview. It appeared that interviewees pre-warned of the narrative delivered richer detail and a more structured story, however, those only briefed during the pre-interview brief, with no preparation, gave emotionally richer responses. This narrative richness is supported by Kvale and Brinkman (2009:153) referencing work by Mishler (1986), who argued that narratives '...are one of the natural cognitive and linguistic forms through which individuals attempt to organize and express meaning and knowledge'.

3.6.4 Interview Data Recording

The interviews were recorded on two digital recorders, enabling exact responses to be recorded without losing the emotion behind the words - although body language is lost, except as noted down by the interviewer. A transcriber was employed for typing of hard-copy records, with the researcher 'data cleaning' (e.g. correcting misheard words). Recordings were downloaded onto computer for analysis.

3.7 Ethical Considerations

Ethics imply that research should be 'methodologically sound and morally defensible' (Saunders, Lewis & Thornhill 2007:178). For both the pilot and main research, specific steps were taken to address key moral issues, commencing with the research background and structure being explained to subjects in advance of requesting informed consent (see Appendix 4). Interviewees were voluntary with no real or implied coercion. Prior to interviews commencing, the format was outlined and subjects were advised that they could decline to answer any questions or terminate the interview should they wish. They were shown the tape recorders and advised of their intended use and always interviewed in private. Care was taken not to ask questions or pursue areas of discussion that could or appeared to make subjects uncomfortable or concerned, and the option to receive a copy of their interview transcript (once produced) was offered.

> *'Participation in qualitative interviews can be time consuming, privacy endangering and intellectually demanding, and emotionally draining in ways that quantitative interviews rarely are'.*
>
> (McCracken 1988:27)

Respondents were assured that their anonymity would be protected in any publicly released or published material (unless they specifically consented otherwise) and responses would be confidential to the researcher, the transcriber and those officially required to see responses or know interviewer names, e.g. University supervisors and examiners. The intention was thus to adhere to the Edinburgh Napier University guidelines and 'traditional ethical considerations' (Denzin and Lincoln 1995:372) '*Informed consent, Right to privacy, Protection from harm',* to which Grix (2004) adds confidentiality and protection from deception.

Methodological soundness requires that methods employed provide legitimate results to achieve justifiable interpretations. Methods thus had to be repeatable by other, independent researchers, and interviews were structured to encourage and permit subjects to give open and honest responses. Whilst it was essential to inform subjects of the research intent and the interview format, and to display empathy, every effort was made not to 'lead the witness' by implying any preferred answers. It was stressed that there were no 'right' or 'desired' answers and that interviewees' own personal experiences and perceptions were sought and accordingly the interviewer would endeavour not to imply approval (or otherwise) of answers. However in keeping with the beliefs of Denzin and Lincoln (1994:371), the interviewer aimed to make interviews, '...honest, morally sound and reliable...' by engaging in '..."real" conversation...' with interviewees and thus enhancing empathy and delivering '...sharedness of meanings...' improving contextual understanding. The focus was thus to maintain investigative integrity, whilst achieving rich discussion and rich resultant data, yet limiting 'interviewer effect' (Dorsen and Hotchkiss 2005:204).

3.8 Research Analysis

3.8.1 Analysis Methodology

Aram & Salipante (2003:189), addressing the 'utility of academic research', debate how the desire for 'rigour and relevance' can demand research, such as this, that crosses epistemological boundaries, bringing together the 'particular with the general', 'the intrinsic and extrinsic' through 'induction and deduction'. This prompted a review of alternative methodologies, (see Fig. 12). However, case study and ethnography would not have allowed sufficient transferability to other contexts. The narrative practice of investigating peoples' stories and ultimately rewriting them in narrative form is borrowed but there is no chronological sorting, nor development of any plot detail, and no individual's story nor single event is fully investigated. However, the common

experiences and interpretations of the interviewees are ultimately being drawn together, re-storying the concept of leadership.

In recognition of the strength of stories and the critical realist underpinnings, (defining leadership in terms of people's lived experiences, how they found meaning in the events and underlying structures, mechanisms or dynamics), this qualitative, phenomenological research thus borrowed from several research disciplines to develop themes and to present results.

Potential information types from interviews	Predominant research discipline	Application for this research	Relevance to this research
Stories, examples, descriptions.	Narrative research	Identify stories interviewees tell about leadership. Interpret the larger meaning of the stories Present as a narrative.	Events and their meaning
Individual experiences and their context.	Phenomenology	Personal or observed experiences of leadership, describing the essence of the phenomenon.	Experiences
Processes, actions, or interactions.	Grounded theory	Leadership processes, typical follower:leader interactions.	Structures, dynamics, mechanisms
Describing specific social settings, actors, events.	Ethnography	Not applicable: Cultures are not the area of focus and limit transferability.	Nil
Describing a specific case.	Case study	Not applicable: Focus too narrow and results not transferable.	Nil

Fig. 12 Popular qualitative analysis techniques (based on Cresswell, 2007:156-157)

In particular, elements from narrative and phenomenological analysis were combined, building on the techniques employed for the embedded narratives in the pilot interviews. The methods employed are essentially phenomenological since it is '...important to understand several individuals' common or shared experiences of a phenomenon' - in this case leadership. Furthermore, 'data is collected from individuals who have experienced the phenomenon', using in-depth interviews analysed to find 'significant statements' and exemplifying the individuals' experiences. These are combined to form 'clusters of meaning', normally then described through narrative (Cresswell, 2007:60,61). The phenomenological approach is thus reflected in the data sourcing, types of information selected and the data unitising. However, in this case, the researcher is not 'bracketing out' her own experiences which are inevitably implicit in a priori questions. Grounded theory would only permit addressing the emergent inductive codes and themes and is thus not applicable.

3.8.2 Selection of Research Methods

As explained, content analysis was piloted but discounted, as such manifest coding diminishes the stories' richness, hiding the passion expressed around certain issues. Neuman (2011:323), describes how quantitative (as opposed to qualitative) content analysis 'uses objective and systematic counting and recording procedures to produce a numeric description of the text,' is 'non-reactive', and '...yields repeatable, precise results' minimising the researcher's influence. It thus reveals the text content, but in not acknowledging different connotations or contextual applications, cannot 'interpret the content's significance,' (Neuman 2011:324), and would have limited application in research based on critical realism, where deeper meanings are sought behind the actual words. Whilst Bernard (1995) (in Liamputtong and Ezzy 2005:111), suggests that content analysis can deliver 'a blend of qualitative and quantitative, positivistic and interpretivist methods', the strong positivist tradition remains.

The piloted matrix approach of recording and reducing the content analysis results did, however, provide a very practical structure for summarising the many 'stories' emerging from the data. 'Template analysis' (Teal 2007), can be considered as, 'Occupying a position between content analysis where codes are all predetermined... and grounded theory where there is no a priori definition of codes' (King 1998, in Randal et al. 2007:118). Employed within a phenomenological methodology it permits a deductive approach, in this case, a priori codes from the interview questions, and through the analysis of responses, introduces inductive codes, thus combining a priori with emergent themes. These are then refined through the template process to generate a hierarchy of themes or categories (Saunders et al. 2007). It is often applied to studies with a stated or implicit phenomenological epistemology, where the aim is to discern how humans make sense of their situation, group or organisation they work in, for e.g. stress management interventions (Randal et al. 2007); executive sense-making (Parry, 2003), socio-technical information sharing (Sondergaard, 2007), all of whom applied template analysis to semi-structured interviews. The researcher therefore selected template analysis as a primary method, exploiting elements of different epistemological approaches where they enhanced interpretation and analysis.

3.8.3 The Template Analysis

Patton (2002:463) refers to analysis as 'simplifying and making sense' out of the 'raw field notes and verbatim transcripts [that] constitute the undigested complexity of reality.' Based on this interviewer's previous research experience and report writing, manual analysis was employed for this research to identify emergent themes rather

than proprietary packages, such as INVIVO, being utilised. Fig. 14 provides an overview of the data analysis and Fig. 15 describes the process in more detail, including the source material and desired outputs at each stage.

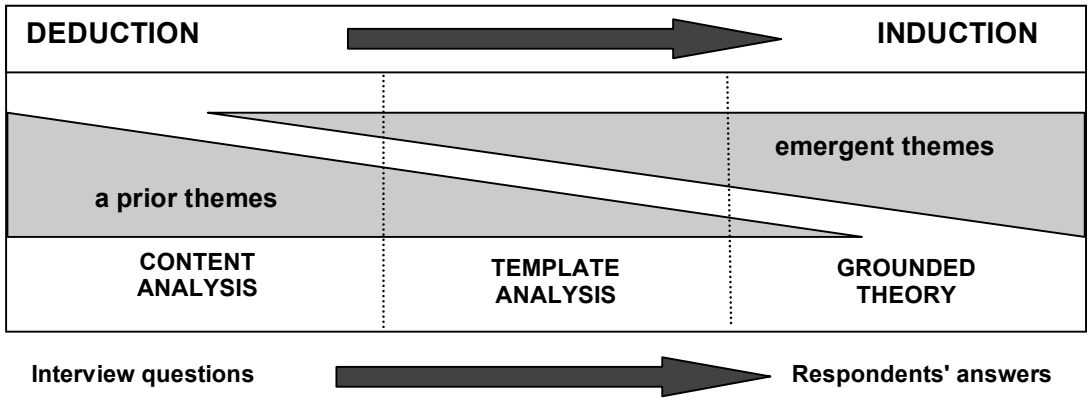

Fig. 13 Template analysis and the deductive-inductive relationship

Working primarily from the tapes, transcripts were used purely for reference and clarification. In recognition of phenomenological practice, units of data employed in the templates were derived from words, phrases and stories that interviewees told through their responses. Working directly with the actual recordings permitted deeper meanings or stories, sometimes not explicitly told, but implicit to the narrative's content and context, to be more easily identified. The tempo, cadence, tensions and so forth of the interviewees' voices could be heard and acknowledged along with the actual words used. The researcher remained sensitive to the danger of presuppositions arising from her equine and business experience and thus despite the predetermined questions in the actual interviews, endeavoured to remain open to the data. Reviewing each interview separately ensured the researcher was able 'to look at themes in the context of individual participants' accounts, as well as [then] examining the data across participants' (Teal 2007:2).

After the initial review of transcripts and re-listening to the tapes, a separate table was produced for each individual recording, (see Fig. 15, stage 2). Relevant words or quotes were noted on this table, with the concept they, and any short 'stories', embodied also being paraphrased. In another column, a code was attributed to each of these ideas - the 'open coding' stage (Bryman and Bell 2009:586). Since discussions broadly followed the interview questions, this inevitably related to a priori codes, however, interviewee-introduced concepts generated new codes.

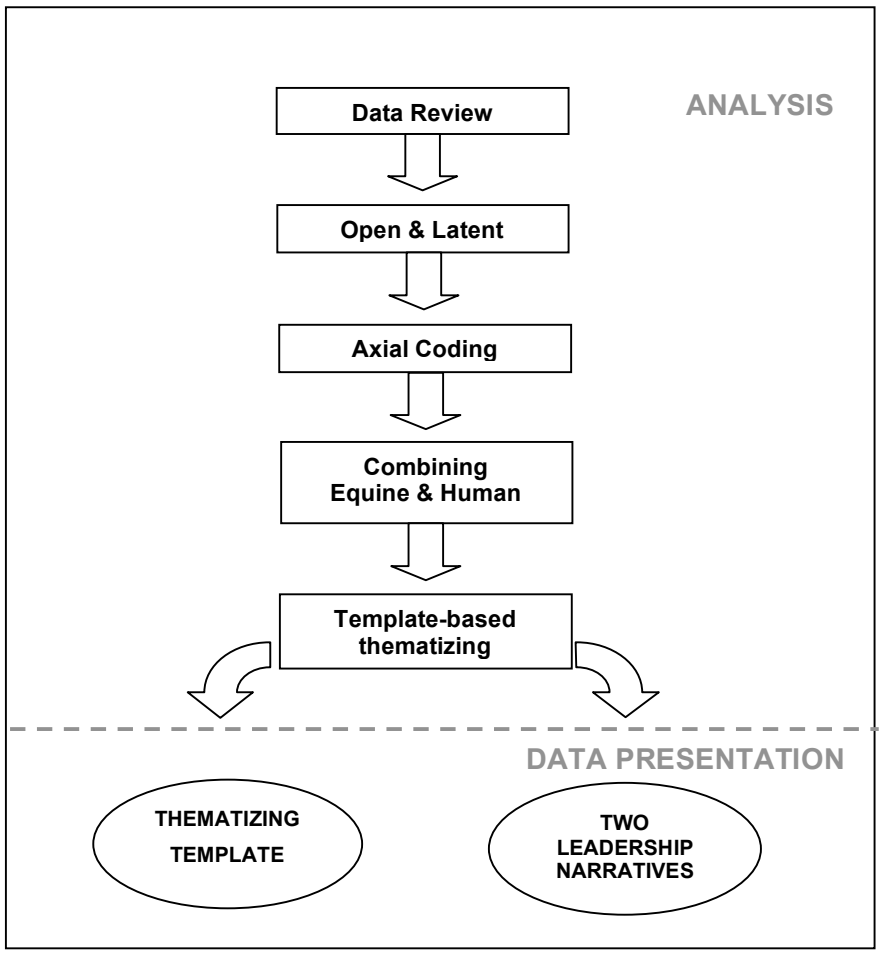

Fig. 14 Template analysis stages, overview

Each interviewee's strongest theme or story - where for example, they spoke with most passion or returned to the underlying subject repeatedly - was also noted, including specific quotes as exemplars. Where respondents gave self-selected narratives they were likewise recorded and coded. Not all respondents wished to provide a separate narrative, simply feeling they had expressed their thoughts sufficiently. The open questioning allowed answers to evolve into stories about events, experiences or opinions and observations, yielding rich descriptive data which typically told stronger stories than those in the separate narratives. Searching for this 'underlying, implicit meaning in the content of the text', is effectively 'latent coding' and Neuman (2001:326) argues that it offers greater validity than manifest coding because, 'people communicate meaning in many implicit ways that depend on context and not just specific words'.

Two initial analysis templates were then produced separately for the equine and the human data sets, (Fig. 15, stage 3), combining the various codes identified across the interviews. Exemplars, where possible exact quotes or paraphrased synopses of expressed ideas, were included to allow the richness of interviewees' perceptions to be recorded and respected. Exemplars were grouped according to the context in which the interviewees applied them, e.g. an interviewee saying, 'men *tell'*, expressed in a discussion about dominance, was recorded within the 'dominance' code, however the exact same expression applied to communication variations between different genders was recorded under the 'gender' codes. This prevented the a priori codes from dictating the analysis structure and allowed respondents' perceptions and opinions to dominate the analysis. It also exemplified different people applying the same phrases (or metaphors) to both the horse and human leadership, e.g. a business leader and an alpha mare both described as 'leading to good outcomes'.

The large data volume necessitated exemplars being restricted to the most typical or those adding different dimensions. Working from these multiple codes, further review and re-sorting generated clustering of codes and their exemplars into concepts, for example, exemplar-generated codes of "superficiality", "consistency" and "sincerity", were combined to generate the theme of "authenticity". This was effectively axial coding (Nemuan 2011:462), the regrouping of data based on commonalities or relationships. The first template of over 35 pages was thus produced and then reduced to 9 pages, allowing themes to be categorised and ordered according to their dominance and relevance to the research.

Equine and human leadership results were analysed separately and were finally brought together and refined in the eventual thematizing stages (Fig.15, stage 4 & 5). It also became clear that horse experts describing domesticated horses identified behaviours not arising in the wild herds, so domesticated horse codes and exemplars were represented in italics on the template and where they differed considerably from wild horse behaviours they were highlighted in bold. This provided a further dimension to the analysis and an important issue for consideration - that of dysfunctional behaviour.

	Source material	Analysis method	Focus	Desired Outputs
		ANALYSIS STAGE		
1	Tapes & transcripts (Equine and human data sets)	**Data review:** Reread transcripts and listen to tapes. Review people's comments.	Generating rough notes, forming thoughts	Familiarity with the material. Exemplars identified
2	Tapes	**Open & latent coding:** Listen again to each interview and create a table of exemplars and codes from the individual's words, phrases or stories. (Open coding). Seek & record implicit stories (Latent coding).	Individual Data ⇒ Exemplars ⇒ Codes	Table of codes for each interview + short narrative of key story or stories
3	Initial template	**Axial coding & combine tables:** first combine all human tables and all equine into two analysis tables to create two first templates of codes that define concepts, identified across the two interview sets, grouping related codes. (Axial coding). **Combine equine and human templates:** as one analysis template.	Combining Codes Bringing the equine and human codes together	Analysis template of codes for each data set Combined template of equine & human data
4	Template of combined codes	**Template-based thematising:** Review codes and categorise them into key themes - theme convergence.	Codes ⇒Themes	Thematizing Template
		ANALYSIS PRESENTATION STAGES		
5	Thematizing template	Create a hierarchy of themes and categorise the themes as appropriate	Themes ⇒ conceptual & structural order	Final **thematizing template** of key themes
6	Final thematizing template	Two narratives produced to define the key 'stories' of human and horse leadership generated from the research.	How the leadership works	**Two leadership narratives**
7	Narratives + final templates	Reviewed for Human:horse comparison. Reviewed, seeking common observations, behaviours & patterns indicating underlying dynamics, mechanisms and structures.	Commonality of main themes and stories	Evidence for strength of horse metaphor for human leadership Evidence for the forces under-pinning the leadership process

Fig. 15 Analysis stages, from source to output

3.8.4 Data Presentation

The data was first presented as the thematizing template (Appendix 6). From this template (and its original longer version) two separate narratives were created, (one for equine leadership, the other for human leadership), re-storying (Boje 2001, cited in Grisoni and Page 2010:15) the themes from interviewees' interpretations and experiences of leadership as identified in the interview analysis. These re-storied narratives reproduce the descriptive richness lost when stories are reduced to a template.

> *'The critical realist might say that there are no leaders, just stories. We embed ourselves in stories until we find the story that makes sense, and that gives us power; and that generates a positive outcome, as determined by positive emotional impact. Looking at leadership through the lens of critical realism might suggest that all people follow is the story....To all intents and purposes, there is no objective reality of leadership. There is only what works for people'.*
>
> *(*Parry 2008:27).

This technique is borrowed from narrative analysis, where 'interviewers may systematically conceive of their inquiry as storytelling from beginning to end.' (Kvale and Brinkmann 2009:286). Narrative offers a device for recording interviewees' stories; restructuring stories to fit a particular narrative model; or completely 'recasting stories', to address the researcher's focus (Kvale and Brinkmann 2009:286). In this research, narrative is employed to both analyse and re-present the data and to facilitate comparison of the different yet complementary stories from the equine and human leadership interviews to 'uncover the deeper levels of meaning', (Grisoni and Page 2010:15). Creating such 'narrative text' (Neuman 2011:475) provides structure for organising and expressing the stories and meanings identified, but the re-storying also provided a 'process of discovery' (Richardson, in Denzin and Lincoln 1994). The thematizing template guided the narratives' production and any themes based on prior knowledge or literature are specifically referenced in the text. Pseudonyms are used to protect interviewee anonymity. (See Appendix 9 for interviewee descriptions).

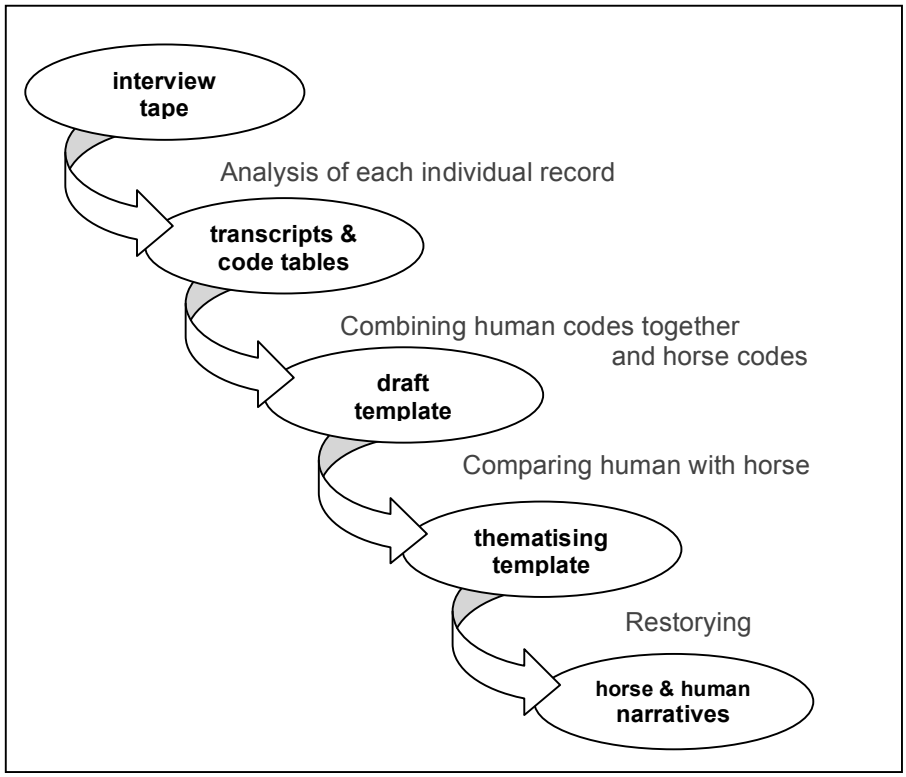

Fig. 16 Summary diagram of the analysis and data presentation process

A quantitative-based questionnaire was originally planned, connecting the qualitative data to the quantitative (Cresswell 2007b) to increase the investigation's breadth, complement the qualitative depth and provide data, pluralist and methodological triangulation (Downwood and Mearman 2007:81), (see appendix 1). Triangulation would enhance data 'relevance & rigour' (Aram & Salipante 2003:190) and allow increased transferability of outputs. However, the quality and volume of information in the main research interviews, and the consistency of emergent themes, suggested that a quantitative element would add little value to the research. This qualitative richness caused the researcher to further reconsider their epistemological position and increasingly move away from their more positivist, quantitative academic history towards the explorative, descriptive powers of phenomenology.

Fig. 16 provides an outline of the analysis and data presentation process, and the next section overviews the results, before introducing the narratives.

3.9 Research Results

3.9.1 An Overview of Results

The experiences and concepts from both interview sets were easily combined into corresponding codes on one thematizing template (appendix 7), exemplifying the similarities between horse and human leadership. Beyond these common codes and resultant themes, the interviewees' actual terms and metaphors describing their experiences, observations and perceptions were often almost identical.

An initial overview of the interview recordings revealed that most interviewees are, or have been, both leaders and followers:

- concurrently, on an on-going basis - e.g. a department head with reportees, but divisional or regional leaders above
- leaders who were followers at earlier career stages
- leaders occasionally 'follower' to subordinates with more relevant expertise for a given situation
- followers leading on specific projects
- unofficial leaders, followers who colleagues turn to voluntarily

Several interviewees describing themselves as 'mainly followers' still agreed that at times they fulfilled an unofficial lead role for certain colleagues. Since both leader and follower interviewees had similar opinions and observations of human leadership, the human leadership data was not differentiated between those self-describing as leaders or followers. However, in response to the data, the horse data was sub-divided into 'wild' or 'domesticated' themes as the behavioural descriptions identified notable differences for the two situations, necessitating separate consideration and representation. The data presentation thus reflected the emergent structures of the data, not just a priori themes. Some exemplars have been retained and codes are listed at quite a detailed level to show how surprisingly parallel many of the themes genuinely were between the equine and human leadership. These commonalities were also reflected in the following two narratives.

4. The Re-storied Narratives

The narratives below re-present the interviewees' 'voices'. The interviewee statements are referenced thus [*interviewee pseudonym*] where it is helpful to know the speaker and therefore their background, for example, their role, specialist expertise or sector (see appendix 9). Where concepts accord with human leadership theories from the literature review, the relevant theory or author is referenced thus {*leadership theory,* or author's name}. Animal authors quoted are referenced as normal (...).

4.1 The Narrative of the Horses

The family group - a complex dyadic hierarchy: The narrative that emerged about wild horses, [described in particular, by Barbara, Robert and Rick], tells of a close-knit group of horses living, moving and breeding together. Family affiliations are very strong between mares who form the main herd, many being siblings. There is a huge imperative to stay together to avoid being vulnerable to predators and to benefit from the environmental knowledge of the older mares who know when and where to move to better pastures and water sources. Within these female-dominated herds, there is a distinct *dyadic hierarchy* {Yukl 2009a}. Unlike the linear hierarchies typical of many human organisations, equine hierarchies are a more *complex network* {*lattice leadership*} - each horse having a one-to-one relationship with others that tends to be stable once established [Laura and Barbara]. Far from being linear, its members challenge others to test and assert their place in the complex hierarchy. Body weight, physical fitness and size are relevant, but far less so than intellect, experience, (e.g. where to go for fresh pastures), expertise (e.g. when to go to watering holes) and especially '*character*' (Lopez 1978). Anneka described a new mare joining a domesticated herd and apparently walking in and taking charge, with no obvious body language - presumably achieved through attitude and confidence {*charismatic leadership*, Conger 2002}. Although horses make challenges, aggression is less significant than some kind of 'presence', an attitude requiring only the subtlest of signals to others, and occasionally, but rarely backed up by any conflict behaviours [Laura].

The mares are typically passive and only show aggression when their 'personal space is invaded' [Laura], they are threatened, or are disciplining youngsters - particularly young males who have a tendency to play-fight in practice for later conflict [Robert], {*aggression in dyads*, Ridgeway and Diekma 1989}. In disciplining youngsters, subtle

yet clear signals are reinforced rapidly with strong aggression if not obeyed instantly - a warning may be simply a look or tail flicked, but if ignored, it rapidly escalates to biting or kicking with hind legs [Laura]. Aggression thus arises when social dominance fails, is bad for the herd and a sign of weakness and failure, not strength and dominance [Barbara]. Through this family-based group, a network of social dominance relationships is established, on-going, and functions for the better survival of the whole group.

Aggression and the myth of the stallion: Despite historic myth telling of proud stallions leading their herds of submissive mares to safety, later observers argued that the herd was actually led by an alpha mare - a single, wise and mature matriarch [Fiona], (Bennett and Hoffmann 1999). However, more scientifically-based observations have found a more interesting truth [Barbara]. Firstly the stallion's role is to gather together as many mares as he can and to procreate [Rick]. His apparently defensive behaviours are mainly directed at other stallions prowling around hoping to steal away with some mares [Fiona]. When the mares are not in season (ready to mate) they have little interest in the stallion, ignoring him, even when he is fighting another stallion, and attacking him if he annoys them or is trying to force them to join him unwillingly. If a stallion is incapacitated, perhaps through fight injuries, mares are most likely to abandon him and may even 'attack and kill him' [Barbara] reflecting the 'quasi-despotic' zebra mares, reported by Rassa & Lloyd (1994:174). Robert described an event where a stallion was 'darted' to render him unconscious so researchers could fit a tracer collar. The herd abandoned the stallion and, on returning to the herd several hours later, his status had been overturned by a younger stallion. However, when the main alpha mare was 'darted', the herd was greatly disturbed, milling around her, 'appearing to be at a loss without her direction - even the stallion' [Robert], and she immediately took the lead when she regained consciousness. The stallion thus does not possess the mares in any way, but they do represent the investment of his time and energy [Rick]. Younger stallions (colts) are chased from the herd when they reach maturity, and often form 'bachelor' groups, travelling together.

Apparently there may be one socially dominant mare a 'matriarch' as described by Robert and Rick (observing smaller herds). However, Barbara, after thousands of hours of empirically-based observational research, concluded that more typically in larger herds, several mares have sufficient confidence and experience to initiate herd movement thus different 'alpha' mares emerge. However all interviewees confirmed that whilst the stallion can move the herd, they never follow him. His methodology, is

'racing around' behind the herd, wheeling and whinnying, biting and snaking his head at the mares if they refuse to move [Barbara, Fiona]. It is high adrenalin activity, usually commencing when he sees a threat from a competing stallion. Having created the drama {*charismatic leadership*, Conger 1989} he becomes their 'saviour' chasing them to what he considers 'safety' *{heroic leadership*, Lowney, 2003}. It can be very aggression-based activity and is never truly leadership as the mares are not generally willing followers, being driven in front of him {*Command-control leadership*, Conger 2000}. His behaviour is typically likened to a sheepdog, rounding-up stock - described unprompted (4 interviewees) as 'like a collie-dog', threatening (Rees, 1984:138) - and generates fear, stress and occasionally confusion, resulting in the herd moving fast, sometimes in a wide open group, terrain permitting. Alternatively he drives them into a small group, positioning himself between them and the challenger, perhaps protecting 'his investment' more than his friends [Rick]. Relying on aggression he has no significant filial bonds, even with his own offspring, and the herd has no apparent loyalty to him. As Rick observed in the Australian outback, the stallion abandons the herd if he thinks he cannot win a conflict. If defeated, he becomes a loner or resumes bachelor status [Robert]. His herd generally accepts the new stallion, but if not, the winning stallion targets the more senior lead mare (although it is not known how he identifies her, apart from her resistance to accept his presence), attacks her and will even kill her foal by the previous stallion [Robert and Rick]. On the foal's death, the mare, defeated, joins him.

Occasionally, a stallion will tolerate one or two other males in the herd, but only if they are subordinate to him. In good conditions a fit stallion will have a large band but in tough environments, bands break down into smaller groups or even pairs as the stallion cannot afford to waste energy fighting to maintain a larger group [Robert]. The stallions' role seems a huge, long term investment with high risk level 'in exchange for around 5 days of sex a year' - at other times the mares resist his advances [Robert]. However, despite this apparent possessiveness, different herds can combine into larger groups at the precise time the mares come into season, without the stallions fighting. At a later date this larger herd splits, apparently back to their original groups. This is also observed in wild zebra (Fischhoff et al. 2006:826). Robert described their research, finding many herd offspring not genetically related to the current stallion.

The leadership dynamic - decision to act, decision to follow: When the herd moves with an alpha mare, it is generally a gentle amble, often literally one after the other - very calm, relaxed and conserving energy [Barbara and Laura]. However this too cannot

genuinely be considered active leadership in the human sense as there is no evidence that the mare actually decides to lead. Barbara explained that research suggests that she has a need, perhaps thirst, and being more independent and experienced, is confident to move away from the body of the herd - a brave risk for a prey animal. 'The lead horse makes no visible effort to lead or encourage the others to follow', asserts Barbara from scientific-based observations of wild and domesticated horses on different continents. Barbara described the follower process, reiterated by Laura from observations of free-living domesticated horses, as: The horses the mare is socially dominant over will notice her moving off and make the choice to follow her, presumably because she typically leads to good outcomes {*path-goal or expectancy theory*, Nohria and Khurana 2010}. This should not be underestimated - as Rick stressed, in the outback, water can be a 50km walk over three days away, suggesting advance planning {*strategic leadership,* Bass 2007:33}. Because the hierarchy is dyadic, the initial followers will be socially dominant over other herd members, who will wish to follow them. Eventually, most are on the move and the remainder will not feel safe from predators if remaining alone and will join the movement. Hence the herd appears to be choosing to follow a lead mare. In smaller groups, it may typically be the same alpha mare that instigates herd movement, particularly in smaller domesticated groups, as Fiona described.

So, the result is effective 'leadership', serving herd requirements and achieving good outcomes {*path-goal theory*, Nohria and Khurana 2010} but presumably by default rather than intent. The focus is on well-being and survival {*servant leadership*, Greenleaf 1971}, with the emphasis not on dominant leaders choosing to lead, but on independent, knowledgeable, confident individuals that others choose to follow. Thus whilst the stallion defends his exclusive access to the mares, the lead mare looks after herself and others follow, trusting her judgement. The stallion who relies more on aggression, is variously described as 'a loose appendage to the herd' [Laura], and 'almost disposable' [Robert]. Strangers are not welcomed and not easily integrated into this family-dominated group.

Behavioural dysfunctions in captivity: However, domesticated horses, whose behaviours, life-styles and freedom of expression are primarily controlled by humans, display some quite unusual behaviours. (Hausberger, Roche, Henry & Visser (2008), researched human management's impact on equine behaviours, identifying resultant dysfunctional behaviours). Linda, described a young mare using stallion aggression and rounding-up her small horse group. 'Niggling' aggression [Rick] and the prevalence

of one dominant mare in smaller domestic groups is reportedly common and many interviewees, especially Fiona, were quick to stress that aggression to human handlers results from horses' fear not strength. Stallions are typically isolated from herds in the UK and this, Anneka claims, creates issues like stallions having too much 'attitude' and 'throwing their weight around' if not 'put in their place' by a mature mare when younger. Stallions 'expect to be top dog, but mares just take over' - not using violence necessarily but through attitude and body language [Anneka]. Interviewees, in particular Linda, felt that stallions and alpha mares can swap role-behaviours to some degree in domestic situations (not necessarily beneficial to the group). However, they can work quite well as a team when kept together in more natural conditions. Other dysfunctional behaviours were exemplified by a gelding (castrated male) horse at a competition. He proceeded to stamp his hooves, (normally a warning sign to adjacent horses) whinny loudly and display stallion challenge behaviours, cresting his neck, carrying himself with higher stature and exhibiting high energy behaviour. This behaviour continued throughout a weekend, apparently caused by his frustration that, being under his owner's control, he was unable to approach the other strange horses and exert his dominance [Shona].

The narrative for domesticated horses thus describes similar core behaviours to horses in the wild, but with dysfunctional behaviours generated by the artificial conditions imposed on them by the human owners. For example, domesticated horses are unable to mix freely with others, unable to decide when and where to graze, and live in enforced groups changed at human whim rather than in free-ranging self-selected groups with a self-determining hierarchy.

In summary - Confident to decide, content to follow: The equine leadership therefore appears to be based on confident, independent, often mature, female individuals who 'see the bigger picture' [Rick] desire to take action and move forward on their own initiative, then being followed by others who trust their experience and expertise to lead to good outcomes. There is no active leadership intent (as far as humans can ascertain) but the dynamic depends on dyadic relationships {*perceived influence and dyadic cooperation*, Rank and Tuschke 2002} within a complex non-linear, self-determined hierarchy. Such leading and following is calm, relaxed, very effective and primarily driven by the herd members choosing to follow and remain secure in the group {*follower consent*, Bjugstad, et al. 2006}. The horse responsible for procreation, desiring access to ever more mares, depends on aggression and high adrenaline movement - chasing not being followed {*directive leadership*, Conger 1998, *command-*

control leadership, Conger 2000}. Resultant loyalty is low {*short term loyalty*, Bass & Avolio 1993} and they tend to be replaced through external or internal challenge in an otherwise stable herds.

Clear, unambiguous communication is important and 'horses and humans can trust a horse's response to be 'authentic' [Fiona] {*authentic leaders*, Fritzsche & Oz 2007}. Dominance is based on social behaviours and respect for expertise and experience {*expertise-based leadership*, Bligh et al. 2006; Arnone and Stumpf 2010}, with only those under threat resorting to aggression. The group exhibits affiliative (friendship/loyalty) behaviours (e.g. mutual grooming) {*friendship* in leadership interactions, Rank and Tuschke 2002} and dominant horses provide herd discipline. Where humans enforce artificial conditions, dysfunctional behaviours are evidenced, in particular, heightened aggressive behaviours and females displaying typically male behaviours. Where natural behaviours are physically constrained, apparent frustration generates further abnormal behaviours. Frustration was never mentioned in descriptions of wild horses.

The following section is the narrative based on the human leadership interviews. Here references from human theory are indicated as normal (...). Square brackets [...] represent interviewees and similarities to equine issues from the narrative above are referenced thus {...}.

4.2 The Narrative of Human Leadership

The 'family' group - a linear hierarchy: Interviewees talked of the family-like workplace atmosphere that good leaders can create, saying staff could 'grow with the company' and leaders should 'get to know every single staff member' [Henry] {affiliative relationships in equines}, (*Social network theory*, Balundi and Kilduff 2006). All the leaders, even junior managers, however, insisted it was important to maintain a slight distance from staff, (friendly but not a friend), having 'clear boundaries' because if you are 'too friendly, it's hard to discipline' [Lynn]. Although one of Roger's bosses having a green, amber and red light outside his door was not well received. The leader's connection with staff (Dansereau et al.s' *LMX theory*, Northouse 2007) and the organisation mattered considerably Leaders were described as 'having come through the ranks' or 'served their apprenticeship'. Being visibly involved, 'leading by example', 'getting their hands dirty' [Harry] was also important. This also relates to leader visibility, {equines keeping others in 'eye and ear-shot', described by Laura}, with

strong dislike of leaders who 'rely on memos' or 'did many things on the telephone' or 'never left his office' [Roger, regarding a previous boss] and a preference for leaders 'wandering about and engaging' [Roger, describing his own style]. Distantly located leaders (*proximal v distal leadership*, Shamir 1995), could overcome visibility issues, if they 'found a way to walk the floor' [Nigel]. Leader-team and team inter-relationships (personal networks), were acknowledged along with the desire to belong in the team, benefiting from the 'mutual loyalty' and being 'all in it together'. Harry described this mutuality as, 'if I get credit you get credit, if I get criticism, you get criticism'. But, belonging isn't automatic and 'if they don't come into the fold' [Christopher], new staff - or leaders - can feel or be excluded {like a strange horse}.

Hierarchies, generally described as very linear structures (dynamics in *linear hierarchies*, Romme, 1996), were always described negatively, 'I worked where there is a really strict hierarchy... [it was the] most hierarchical place I had ever worked... questions were not welcomed' [Michael], and the related dictatorial tendencies were considered detrimental to staff buy-in to the leader's vision. The stronger the formal hierarchical behaviour, and 'more ossified the strata' [Michael], the more negative feelings emerge. However, warmer comments arose where hierarchies were not imposed and informal, self-determined relational structures, usually based on expertise, could emerge {as in equine dyad-based hierarchies}. Equally positive were comments on work environments permitting the emergence of unofficial leaders. 'Shifting hierarchies' arose where leaders were frequently moved on [James, military]. Both genders referred to the predominance of males at the top of hierarchies and generally promotion was not considered performance based (*non-meritorious promotion* in hierarchies, Sealy 2010). Mixed-gender teams were regarded as stronger, (*top management team heterogeneity*, Elenkov et al. 2005).

Discipline varied from 'a meeting without coffee', delivered by James, (retired brigadier), with the reprimand calmly delivered but with a quiet, cold focus that subtly, yet very firmly communicated its importance, {a disciplining mare's initial style?} to a director who describes 'doing a Harry' - high energy, clearly angry and quite threatening, (*coercive power*, Pearce et al. 2002). The latter, representing an escalation of reprimand when followers were wilfully not performing as required {again like a dominant mare escalating discipline or a stallion threatening} - came from a leader who took time to know staff's families and 'went the extra mile' for them when they were having problems. Discipline was not resented by followers unless seen to be unjust - and tough, more demanding, even less courteous leaders, were still preferred

to inauthentic leaders, with consistency and sincerity valued greatly over artificial bonhomie - 'so we know where we stand' [George, Tim, Murdoch], (*authentic leadership*, promoted by Burns 1978, in Day et al. 2009). People desire mutual trust with their leaders and colleagues and for mutual respect to prevail allowing a strong connection between colleagues of all ranks (*inter-member trust*, Bligh et al. 2006:301).

The confident individuals: So, the human leadership narrative tells of (potentially) family-like teams, (hopefully) led by emotionally strong, confident, intelligent individuals (*trait theory*, Northouse 2007:8-20) born with a certain independence, developed further during their early years, {equine leaders, confident to leave the herd}. Reflecting this nature-nurture dynamic, are leaders who have always been 'pack leader at Brownies, the class or team captain, chairing committees at University' [Elizabeth]. Not everyone has these leadership attributes, but leadership skills can be enhanced, given the right training. All leaders must be followers at some stage and most leaders say they still occasionally need to be followers, either to leaders above them or followers with better technical skills or experience pertinent to a specific problem or business requirement (*leaders as followers,* Follet in Graham 1996; Goffee & Jones 2006). Of the eighteen interviewees on human leadership, three women described themselves as 'more follower than leader', or follower but occasionally unofficial (small team) leader [Tricia]. However, the two most junior males described themselves as 'leaders really' despite their limited roles, suggesting young males are likely to aspire to leadership, {young colts practice fighting and challenging the stallion}. Tellingly, the most predominant reason given for a person becoming a leader was 'because they want to' - personal desire and confidence thus being significant in assuming leadership. However, an air of confidence and authority helps {an equine's 'presence'}, and the ability to engender passion - a charismatic personality is considered beneficial to a leader, (*charismatic leadership*, Conger 2000) but not without delivery of good results. Elizabeth, who reached very high levels both as doctor and non-medical director in the NHS, whilst laughing, said 'lets face it, there are some rip-roaring psychopaths out there [in leadership]' (psychopathic tendencies in leadership Deutschman 2005) - alluding to the *dark side of charisma* (Conger 1989).

The leadership dynamic - the decision to act: Having confidence, clear vision and a sound grasp of the 'bigger picture' [Nigel] {like the alpha mares}, (*strategic leadership*, Bass 2007), a leader's role is to enable followers to perform in the pursuance of desired goals (*path-goal theory*, Northouse 2007). The leaders have the courage to take responsibility for the business and make the important decisions, and must have

sufficient managerial or organising skills to ensure the vision's delivery through others. Leadership was often described in terms of movement with phrases like, 'set paths we want to follow' [Julie], 'take them with you' [8 interviewees], towards, 'a shared vision', (*vision*, Kouzes & Posner 2007 and 2009) or 'good outputs' [George], (good *outcomes*, House 1971), with the leader giving the direction to be 'on target' [Josie] ('establishing direction', Kotter 1990:4). It is seen as a leader's role to ensure the success of the organisation and attend to staff wellbeing (*servant leadership*, Greenleaf 1971) providing inspiration and motivation (*motivational theory*, Vroom 1995). Followers seek success from their leader, so outcomes must be good [Tim, James] and make followers feel assured of corporate survival [Tricia] along with their security of tenure. Unrealised visions damage a leader's credibility, which is also based on their expertise and experience [George] - although it is acknowledged that a leader can use others' experience. Leaders must also cope with the external environment, especially competition for resources and market-share, which may require fighting off potential take-over bids {competing stallions}. Highly competitive environments, crisis-based work practices [Linda] or rapid growth plans can lead to increased internal aggression.

Leader as the servant: A large part of the leadership role as viewed by both leaders and followers related to aspects of leader as 'servant', with comments like Nigel's, [middle manager in commercial banking, with forty reportees], who talked of his belief in leaders being 'there to serve rather than the other way round. My role is not to direct them, but to support and serve them. Leadership is about preparing the people, doing stuff for them. Its not about power. It's kind of turning the "servant-master relationship" on its head.' [However, Nigel confirmed he had not come across *'servant leadership'* as promoted by Greenleaf (1971)]. Others said that a good leader 'takes care of bureaucratic nonsense' [Harry]. In many respects, a leader should nurture their staff, providing personal development opportunities, training and acting as 'mentor' or 'role model' [Lynn and James], (*Transformational leadership*, Avolio et al. 1999, Elenkov et al. 2005).

Laura, described working in an environment where the overall leader had a very open approach to management, setting targets and empowering the project managers to be responsible for delivery of computer code production teams, without constant instructions from above. Leadership was shared between 2 project managers per team of 5 specialists. Rules were limited, except working excessive hours was prohibited. The project managers decided to run their teams using what academics would refer to as a servant leadership approach, and viewed it as their role to make it as easy as

possible for the technical experts producing the code (computer programmes) to perform - 'we [project team leaders] saw our main role as ensuring that nothing should disturb the team ...facilitators making sure the group was not bothered by extraneous unpleasant things' [Laura]. The informal structures they employed were fluid and dictated by the needs of the projects and matching the skills of the different specialists to the project demands, work patterns and team leadership changing over time (*distributed leadership*, Gronn 2008; Ancona and Blackman 2010). {Different alpha mares taking the lead}. 'People said it was their best work experience. Everyone had responsibility, the buck stopped with everyone'. Productivity was high and the team were highly successful.

Communication: Much hinges on the manner and integrity of leader communications. Whilst clarity with clear goals is demanded of leaders, for follower satisfaction communications must also be polite, friendly and justified by explanation of relevant issues. Leaders should in turn be 'approachable and listening' [Sarah], and without emotional intelligence (Yukl 2009a) leaders struggle to be empathetic to followers [Anthony stressed the importance of empathy]. Ailsa, a senior area manager in social work, described how her regional boss always made great efforts to remember peoples' names and backgrounds, meeting and relating to all the care centre staff. She described his sensitivity to peoples' needs and situation, being 'always at their level', - remembering his kneeling down to speak with an injured client on a low stretcher. All interviewees described how leaders would engage in a brief 'chat' before issuing an instruction, with clear, calm, dialogue and relaxed body language, exhibiting an attempt at empathy before the message delivery.

Crisis to conflict (reflections of the stallion): However the situation changes during crisis, leaders generally adopting a high energy delivery, with more 'adrenalin', facial and overall physical tension, even 'tucking in their stomach' and 'making themselves look bigger' [Tim], [stallion posturing in competitive conflict]. Some stay quieter, calmer and more focused, pleasantries are dispensed with and eye contact is stronger. Less is more: Tim described a boss whose crisis style was 'quieter and slower, almost eerie'.

Crisis communication can leave followers looking forward to the challenge - they may even 'get a wee buzz' [Josie], although the disturbance to routine can be annoying [Julie]. Other leaders become far more animated, shouting - creating stress and possibly panic in followers [Josie] [stallion, high adrenalin activity in competition conflicts]. However delivered, the communication is a command, not a request, a

direction, not a suggestion. Particularly where combined with aggression, overuse of this extreme behaviour becomes regarded as 'over-dramatising' [Linda] and follower response diminishes. Linda, described one boss, who relied on generating a sense of crisis, always changing work focus and 'hassling' people. He employed 'lots of aggression, banging his fists on tables'. Working in the department 'was a bit like a herd being chased by a stallion, reluctant to drop what they were doing and go off in a different direction'.

Conflict is always disliked, although disagreement is considered healthy and followers expect to be able to challenge leaders (*follower challenge*, Follett, in Graham 1996), with most leaders disliking 'yes men'. 'Conflict at the top' is seen as particularly damaging and often regarded as ego-driven, by followers, with George describing investment managers as being 'like a wolf pack - everyone wants to be on top, the alpha male' [arguably an unfair description of wolf-pack dynamics, a false but commonly employed conflict metaphor]. Aggression is seen as weakness - 'I think she felt threatened' [Rick] and typical of certain business cultures. Whilst everyone mentioned the construction industry, those working in it considered aggression more a cliche than reality. Aggression may be bullying and whilst not exclusively a male trait, it was referenced most in male-dominated industries and seen as reducing womens' desire for higher positions. Elizabeth, despite her own high-level career, said that 'it looks pretty bloody up there and who would want it?'. She suggested this was why many women leave big organisations and start up small businesses themselves or become General Practitioners rather than medical consultants. She also related aggression to the 'nature of the business [which] throws crisis at you on a regular basis' (i.e. hospital emergency), increasing the use of direct, forceful communications - compounded by highly successful surgeons' egos. Reiterating this forceful hero-based leadership Ailsa (social-work leader), said 'the medical profession have patients - people waiting patiently - whereas we have clients'. She contrasted social-work meetings, with clients and families given 'a strong voice' and helped to generate outcomes through inclusive debate, to the medical teams who hero-worshiped the egocentric consultant, who told patients of their intended treatment broaching no debate. Dictatorial styles, conflict and aggression are seen as very de-motivating to followers, the term 'motivation' being frequently used by leaders and followers.

The followers - motivation or frustration: The discussions on followership were perhaps most interesting, and challenging to some leader and management thinking. According to interviewees, followers have a far more active role than the extensive leadership

studies, and the dearth of followership research suggest. Followers are not passive and definitely not automatically compliant. They need to be motivated to perform (*motivational theory*, Vroom 1995), and need to choose to work with a leader, (several followers and leaders deeply disliked the term follower), (*stigma of followership* Bjudstad et al. 2006). Regular reliance on *positional leadership* (Northouse 2007), is deemed by interviewees to be symptomatic of weak and probably failing leaders. Inadequate leaders, politically driven, too autocratic, weak or bullying, or just not intelligent, engender strong emotions of resentment, frustration and de-motivation in staff. Equally leaders struggle to manage disaffected, difficult staff who sometimes intentionally undermine them. Frustration was the main description of such situations for both sides. Followers also get highly frustrated when leadership promotion is clearly not meretricious, particularly in the public sector, which also suffers from 'political disconnect' [George] between politicians and officials; officials being the more constant element yet politicians holding the power, however temporal their tenure.

Sectoral differences were not a key research focus, but it was notable that perceptions of the different sectors were fairly universal, with the commercial workplace seen as dynamic, pressured, competitive, tough but fun. The public sector is seen as de-motivating, disempowering, authoritarian and political by those not necessarily working in it, but with it. Perceptions of charity and third sector leadership were of vocational passion, kind and caring, collaborative and consultative, but surprisingly, described by some with direct experience, as also occasionally weak and aggressive - based on low business skills.

In summary - Confident leaders motivated followers: So, to summarise the stories of the interviewees: Followers want a leader who sees the bigger picture, sets clear goals, communicates clearly and has intellect and presence. They choose to follow when they feel motivated, secure, part of the team and trust the leader to deliver success, good outcomes. They are happy to challenge their leader, but positively for the good of the team. True leaders emerge at an early age. They believe they see things clearly and want to be in control, and, being more independent, they happily initiate action. They have confidence and strong emotional intelligence, empathy and communication skills. A successful leader:follower relationship requires mutual trust and respect. Good leadership is through social dominance, not aggression. However, when leaders are failing, inadequate or under threat, aggression increasingly dominates with more reliance on threat and positional power, de-motivating and frustrating followers. 'Frustration' frequently arose in the interviews. Leaders in turn can be frustrated - often

at the dysfunctional behaviours of their staff who are themselves frustrated, for example because they disagree with the corporate vision. After describing their 'ideal leader', by general assent only 30% of the leaders directly reported to or observed came close to this ideal - with the striking exception of the military leader, who was confident that 99% came close. However, here more meritocracy arguably prevails. With lives 'on the line', poor leaders are not tolerated by officialdom nor supported by soldiers, helping meritocracy to prevail. There is also a high level of training in the art of leadership.

4.3 The Narratives as Metaphor

The narratives, underpinned by the template analysis, re-presented the interviewees' perceptions, beliefs and observations and the following section considers and interprets the resulting information. Exploring how individuals interpret or make sense of leadership events they have experienced or observed, and behavioural patterns evidenced, in both the business/organisational and equine environments is performed in accordance with the research aim of understanding and contextualising the process of human leadership. It also requires investigating the potential of the horse-herd leadership metaphor as a suitable lens. Effectively, the research aims to explore both the *properties* and *process(es)* of leadership as identified by Jago (1982).

Studying herds and business organisations across different sectors, focuses on social systems, which are 'inherently interactive and open' (Mingers 2000:1263) and requires acknowledgement of the marked parallels interviewees described in the patterns of leadership and followership behaviours exhibited. A good example is a business crisis event compared to a stallion protecting his mares, (his 'investment'), from a challenger, where his status and access to the mares is at risk [Rick]. The stallion was described racing around dramatically behind the mares, neighing, threatening, making himself appear larger by his elevated carriage and thus coercing the herd to move. Interviewees similarly referred to human leaders 'rushing around', shouting instructions, 'puffing themselves up to look bigger', threatening anyone who did not respond fast enough. Parallels are also evidenced in the family-like terms used to describe the human and horse social systems. Working and staying together for mutual benefit and security, and thus benefiting from the chosen leaders' experience and expertise appears to be the cornerstone of leadership dynamics in both humans and horses.

The key issues revealed are next considered in the light of Basker's stratified ontology of deep structures and generative mechanisms, evidenced through events as experienced by individuals (Archer et al. 2007). Thus, do the many commonalities of leadership behaviour and assumed motivations imply that there is identifiable commonality in underlying structures, mechanisms or dynamics or is any similarity superficial, evidenced only at the level that can be empirically recorded, as Linklater et al. (1998) have done with wild horses behaviour?

4.4 Emergent Structures, Mechanisms and Dynamics

4.4.1 Leadership Hierarchies - Complex Structures

To justify a metaphoric relationship, evidence of superficial similarities would suffice, however, a critical realist lens requires searching to deeper levels. Wild horses and humans thus operate as individuals combining as a quasi-family unit, for greater security and enhanced competitive advantage, however, this social group will typically exhibit a complex hierarchical structure. Since most temporally stable herds are composed of mares, the matrix below (Fig. 17) compares socially dominant mares to a typical organisational structure, (admittedly as described by representatives of organisations in anglo-saxon capitalist marketplaces - UK and Australia). Clearly, this involves comparing predominantly female herds with predominantly male organisations, but these are compared because they are the dominant prevailing structures, not as gender representations.

Wild horse hierarchy	Organisational hierarchy
• Dyadic with complex relationship networks based on pairing or smaller groups of individuals within the bigger herd	• Formally linear, but with strong unofficial dyadic relationships
• Self-determining. Challenges always possible but generally not repeated	• Dictated by senior management. Challenges to leadership generally not permitted
• Followership is by follower choice and fear of being left behind - except when a stallion is chasing the herd	• Followership is normally demanded, with an underlying threat of discipline or ultimate exclusion from the group (losing employment)
• Any horse may lead, at any time, but it is typically more mature, socially dominant mares	• Leaders are selected by upper management and almost never by the team they represent
• Hierarchy tends to remain stable over time, once established	• Hierarchies can be restructured by senior management without reference to the team
• Leadership power lies with the followers - they choose to follow	• Leadership power lies with the leader - followers have little choice

Fig. 17 Summary of equine versus human hierarchy features (derived from interviews).

To address gender, female dominated companies and equine 'bachelor groups', although less common structures, would require analysis. In both scenarios, leadership originates within an hierarchical structure. The research results cannot define exactly why a hierarchy evolves, but they can suggest plausible reasons for the existence and continuance of equine 'group' dwelling or, for humans, operating through organisations.

According to van Vugt and Ahuja (2011:17), individuals' desire to be in a group or team is based on a primal need not to be alone and is reinforced by the resultant survival benefits. Group-dwelling individuals are less vulnerable to external predators and competitors, knowledge can be shared and reproductive success (business growth) increases, with offspring (staff or products) nurtured more effectively and having enhanced survival prospects. Young individuals can grow, learn from and be disciplined by older group members. Individuals benefit from others' experiences. This underlying survival dynamic apparently dictates groups as a preferred structure and within groups, hierarchical structures develop. However, in horses there is a much stronger on-going level of self-determination in the structures than in humans - the 'challenges' described by the equine interviewees.

4.4.2. The Leadership Dynamics

The phenomenon of leadership itself is a dynamic process and it has to work within the group structures, although no evidence has arisen from this research to suggest causality, either by the structure causing the dynamic nor the dynamic demanding so complex a social structure. Why, for example are herds and lead horses, or businesses and their leaders, not simply one leader and 'the others'? Why if natural relationships are typically dyadic, even in human organisations, is the formal business hierarchy typically linear and what determines who leads, where there is no formal hierarchy?

Laura, believing that the lead horse 'is the one that knows' (when to take action, move to water etc), described a particular socially-dominant mare always responding first to Laura's calls to return to the stables. When the mare died, a less socially-dominant mare, but one recognising Laura's calls, became the first to respond and, marching to the field gate, she became the leader for that activity. Researching animals, King, Douglas, Huchard, Isaac and Colishaw (2008:1832), similarly describe such individuals with 'the greatest incentives or the most pertinent information'. If being 'the one that knows' explains why the leader takes action - what drives the followers to follow?

To investigate the leadership dynamic further, the main themes in the template and narratives were again reduced, identifying the core processes of leadership that interviewees described and cross referencing the relevant sub-themes for each stage of the leadership process. The equestrians were all adamant that stallions do not 'lead', as was Kiley-Worthington (2005:272), however they do generate movement, generally from behind and not necessarily with willing followers. Accordingly, the stallion's behaviour is considered separately (Fig. 19).

In these tables, both styles are compared to human behaviour, creating an equine and a human leader action line. These illustrate the stages described by interviewees and identify the parallel emergent themes from the research. Since mares grow the herd and develop the herd social skills, but do not 'steal other mares' the human leader in Fig. 18 represents a leader who focuses on delivery of good product or service and mainly organic business growth. Exemplifying behaviours described in the social work department [Ailsa], the IT project group [Laura] and the housing associations [Murdoch and Christopher], Fig. 18 therefore describes willing followership. Choosing to follow, the individuals presumably base their decisions on previous experience of good outcomes, in accordance with path-goal and expectancy theory (House 1971). They trust and respect their leader's judgement and appear to contribute to decisions, exercising choice. As a result, they seem happy to follow and calm and content with their role.

Human leader's action line	Common key themes	Lead mare's action line
LEADER'S 'INITIATING' ROLE		
1. Perception of action needed		
The appointed leader e.g. C.E.O. in formal [normally] linear hierarchy structure		A socially dominant horse in a self-selected mainly family group, with dyadic hierarchy structure and strong affiliation
Perceives a business (or personal) imperative. e.g. desire to grow operation, or personal ambition	**Personal desire External threat Group well-being Increasing investment**	Has a desire to move e.g. thirsty and desiring water or moving to a resting place
2. Motivation to act		
Allegedly for the wellbeing of the organisation, but also reflects their own desire for success	**Based on own beliefs, desires, needs, ambitions (or in humans, perhaps driven by company policy, Board instructions etc, possibly to meet others' needs)**	Believed to be personal for own wellbeing
3. Decides to act		
Gathers information, generates a plan of action	**Based on own knowledge and beliefs. Must be confident, independent, prepared to take the lead, prepared to leave the group**	Knows where to go (or presumably decides where to go, when to move)
3. Communicates intention		
Explains plans	**Generally calm communication**	Stance or subtle body movements
4. Initiates Action		
Issues instructions	**Takes the lead**	Moves off from group in direction of desired movement
TEAM'S 'FOLLOWING' ROLE		
5. Evaluation of leader's 'instructions'		
Considers the instructions given	**Relates to leader's perceived abilities and own knowledge and beliefs**	Considers whether they prefer to stay or move (It has to be assumed they do not know where lead horse is going)
6. Decision to Follow - first followers		
Immediate sub-ordinates (direct reportees, management team) are supportive and willingly start to follow leader's instructions	**Strong dyadic relationships Trust integrity/authenticity of leader. Respect for leader's judgement. Belief in good outcomes. Previous good experiences**	Individuals in strong dyadic relationship to lead horse start to move off and follow leader
7 Decision to Follow - secondary followers		
Following instructions from managers (official leaders) above or trusted colleagues (unofficial leaders, dyadic relationships)	**Willingness to follow depends on dyadic relationships (always for horses, sometimes for humans)**	Following initial followers to whom they are subordinate in dyadic relationship
8. Decision to Follow - remaining followers		
Don't wish to be left out of activity or to feel rejected by the group	**Desire to be 'in the team' Fear of being alone**	Fear of being excluded from or left by herd and vulnerable to predators
9. Residual emotional state		
Calm, satisfied, perhaps energised	**High loyalty (affiliation) To leader.**	Calm, content to be with herd

Fig. 18 Dominant mare behaviour compared to supportive human leader

In contrast, the Fig. 19 represents the stallion in (what to him is) a 'crisis' situation - a challenger stealing the mares. Comparable human behaviours come from interviewees who were the senior managers in construction [Harry], banking [Nigel and Anthony] and the financial sector [George] as evidenced by certain leaders when action is critical. This is perhaps extreme human leadership behaviour, but was commonly described by interviewees in response to specific questions about crisis behaviour.

It is perhaps convenient to compare such behaviour with the stallion's aggressive chasing - however, it is justified by three of the interviewees' descriptions of a banking sector C.E.O., of whom they or immediate colleagues had direct personal experience. Board meetings he chaired where described as 'bloodshed' [Anthony] whilst he belittled other Board members, destroying their confidence and decrying their opinions. With their confidence to argue destroyed, he delivered his decisions. With non reportees he could not intimidate, he simply chose to ignore their advice (including that of one of the interviewees). Interviewees used expressions like 'his way or the highway', [Nigel] implying that people could agree with him 'be thrown out of the herd'. Evidently, his autocratic, bullying style and refusal to take counsel, led to him driving through a non-viable, large scale acquisition and nearly destroying a long established financial institution. Leaders with a tendency towards the darker side of charisma arose frequently in the interviews. Alvesson and Spicer (2011:1) quote Bill George, a Havard Business School professor, as observing that 'many of the large financial institutions and banks were populated by people only in it for themselves and not willing to exercise "authentic" leadership'.

Such people are the 'Master's of the Universe' from Tom Wolfe's novel, "The Bonfire of the Vanities". '...those super-smart, ambitious, and strong-willed people', who '...frequently suffered tragic downfalls.' (Lowney 2003:2) and who, like the stallion, receive little loyalty when they weaken or fail. Greenleaf (1971:55) perhaps explains the herd abandoning an incapacitated stallion [Rick], by arguing that coercive power, (or threat of) '...only strengthens resistance...' and 'its controlling effects last only as long as the force is strong.' Barker (2002) also noted that '...history has seen no shortage of tyrannical leaders whose cruel and despotic behaviour could be described as wholly coercive. Their leadership tenure however was rarely long term', (relating to Greenleaf's assertions that tyrants require a strong power base to retain control).

Human leader's action line	Key themes in common	Stallion's action line
LEADER'S 'INITIATING' ROLE		
1. Perception of action needed		
The appointed leader e.g. C.E.O. in formal [normally] linear hierarchy structure		Rather isolated individual on the social periphery. Group has dyadic hierarchy and strong internal affiliation, but not with the stallion
Perceives a business or personal imperative (own ambition) e.g. desire to grow the operation, possibly through acquisition	**Personal desire External threat Group well-being**	Has a desire to move e.g. a stallion moving mares away from another stallion, or stealing other mares to maintain or increase its herd size
2. Motivation to act		
Allegedly for the wellbeing of the organisation but often for personal gain or status, or financial returns	**To increase or protect investment**	Believed to be personal, to increase the assets (mares) to which it has access
3. Decides to act		
Gathers information, generates a plan of action, puts strategy together	**Based on own knowledge and beliefs. Must be confident, independent, prepared to lead, prepared to leave the group**	Has a specific target - either to attack another to steal the herd he accompanies or to prevent another from taking 'his' mares
3. Communicates intention		
Explains his decision and required action. Challenges not accepted. Tense features and assertive body posture, makes himself look bigger	**No negotiation, team members not consulted. Intimidating behaviour**	Adopts a 'showing off' body stance, crest raised, high elevated paces, makes himself look bigger
4. Initiates Action		
By issuing instructions. Cold, focused and determined, or occasionally loud, aggressive	**Takes the lead or drives (co-ordinates) from behind**	By chasing herd. High energy, adrenaline producing movement Threatening and nipping any resistant mares
TEAM'S 'FOLLOWING' ROLE		
5. Evaluation of leader's 'instructions'		
Consider instructions in respect to leader's perceived abilities and own knowledge. Feelings of urgency, possibly stress or annoyance, or even fear.	**May feel unwilling or disagree. May show resentment or resistance. May feel high energy, adrenalin and desire to take action.**	Consider whether to stay or move [assuming they do not know where lead horse is going]. May show resistance to movement. Less confident individuals may move first.
6. Decision to Follow - first followers		
Immediate sub-ordinates (direct reportees, management team) concur and start to follow instructions, or follow because threatened by leader's position and power over them or his/her aggression	**Strong dyadic relationship Trust integrity/authenticity of leader. Respect for leader's judgement. Belief in good outcomes. Previous good experiences OR Under threat**	Desire to remain with existing stallion or threatened by stallion or external threat, e.g. predator
7 Decision to Follow - secondary followers		
Following instructions from managers [official leaders] above or trusted colleagues [unofficial leaders]	**Willingness to follow depends on dyadic relationships [always for horses, sometimes for humans]**	Following others they are sub-ordinate to, in dyad, and/or affected by the stressful situation towards panic
8. Decision to Follow - remaining followers		
Don't want to be left out of activity or feel rejected by the group [or lose job]	**Desire to be 'in the team' Fear of being alone**	Fear of being excluded from or left by herd and vulnerable to predators
9. Residual emotional state		
	Low loyalty to leader if acting under threat. Higher loyalty if energised and successful.	

Fig. 19 Stallion behaviour compared to crisis leadership

Ashforth (1994), (in Thorogood, Hunter and Sawyer 2010:649) noted that '...tyrannical behavior in organizations may be legitimated by organizational norms that stress compliance through the abusive use of authority', habituating staff to tyrannical behaviours despite the distress caused. Anthony considered that '...individuals who get to the top of the tree, their style is more autocratic than consultative', and explained how less senior managers often protect their team from the stress of aggressive behaviours coming from leaders. Anthony also noted that Sandie Crombie, when CEO at Standard Life plc was sometimes criticised for 'being too quiet' - not being a charismatic, publicity-seeking 'stallion', and yet delivered very effectively for the business. [Standard Life did not require 'bailing-out' by public funds in the 2008 credit crisis].

It could be argued that stallions are 'only in it for themselves', employing threatening behaviour when their investment in the mares is at risk and, in extremes, fighting viciously, possibly fatally. Barbara described how stallions will try to rip another's tendons with their teeth to cripple them. They are, however, generally less interested in defending mares from other attacks, as Rick described, seeing stallions abandon the herd when faced with an approaching truck. As with Elizabeth's comments on the medical profession, this considerable variance in leadership styles suggests that individual humans, different organisations and sectors can have very specific and different leadership cultures.

Furthermore these two extremes of leadership behaviour described in the tables above, show surprising similarity between humans and equines, suggesting support for the metaphor. However, whilst coercive human leadership is criticised by interviewees, the stallion's threatening behaviour is not dysfunctional. Having survived evolutionary pressures over millions of years, it must be presumed to be successful. Equally being acquisitive is a well established business strategy. Interviewees all accepted that in a crisis, a leader was entitled to, and indeed should, give clear, swift instructions and expect to be obeyed without dissent. This suggests that 'stallion' behaviour has an appropriate place in the 'leader's repertoire' [Elizabeth], and is a highly functional pattern of behaviour <u>when</u> there is environmental volatility, a critical situation, an unwanted challenge. The volatility and resulting opportunity for charismatic human leadership (Conger 2000) is encapsulated in the two following excerpts.

> *'Volatility is one of the characteristics of weak psychological situations, in which there are few guides, norms or cues regarding appropriate behaviour... under such circumstances leaders have greater latitude of discretion and are more able to behaviourally express their personality and behavioural inclinations... and are expected to make decisions and take actions to reduce perceived environmental risk for the organisation and its members... engendering receptivity to change efforts'.*
>
> Waldman and Yammarino (1999:266)

The above is from a paper on charismatic leadership in C.E.O.s, reflected in the following excerpt from 'Serve to Lead', a trainee officer guide book from Sandhurst Military Academy published in 1959.

> *'In times of war...the difficulties, dangers, discomforts inseparable from the battle-field make men cry out for leadership they can do without in peace. Men are too weak to stand alone, they find the burdens too great to bear and their own selves unequal to the task. The leader himself accepts the burdens of others and by doing so earns their gratitude and the right to lead them. The men recognise in their leader some quality which they themselves do not possess: that quality is "decision".*
>
> Anon 'compilers' (1959:10).

The parallels are clear, between the stallion, the C.E.O. and the military leader: Threat, requiring the decision to generate action. '[The leader's] greatest asset is to act normally in abnormal conditions, to continue to think rationally when his men have ceased to think, to be decisive in action when they are paralysed by fear.' (Serve to Lead 1959:10).

However, when this leadership behaviour pattern becomes aggression, with high drama, shouting or threatening body language, followers feel considerable resistance, especially if the leader created the volatility. Ailsa, (social work department-leader), described a genuine crisis event which exemplified such behaviour. Flood victims were brought to a holding centre Ailsa managed and her female senior executive, '...would come in shouting, telling everyone what to do even if she didn't know herself. "I want this done...you will do it this way".' Equally, constant use of crisis behaviour during non crisis, [described by Linda] annoys followers and decreases their willingness to respond. For humans, such behaviours applied in inappropriate circumstances or an on-going basis, causes resistance and diminishing returns from followers, equating to the socially inadequate horse feeling threatened and displaying aggressive behaviours, [Laura].

4.4.3 Dichotomy in Core Dynamics - an Adaptive Imperative?

There appears therefore to be a dichotomy in the core leadership styles evidenced by horses and reflected in humans. The first is a calmer style of leadership, not driven by crisis situations or volatility, but achieved on an on-going basis by business leaders nurturing and developing staff, or by socially dominant mares managing the herd. Based on caring for group members' well-being, empowering them, giving them a vision and leading them to good outcomes, it is supported by followers' respect for the leader's expertise and experience, their presence and authority, their track record of success. It reflects Greenleaf's (2002) 'Servant' leadership and elements of transformational leadership (Avolio et al. 1999), without the charismatic end of the transformational spectrum and operates in sharp contrast to the stallion crisis style. The dichotomy between the stallions' and the mares' styles is suggestive of situational or adaptive leadership described by Yukl (2009a), but perhaps more correctly is shared or distributed leadership (Ancona and Blackman 2010) as they both have a specific style of leadership which is appropriate for the given situation in which they generate the movement. 'Generate the movement' is a more accurate term than 'leading' since leadership implies intent to lead. Whilst mares are followed we cannot prove they *intend* to lead and stallions display clear intent but are *not* followed. However, to facilitate this debate, the term leadership will continue to be applied to the stallion or mare generating herd movement.

Situational leadership (Thompson and Vecchio 2009:837) is defined as a leader changing their style to manage different followers or the same followers, as they progress along their development continuum. Adaptive leadership requires changing the leader style to accommodate different circumstances, described by Hogan (2008:55) as recognising the '...need for leaders to respond adaptively in environments of continuous change'. Adaptive leadership could be applied to the stallion changing from calm, sometimes friendly behaviour to the aggressive chasing when he perceives a threat. Equally mares can be aggressive if under attack and also initiate herd flight response [stampede] to escape. However, with horses, the closest fit appears to be shared or distributed leadership in which the prevailing environmental conditions determine which individual leads.

The following excerpt comes from a paper on shared leadership:

> *'Roles and responsibilities were typically divided by personal style, distinctive competencies, and specifics of the situation that precipitated the co-head structure. Often style differences were distinguished by a task versus people focus. One co-head would focus on developing and sustaining key business relationships, while the other on problems needing resolution. Differences in business competencies tended to reflect functional expertise, such as marketing and sales versus production and engineering, ...each co-head took primary responsibility for areas of their greater expertise'.*
>
> (Arnone & Stumpf 2010:16)

This strongly reflects Harry's description of his two construction company leaders, one of whom was 'the organisation's public face', quoted frequently in the broadcast media, leading funding and acquisition deals, and well know externally. The other led the construction side of the business, beloved by staff and driving core delivery. 'Groups may operate with various degrees of diffusion of "leadership" functions among group members or a concentration of such functions in one or a few members' for the sharing of responsibility (Gronn 2008:141) - equivalent to several more socially dominant mares and (normally) one stallion in the equine context. (See Fig. 20).

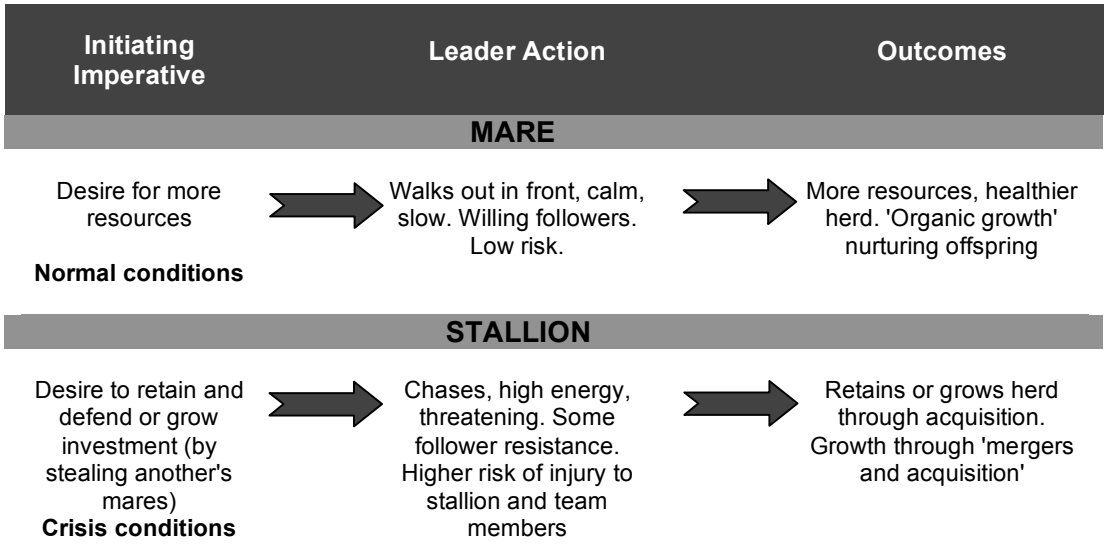

Fig. 20 Shared leadership between stallions and mares
(as described by interviewees).

Academics of business leadership talk of similar dichotomies. Kahneman and Renshon (2007:34), refer to 'hawks' or coercive war-mongers versus 'doves', peace-makers who consider political solutions to impending conflict.

In animals, King et al. (2008:1833) talk of 'despotic' leadership (rule by one, others follow) versus 'democratic' where all group members contribute to the decision.

Therefore, in equines, (as interpreted by humans), and humans, interviews support both sharing and distribution of leadership. *Shared leadership* is evidenced by alpha mares and stallions having different roles (Kiley-Worthington 2005), and companies having co-CEO's (Arnone & Stumpf 2010) and *distributed leadership* is evidenced by different socially-dominant mares taking the lead at different times (Rees 1993), and leaders in business, sometimes emergent and offering different skills, leading at different times to suit prevailing company needs (Ancona and Blackman 2010). Interviewees also report a dichotomy in behaviours between the calm leadership of the mare and the crisis-based, aggressive leadership of the stallion (Rees 1993; Kiley-Worthington 2005) which is reflected in the lower-profile, supportive leadership styles (Greenleaf 1971), and the dictatorial, autocratic, sometimes aggressive styles (Pearce et al. 2002; Jermier & Berkes 1979). This latter element, perhaps coming close to Yoder (in Schyns, von Elverfeldt & Felfe 2008) who divides leadership into 'masculinised', (hierarchical, directive, agency based) and 'transformational', (influence and empowerment).

4.4.4 The Gender Dynamic in Leadership

Gender is not a focus of this research within the human context, (although clearly delineating equine roles and behaviour patterns). However, it cannot be ignored as it potentially impacts on leadership. Whilst interviewees had more limited experience of female leaders, all (despite not being prompted) quickly declared women could lead as well as men, implying that they wished to dispel some unstated assumption in society that men were naturally better leaders. Rick, [Australian interviewee] believed leading 'is more of a female quality than a male', referring to women in his life and their positive impact on families and communities, although he identified his worst boss as a very aggressive female. Aggressive, threatening behaviour is not considered male leaders' sole domain, (mares and stallions exhibit aggression), although it was generally described as typical of female leaders 'overcompensating, trying too hard to prove they can compete with men' [Harry, construction sector], and there was consensus that female leadership deteriorates when they 'get too like men' [Christopher]. When asked to define 'too like men' it was less about intended aggression and more about confidence, seen as arrogance, strong direction seen as forcefulness. The leader in the construction industry, with limited exposure to female leaders, believed women saw the industry's male dominance as a challenge, saying 'I'll show them', and felt they 'had to

fight to get there...animal instincts'. He also claimed women tended to be more temperamental, taking issues more personally and being 'possessive' of their responsibilities. Very successful women were sometimes considered arrogant, a particularly high profile woman in the financial investment sector being described as 'seeing herself as superwoman' [George]. However, a female interviewee said 'we can't win' saying that if women behaved in a more female way, they were criticised but when they behaved more like men they were criticised too - exemplifying differential perceptions of leadership behaviour, based on gender (Paris et al. 2009).

There was general assent that organisations were male dominated and orientated. Elizabeth (medical profession) claimed the high male dominance, particularly in surgery and 'cut-throat, arrogant behaviour' made senior consultant posts unattractive to women. Females were only described as 'a token gesture' in the religious environment [Tricia]. Good women leaders were described as 'nurturing, inclusive, organised, good at logistics' [James the military commander], and caring about staff's wellbeing. They acknowledged others' opinions and had a positive affect, tempering men's worst behaviours (disciplining the young stallions?). Almo-Metcalfe (2010:640) describes research by Sparrow and Rigg (1993), into leadership perceptions of local authority housing managers and Rosener (1990) into male and female management, contrasting their results with her own pilot study into the British National Health Service. Notably, all were qualitative methodologies, involving interviewing to gain perceptions. Her findings all suggested that men and women actually perceive leadership differently, with women advocating a more caring transformational approach and men exhibiting more transactional, positional styles - according with some of the interviewees' perceptions.

Men, particularly young males, were described as wanting to dominate and very focused, 'compartmentalised' (a stallion's single-minded focus on gaining and retaining his access to mares). They have a tendency to 'cut across' others in discussions, contradict, display aggression and engender conflict. However, when they behaved 'more like women', with stronger 'softer skills' they were always cited (particularly by male interviewees), as good leaders, (caring, inclusive, open to input). Although, both female and male respondents said having more female leadership traits could be a problem in certain industries, for example finance and construction. When asked to describe how male and female leadership 'went wrong or failed', Christopher, a director with commercial and 3rd sector experience, answered, reflected and then said 'oh dear, I have just said that when women go wrong its because they behave like men

and when men go wrong, its because they behave more like [macho] men!' Several interviewees who had experienced leaders of both genders insisted that 'you cannot generalise' and most agreed that individual character is more important than gender. Furthermore, both genders could normally be 'more female or more male' according to the requirements of the situation. This flexibility was not reported in horses, where more gender-delineated roles and behaviour patterns prevail.

4.4.5 Dysfunctional Behaviours

Beyond very specific leadership styles and gender related behaviours, the dysfunctional behaviour patterns demand attention. As described, random, inappropriate aggression and frustration were strong recurrent themes in the human organisation experiences. Followers making inappropriate challenges, trying to undermine appointed leaders, leaders being weak, dishonest and bullying had been witnessed by all interviewees. Overall leadership quality was questionable, at only 30% of observed leaders coming close to idealised leader descriptions - even though most people declared themselves 'lucky' with the leaders they personally experienced. Such dysfunctions were never observed in wild horses, where aggression and conflict are potentially damaging, energy wasting and where injury invites predation. In wild horses therefore, aggression has a specific purpose, principally disciplining a younger horse or where two stallions fight for access to mares. Inter-hierarchy challenges are rare once relationships are established, apart from colts mock fighting. However in captivity, horses' social groups are changed randomly at humans' discretion, with hierarchies, if established, being broken up and changed regularly.

Young horses, particularly stallions are often not brought up with the mature mares (equine interviewees, Kiley-Worthington 2005 and Rees 1993). Lacking early socialisation and discipline, they develop without normal social skills and not understanding others' communications. Aggression and 'niggling' are common and often misdirected - sometimes at humans. As Anneka said, in captivity, horses cannot escape this aggressive, dysfunctional environment, 'suddenly all your fields consist of corners where somebody [a horse] gets caught'. A threatened horse is frequently an aggressive horse [Fiona, Barbara]. Aggression-based dominance is identified as a result of un-natural resource competition created by humans, unlike natural dominance based on social skills and expertise (Kiley-Worthington 2005). Laura criticised the common assumption that the most aggressive horse is the leader, explaining aggression as an expression of vulnerability (concurring with Rees 1993), which gradually decreases as a horse relaxes and feels safer in new surroundings. Parallels

clearly arise between dysfunctional human and dysfunctional horse behaviours and, potentially, between the underlying structures and dynamics. It suggests, as did interviewees, that aggressive leadership may actually arise, (perhaps sub-consciously), from feeling vulnerable, perhaps to threats from the business environment or specific colleagues, or insecurity in their ability to deliver to required levels. However, although coercive leadership behaviours receive attention (Thorough et al. 2010) as does inter-colleague aggression (Olson et al. 2006; Glombe 2011), leader aggression to subordinates, whilst sometimes mentioned under coercive leadership, receives little attention as indicative of leader weakness or leaders feeling under threat. Instead, the term 'aggressive leadership' is typically applied to external aggressive practices in highly competitive markets, for example 'aggressive and manipulative business dealings' by Bill Gates (Microsoft) and Tom Watson (IBM) (Theodosi 2000).

The following section aims to investigate metaphor's potential further, based on the parallels above and then reduce the data to seek the underling mechanisms, dynamics and structures of critical realist investigation.

5. Interpreting the Results

5.1 Challenging the Metaphor through the Critical Realist Lens

This research's primary aim was to discover underlying dynamics, structures and mechanisms of leadership by exploring an equine metaphor, with the supporting aim being to determine the equine metaphor's potential by contrasting horse-herd and human leadership. As Susanne Langer (in Gill 1996:9) argues, '...all new ideas must first be expressed metaphorically ...before they can be named or defined', asserting the power of metaphor in facilitating human understanding - 'the cognitive function of metaphor' (Kovecses 2002:33). Metaphors are described as 'illustrative devices' offering the opportunity to see leadership through the 'prism of some other phenomenon' (Alvesson and Spicer 2011:6,35), potentially therefore providing a vehicle for leadership description and debate (Alvesson and Spicer 2011:39). By providing a cognitive image, metaphors provide a rich source of communication and pedagogical capability. Widely and frequently unconsciously employed - from poets to scientists - they aid understanding (Alvesson 2011:66). However, for this metaphor to be viable as an illustrative device, it must have a source domain, the equine leadership, that is more understandable, more tangible than the target domain of human leadership. Furthermore, to work well, it requires to combine both elements that are similar and those with a sufficient degree of difference - without this balance, particularly sufficient difference, it risks ceasing to be metaphor. The following tabulated comparisons explore this by exemplifying similarities and differences in human and equine leadership arising in the literature review and interviews.

Fig. 21 identifies considerable overlap in human and equine leadership behaviours. Firstly, the *structural* dimension of operating in groups and having naturally occurring dyadic hierarchies within these groups, based on relationships, mutual trust, influence and occasionally dyadic aggression - all *mechanisms* underpinned by authentic behaviours. Then there is the *dynamic* of leadership and with it followership - team members following an individual, based in the belief of good outcomes, delivered through the leader's experience and expertise. Furthermore, this leadership can be shared or distributed. There is also the *dynamic* of role modelling for goal achievement.

General Equine Role & leadership traits	Core Attributes IN COMMON	Corporate Leadership equivalents
Direct, honest communication (Irwin 2001)	Authentic behaviour & communication	High personal integrity in dealings with staff and outsiders **Authentic Leadership** (Day, Harris & Halpin 2009)
Change behaviours according to interactions with other equines and environmental conditions.	Flexibility of approach. Spectrum of behaviours.	Ability to related differently to different staff, internal and external conditions. **Situational Leadership** (Thomas & Vecchio 2099), **Adaptive leadership** (Hogan 2008**), Contingency theory** (Boal & Shultz 2007).
Dyadic hierarchies prevail. Affiliative or aggression based. (Bennett & Hoffmann 1999).	One to one relationships operate within hierarchies.	Tend to operate in linear formal hierarchies with informal dyadic hierarchies having a significant impact. Good relationships and **influence based dyads** (Rank & Tuschke 2002), but can be **aggression related dyads** (Ridgeway & Diekama 1989). **LMX theory** (Northouse 2007).
Stallion and alpha mares have distinct roles.	Two or more leaders responsible for different herd/ organisational functions.	Two more formally appointed leaders with specific roles, e.g. Co-CEO**s. Shared leadership** (Arnone & Stumpf 2010). **Distributed leadership**, (Ancona & Black 2008).
Herd has choice of following or not.	Tendency to follow individuals.	**Followers support** is considered necessary for leaders to deliver the vision (Carsten & Bligh, 2008).
Herd believed to have trust in leaders efficacy.	Leaders must be trusted to deliver and be genuine.	Reflected in leader's track-record and personal integrity. **Cognitive-based or affective-based trust.** (Bligh et al. 2006).
Older individuals influence and are copied by young stock.	Role model, instigates learning interactions.	Influences and encourages learning and collaboration, creates the desired environment and culture for gaol achievement. **Post-heroic leadership** (Dutton 1996; Huey 1994; Fletcher 2004).

Fig. 21 Equine leadership role and traits, compared to corporate leadership

Fig. 22 contrasts the alpha mares' leadership style with human, again considerable similarities are evidenced. Within the same basic *structures* and with comparable *mechanisms*, there is a team development *dynamic,* nurturing, creating a herd ethos, disciplining. This is delivered with a *dynamic* for team welfare, responding to the environmental, ensuring team needs are met, and good outcomes achieved - taken further there is a strategic planning *dynamic* looking to future needs and goals. In both horses and humans these rely on emotional intelligence, with clear, persuasive communication - reinforced strongly when instructions are not followed. It effectively becomes good corporate governance and stewardship with clear leadership and willing followership.

ALPHA MARE Role & Traits	Core Attributes IN COMMON	Corporate Leadership equivalents
Leads herd to water and fresh grazing. (Bennett & Hoffmann 1999).	Achieves the herd's/organisation's welfare	Good at corporate governance. Creates safe work environment. Leads team to good outcomes/ **Path-goal theory** (House 1971) **Servant Leadership** (Greenleaf 1977)
Moves the herd to shelter and safer pastures - rewarding locations (Fischoff et al. 2006)	Sources safe environments/sectors Corporate survival	Creates a stable, safe working environment. Cares for others. **Servant Leadership** (Greenleaf 1977) Risk averse. More likely to favour organic growth over high risk acquisitions**.** Corporate wellbeing.
Acts to meet future needs (leaving 3 days before water is needed in desert).	Plans ahead, envisions the future.	Has medium and long tern view, plans accordingly, puts systems in place etc for future requirements. Structured approach to business rather than reactive. **Strategic leadership** (van Maurik 2001).
Will eject troublesome horses from the herd. Disciplines young stock. Can be delivered aggressively.	Herd/corporate discipline and ethos.	Strong on staff development, discipline and team building. Stabilising force in the workplace. **Directive, authoritarian leadership,** occasionally **Coercive leadership** (Pearce et al. 2002; Jermier & Berkes 1979) .
In extremes will tackle the stallion.	A balancing force in the group.	Persuasive at Board level – regarded as a stabilising influence on the extremes of other Board members.
Subtle communication with herd. [Laura]	Subtle body language, high social awareness and social dominance skills dominance.	Aware and empathetic leadership, **Emotional intelligence** (Marques 2007).
More than one alpha mare may be leader. [Barbara]	Leader may change for different needs, or at different times.	Project leadership, functional leadership, changing as needs arise. **Distributed leadership**, (Gronn 2008; Ancona & Blackman 2010)

Fig. 22 Alpha mare leadership role and traits, compared to corporate leadership

Comparing the stallion in a crisis with human leaders, brings out the *mechanism* of employing charisma, behaving inspirationally to energise followers to action, sometimes developing into extreme coercive behaviour with destructive outcomes. However, when delivered successfully, it delivers the team from threat or achieves acquisitions, enlarging the team (or organisation) and is a positive acquisitive-growth *dynamic*. It should be remembered the stallion is not always in crisis mode, being a calmer, more friendly individual during normal conditions and generally submissive to any mare showing him aggression, (Rees 1993).

STALLION Role & Traits	Core Attributes IN COMMON	Corporate Leadership equivalents
Always very active and highly visible, noisy.	Easy to identify	Typically high profile. Active in the media. Identifiable to people outside own industry. **Charismatic leadership** (Conger 1989).
Main role is procreation [Robert]	Increasing the herd/company size	Driving for rapid growth, opening new divisions/regional offices. Pushing into foreign markets**. Heroic** leadership (Lowney 2003; Mintzberg 2006).
Attacks other stallions to steal their herd (Kiley-Worthington 2005)	Taking risks to increase herd/ company size and diversity	Strongly acquisitive, often leading aggressive takeover bids**. 'Dark side' charismatic** (Conger 1989).
'Leads' through driving and aggression. Fighting may lead to injury. [Barbara, Rick].	Strong leadership but often unapproachable. Conflict driven.	Can be disruptive on the Board. Competitive within own organisation and industry. Often visionary but not easy to work with. Can cause high staff T/O. Can be disruptive on the Board. Often competitive within own organisation or industry. Sometimes excessively aggressive, **Coercive** or **Destructive leadership** (Thoroughgood et al. 2011).
Defender of herd or territory from strangers. (Kiley-Worthington 2005)	Fights off attacks from other stallions/ organisations and predators	Will fight unwanted mergers and takeovers aggressively and publicly.
Dramatic behaviour	Passionately single minded	Inspires the organisation to change and develop**. Inspirational & transforming,** (Nicholls 1994). **Visionary** and **transformational**. (Avolio et al. 1999).

Fig. 23 Stallion leadership role and traits, compared to corporate leadership

However, there are differences. Race and culture appear irrelevant to equine leadership, with no reported behavioural difference across continents. Lead horses do not appear to try to change the team's culture or internal operations. Humans however, exhibit a *dynamic* for change and most strikingly, horses appear to have some choice (a significant *dynamic*) in who they follow. Hierarchies are effectively self-determined structures, with humans rarely permitted to choose their leader and more likely to suffer coercion to follow. Hierarchies are typically enforced and linear in most organisations. Humans have a *mechanism* of underlying coercion (risk of losing employment) less frequently exhibited in equines (exclusion from the herd) and this along with enforced hierarchies and imposed leaders may generate the dysfuctional *dynamic* in many human organisations.

General Equine Role & leadership traits	Core Attributes NOT IN COMMON	Corporate Leadership equivalents
Followers/herd determine status. Coercion rarely involved.	Propensity to follow leader.	Followers may have less power, fearing job loss etc. **Followership theories** (Kellerman 2008, Kelly 2008).
Self-determined, dyadic.	Hierarchies	**Formal hierarchies** generally formed from outwith the immediate team, typically linear. (Romme 1996; Anon. 1996). (Informal dyadic hierarchies identified).
No evidence of herds being culturally changed by leaders, or leaders empowering others. Adults are copied by young but don't necessarily 'mentor'.	Change & innovation. Mentoring, empowering.	Charismatic, empowering leader mentors and changes the culture **Transformational leadership** (Bass & Riggio 2006; Schyns 2007; Avolio 2010).
No evidence that different breeds or equines in different countries exhibit different leadership behaviours.	Cultural variations in leadership	Different **cultures/races** exhibit different views on leadership styles. (Den Hartog et al. 1999)

Fig. 24 Equine leadership role and traits, not comparable to corporate leadership

As these tables, derived from the template and narratives, describe, similarities are plentiful, exemplified in the more superficial, empirically measured level of experiences and events - the use of body language, behaviour patterns in a crisis, nurturing behaviours, aggression. The horse owners who had business experience could readily suggest analogies of horse behaviour for the human realm. This conceptual, structural metaphor, being founded on factual mappings, proves richly knowledge-based. It would be image based, (Korvecses 2002), if founded on old fashioned ideas of proud stallions leading herds. It explores an abstract complex-system target domain, (human social organisation) through the lens of the equine source domain. In applying animals as metaphor for humans it accords with the Great Chain of Being metaphor concept of Lakoff and Turner, that of humans being a level above animals, animals above plants and so forth, (in Kovecses 2002).

Examining the less complex equine lives and behaviours, through structural metaphor, therefore offers a new perspective into the deeper driving forces in human leadership. Critical realists believe that science has a responsibility to search beyond a phenomenon's superficial empirically-measured surface. Science must thus seek causal relationships and hidden dynamics, by asking transfactual questions to attempt to discover what is happening between the entities to generate the visible event (Danermark et al. 2006). At this deeper level, the similarities or metaphoric correspondences are so strong that we may actually be examining the same

mechanisms and structures. Potentially, the core elements of leadership in both species have the same foundations and work to the same dynamics. The simplicity of the equine metaphor may provide a key to human leadership, but the strength of the behavioural and structural congruence is too great to be employed simply as metaphor and warrants further investigation and debate.

5.2 Exploring the Shared Dynamics and Structures of Leadership

A wider search of the animal kingdom, reveals further examples of this leadership pattern and the social behaviours that appear to be key constructs. Darling (2008:64 - originally published 1937) describes the importance of social habits to animals, summarised in Fig. 25. Few additional words are required to define why humanity has created the 'organisation' as a mechanism for delivering business. To animals the benefits of social-living at optimal densities provide a physiological advantage, even evidenced by simple Drosophila fruit flies (Darling 2008:65). This mechanism reflects regional house-building operations which optimise at around 500 new homes per annum, but often struggle to compete when aiming for larger volume. Commercial organisations possibly have optimal operational scales, perhaps defined by environmental (market) conditions, as do socially-dwelling animals.

1. Strength of union. The whole being greater than the sum of the parts.
2. Co-operation, making for efficiency.
3. Possible potent products and educative potency of the society.
4. Division of labour.
5. Sociality fosters the evolution of intelligence.
6. Social habit works in effect towards a moral and ethical standard.
7. Sociality allows for the trail of variations with freedom not possible in solitary animals.

Fig. 25 The value of sociality (from Darling 2008)

Darling, an eminent naturalist and ecologist, delivering a Reith Lecture in 1969, brought the environment into political and public focus. His 1937 book on wild red deer (reprinted 2008) describes a gregarious matriarchal social system in which the stag never achieves leadership, (Darling 2008). The matriarch is normally a mature, experienced hind, unchallenged to her death. He attributes her good leadership to her maternal, nurturing instincts and notes that a matriarch who ceases to breed, ceases to

lead, thus adding another dimension to why animals lead - not just from their own needs, e.g. thirst, but for their off-springs' benefit, just as leaders' actions should benefit their team. Furthermore, this protective leadership is shared as another female typically brings up the rear in significant herd movements, fulfilling a welfare task and watching for predators. Darling (2008:66) asserts that: 'This unquestioned leadership is of the mother type and bears no relation to the masculine egocentric kind which enjoys power for power's sake' - echoing sentiments above on masculinised and feminised leadership.

Elephants apparently mirror many matriarchal herd traits. Males often form bachelor groups with dominant bulls clearly identifiable by the way younger bulls pay their respects in a ritual that biologist Caitlin O'Conner (2007:16) describes as 'like watching the mafiosi [junior ranks in Italian gangs], paying respects to the don [leader]'. There is also inter-herd dominance, again reflecting human leadership patterns. At rest, as groups spread out a little, matriarchs have been observed walking quietly between family groups, as if patrolling their team. 'After an engagement a leader's first thought and action must be for the welfare of his troops; his own comfort and welfare must come last.' (Serve to Lead 1959:25). O'Conner (2007:197), describes a non matriarch female, checking the safety of waterholes before leading the group in, also 'bringing up the rear' protectively on departure - all reflecting Greenleaf's (2002) servant leadership concept and exemplifying shared or transferable leadership.

One could suggest these leadership behaviours are typical of herbivorous prey animals and not relevant to omnivorous humans, who are prey and predator, but the much maligned wolf pack offers further insights. The "alpha male" wolf, a favourite of supporters of aggressively dominant leadership behaviour, is actually a misleading term. 'Alpha animals do not always lead the hunt, break trail in the snow or eat before others do. An animal may be alpha only at certain times for a specific reason, and it should be noted, is alpha at the deference of the other wolves in the pack.' (Lopez 1978:33). Notably, being a social animal, it 'depends for its survival on co-operation, not strife.' The observed pack structure is typically an alpha male and alpha female with other dominance relationships below. The pack may hunt as a unit, sometimes with young two year old females (physiologically comparable to greyhounds) taking the lead, after fast prey, e.g. caribou. Leadership is thus transferred to individuals with the most pertinent skills and expertise (not always evidenced in the corporate world). Wild wolves rarely fight to the death, although it has been observed in competing alpha animals undertaking a 'bloody, eerily silent fight...' (Lopez 1978:52). However, again in

captivity, dysfunctional behaviours emerge, with the artificially imprisoned pack abusing a 'scapegoat' in their frustration. This ostracised individual will be put in the line of danger first. Lopez also describes the subtleness of wolf communications, having seen 'animals at rest pick up cues from each other even though there is no audible sound and they are out of visual contact' (Lopez 1978:50).

Such silent communication perhaps also explains how a mare can join a herd and 'just take charge' [Anneka] and a human can just have 'that presence', which gives them automatic dominance in business situations. One interviewee described being introduced to Nelson Mandela: '...if you ask me to describe a good leader who I would follow after meeting for 10 seconds, it would be Nelson Mandela.' Roger acknowledged the romanticism and history associated with Mandela, but explained that he had a 'presence ...could walk in to a room and just make it work.' He put Bill Clinton, former USA President into the same category. Both descriptions are evocative of the "innate qualities" defined in the 'Great Man Theory', popular in the early 20th century, evolving into trait theory (Northouse 2007) and more specifically 'charismatic' leadership theories (Conger 1989) .

So in nature, in group-dwelling animals, and in human organisations hierarchies tend to form and leaders, (independent, resourceful, decisive individuals) emerge and followers follow.

5.3 Decisions and Followership Dynamics

However, the leader, which may not always be the same individual, cannot force the pack or herd to follow them. Again there is a decision making process required - a follower dynamic - and certain biologists define this as consensus. When social group members make a choice - a decision - between two or more mutually exclusive options, with the aim of reaching agreement to act, it is a consensus decision (Conradt & Roper 2005). The imperative is to stay together for mutual wellbeing and this decision-making normally 'involves some form of leadership', defined as the 'initiation of new directions of locomotion by one or more individuals, which are then readily followed by other group members' (Dyer, Johansson, Helbing, Couzin and Krausel 2009:781). However, whilst in consensus individuals all abide by the decision, they may not all contribute to it, (Conradt and Roper 2005:450). Consensus thus provides an explanation for the herd movement, where a socially dominant horse walked off and others chose to follow [Barbara] and suggests a possible role for dyadic relationships in communication delivery. Dyadic animals tend to stay close within herds and if

communication is subtle, perhaps silent body language, it works only over short distances ('local' communication) and thus a large animal group requires a series of local communications - comparable to a CEO cascading instructions across an organisation. In smaller groups, more typical of carnivores, all members can receive the message simultaneously, ('global' communication), just like a manager briefing all department heads in one meeting. In larger groups, requiring greater expediency, local communication is insufficient, and stronger communication is demanded - perhaps exemplified by a stallion racing around, drawing attention to himself and whinnying loudly.

However, it still depends on individuals deciding to join the movement. Although a stallion's behavior may seem threatening, Conradt & Roper (2005) argue that coercion (as opposed to threat) by a dominant is unlikely to be effective because the leader's personal gain insufficiently outweighs the coercion costs, (e.g. fight injuries). Since the outcome of following may not be universally desirable but better than remaining alone, without group protection, the group-based benefit presumably outweighs the 'consensus costs' (Conradt and Roper 2005:453) of complying. Inevitably, conflicts must arise, although less so when good decision-related information is exchanged between members, reflected where interviewees told of hating instructions being given without explanations. A degree of co-operation and dyadic trust must prevail. This leader-member trust, (Max de Pree interviewed on corporate leadership, Hesselbein 1997), and also equine inter-member trust described by interviewees, is based on relationships and belief in the suitability of likely outcomes. Reflecting Bligh et al.'s (2006:301) 'affective-based' and 'cognitive-based' trust it appears to be critical to followership. As a principle attribute of servant leadership, trust requires reliance on a leader's character, integrity and ability, (Russell and Stone 2002). Perceived influence and friendship in positive dyadic relationships also act as antecedents to cooperation for senior management both within and between multi-nationals' top teams, (Rank and Tuschke 2002). Consensus is thus essential to the followership dynamic in groups and as Bjugstad, Thach, Thompson and Morris (2006:304) argued, leader effectiveness requires follower consent, or as Brown (2003:68) believes, 'leadership is something that is given and not taken'.

But, what if the leader is making the wrong decision?

5.4 Consensus - a Mechanism for Better Outcomes

Consensus decision making addresses this too, through information pooling, famously exemplified by the statistician Galton, at a cattle fair weight judging competition - the more people guess the cow's weight, the more accurate the answer, and it will be more accurate than the best guess (Conradt and Roper 2005). It is based on the probability of individuals' correctly identifying the better alternative and the 'mathematical logic implies that, even if the dominant is more experienced and better informed, its error is often larger than the combined error of several inexperienced group members'. The larger the number of decision makers, the more accurate the averaged decision (Conradt and Roper 2005:454). Dyer et al. (2011) applied the leadership models to humans that Couzin et al. (cited in Dyer et al. 2011) created, based on animals. These mathematical models investigated leadership mechanisms and decision making in animal groups, where there was an absence of complex signaling and when the individuals concerned could not know what relevant information others possessed (occurring in animals believed to have no recognition ability or dominance hierarchies, such as swarming insects). Assuming identical individuals, moving at the same speed, with just a few having directional preference, possibly to a desired resource, the models could still predict patterns of movement - effectively leadership and followership.

Dyer et al. (2011) investigated the importance of informed and uninformed individuals to a decision making process - group movement in humans. With all individuals told to travel at a fixed speed, an arm's length apart, not speaking or signaling, human groups in excess of 100 individuals rapidly become a 'shoal', moving like fish. Varying sized groups were then tested, with individuals instructed to either '...simply stay with the group' ("uninformed individuals") 'or .... go to number X, without leaving the group', ("informed individuals"). It took only one informed individual to achieve success at moving to a specified target, with the informed individual best starting at the group's centre. Additional informed individuals facilitate quicker success. In larger groups, the most effective spatial distribution is an informed leader at the middle, one at the front and one at the rear. (Barbara reported the apparent lead mare often being seen at the herd centre, when movement commenced in a panic situation, not the front). Conflict can arise if two sets of informed individuals are given different targets, but with group fragmentation only more likely in larger groups - where the big group can split but individuals may remain in a (smaller) group. Both group size and the number of uninformed individuals affect speed of decision making between choices and the

likelihood of the group splitting (Dyer et al. 2011). In humans, lack of consensus can undermine otherwise good leadership:

> *'Since one critical aspect of transformational leadership is developing consensus and a collective mindset.....the extent to which followers develop similar perceptions may also be critical in determining whether a leader is transformational.'*
>
> (Feinberg, Ostroff and Burke 2005:473).

These findings, and the strong similarities between human and horse, indeed even less complex animals' leadership, imply that leadership consists of very fundamental dynamics based on: informed individuals making a decision and then first followers (also potential leaders) deciding to follow .....and then the remainder wanting to stay with the group. All based on dyadic relationships and trust. (See Fig. 26).

Fairholm and Fairholm (2000) argue that this trust is only truly established when a person's '...cultural heritage and the organisational culture are in harmony,' and a 'unique common psychology' is established. Given the very stable nature of herds this will be strongly established through the 'affective-based', and 'cognitive-based' trust (Bligh et al. 2006:301), developed as a result of the collective's longevity - although will be harder to achieve in human organisations with variable employee tenure. (The research also pointed to dysfunctional behaviours disrupting this idealised dynamic).

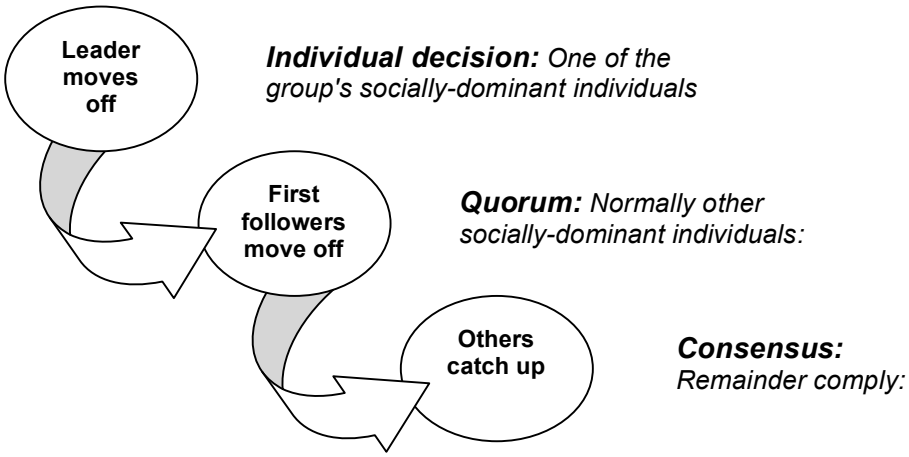

Fig. 26 The leadership pathway (simplified)

There are therefore, three key decision dynamics, individual decision to act, a quorum and then consensus decision to follow.

Reviewing evolutionary leadership literature, van Vugt (2006:256), concluded that 'An evolutionary analysis assumes that the emergence of leadership is fine-tuned to specific coordination problems that humans have faced across evolutionary history.' Furthermore, along this evolutionary path, survival of the fittest is not so much a matter of health, size and brute force permitting physically-based dominance, but as discussed earlier in wolves, horses and deer for example, it is a matter of social skills, experience, expertise, intellect and a decisive personality (social fitness) yielding *social dominance*. As explained by King et al. (2009:911), 'individuals are more likely to emerge as leaders if they have a particular morphological, physiological, or behavioural trait increasing their propensity to act first in co-ordinating problems'. Natural selection, it is argued by Ernst Meyer, a biologist, (in Mintzberg, Simons and Basu 2002) also favours 'a propensity for altruism and harmonious co-operation in social groups'. We do better together and do better as individuals if we care about each other. This implies a co-evolution of leadership across species and across history, driven by very simple but critical dynamics and explains why horse leadership, and at times specific behaviours, can so resemble human leadership despite the huge species differences and the differing complexity of their lives.

If then, this phenomenon of group-formation and leadership is such an evolutionary survival mechanism, and individuals have a mathematically predictable propensity to follow those who know where they want to go, why does human leadership face such challenges and why do humans display so many dysfunctional behaviours, compared to wild animals? To offer a response, the underlying structures, dynamics and mechanisms of leadership can be compared between horses, (to return to the core focus of this research) and humans.

5.5 Exploring Leadership Failure and Dysfunctional Behaviour

5.5.1 The Leadership Process

The underlying driving forces for the leadership pathway, operating within a group structure can arguably thus be defined as shown in Fig. 27. If the criteria in Fig. 27 are used to compare (simplified) equine and human leadership, the dynamics, structures and mechanisms for group operating are very parallel, essentially having evolved to offer greater security and efficiency. However, once the leadership dynamic is considered in more detail within typical human organisations, differences do emerge.

i. an imperative to stay together to ensure great efficiency, security and chances of survival (*survival mechanism*)

ii. results in the formation of a group (*structure*)

iii. which evolves into a more complex dyadic hierarchy (*structure*)

iv. strong minded, independent individuals then decide (*dynamic*) to take action to meet their desires or needs, or altruistically, for the benefit of the group (*mechanism* for change)

v. the followers decide (*dynamic*) to or not to follow this independent individual (consensus *mechanism* for quality control of leader decisions)

vi. remaining individuals follow (*dynamic*) in preference to being alone (*mechanism* for group cohesion)

Fig. 27 The structures, mechanisms and dynamics of the leadership pathway

To summarise the concepts above: The 'leader' may be one of several socially dominant individuals, acting for their own or altruistic needs - they have a vision. They only become a leader when a quorum (the first followers) decides to follow them, based on cognitive and affective trust. For the whole group to follow, requires local or global communication and a consensus, operating through dyadic relationships in a complex self-determined hierarchy. The leader cannot apply coercion and the followers effectively 'gift' the leadership role and follow willingly, calmly and with purpose. It may still be a bad decision, but through consensus, it is statistically likely to be the best the group can make, given their abilities and knowledge.

The critical moment above is when the 'may-be leader' first goes out on its own - on leaving the herd, it is highly vulnerable to predators, if the larger part of the group decides not to join in the movement. Thus:

the power actually lies with the quorum of first followers

- who decide to follow or not -

In humans, (arguably in Anglo-american cultures) the leader is normally pre-selected outwith and above the team, '...illegitimate leadership, selected by outsiders and imposed on insiders.' (Mintzberg 2006:8). Their decision to act may be to the company

good but can be driven by selfish ambitions and desires, (e.g. a potential high bonus). The hierarchy is formally linear, (with informal, often hidden, dyadic relationships within it), and is not determined by the individuals, but by external powers. The team members may not trust the leader's decision making and the justification for it may not be communicated. Despite unwillingness to follow, the organisation's dynamics demand compliance - or coercion may occur, in disciplinary action or dismissal. As first followers comply, the pressure on remaining individuals is very strong. Not only do they risk being ostracised, but the same coercion can be applied. The leader's path may not be the best as, lacking consultation or consensus, it may have been made without essential information held by subordinates. Subordinates follow willingly if they rate their leader highly. However, they may be unwilling and exhibit resentment, with their overwhelming emotion becoming frustration and may perform badly or even sabotage the project. Since, statistically, the probability of the leader's decision being better than a consensus can achieve, assuming he/she doesn't have vastly superior powers of reasoning or sole access to very important information, the chances are that the followers' negativity will be proven correct.

Again the first line of potential followers, often the regional directors below a CEO, or an MD's management team, hold the power. They may even be unofficial leaders, with whom staff have strong affiliation, and who may not be readily identifiable to senior management. If they believe in, and want to follow, the leader, they will disseminate positive messages to the rest of the team and drive the vision forward. If they are disaffected, perhaps with the company, if not the actual leader, they can be discretely and very effectively destructive, delivering negative messages and making delivery of the leader's vision very difficult. This is reflected by interviewees talking of the frustration they feel at subordinate managers who simply will not perform, 'The difficult ones were like that because they struggled with the vision and didn’t necessarily agree with the direction that the company was going in. Struggled with the ethos.' [Christopher, third-sector director].

The first line-management are often highly powerful in business, particularly in regional operations, as they have the main relationship with regional staff. The leaders may be more distant figures, lacking sufficient connection with staff, and there is potentially an invisible power-line functioning, beyond which the leader has less power to directly influence followers. Disaffected first-line followers can thus create leader isolation and failure, or at best, fragmented teams with lower performance. This was recognised by Elenkov, Judge and Wright (2005:665), who wrote of the 'Top Management Team',

finding that these senior managers, surrounding the leader could exercise considerable influence on the company's leadership dynamics. Another paper, a meta-analysis of 18 studies on management by objectives (MBO), (Bass 2007:39) recorded the importance of top management commitment to MBO strategic success - if the top team are not on-board, leadership initiatives can fail. As with horses, in human organisations:

(unofficially) power lies with the quorum of first followers

- who decide to follow or not -

Whilst this echoes LMX theory and the earlier vertical dyad theory (with resultant 'in-groups' and 'out-groups'), relating to dyadic relationships and their impact on leader efficacy (Northouse 2007:151-155), this concept focuses on the deeper dynamics and mechanisms and the effective 'power-line' or leadership break-point, which the first-line followers control.

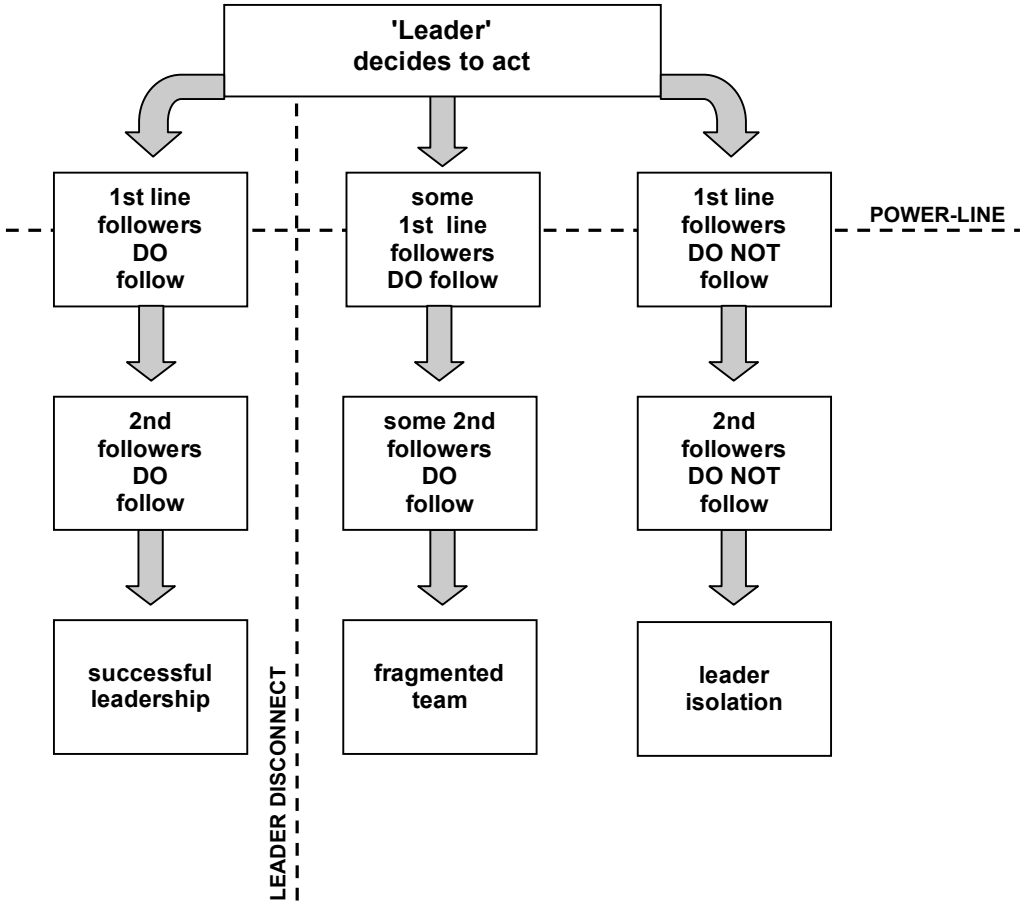

Fig. 28 First-line follower power and leader disconnection

Fig. 28 illustrates the line of power where the leader disconnect may result if followers choose not to follow, potentially causing leader-team fragmentation or in the extreme, leaving leaders disenfranchised.

5.5.2 Understanding Dysfunctional Behaviour

The biggest issue for dysfunctional behaviour relates to the freedom to decide who and when to follow - to decide who becomes leader and which path they will follow. This dysfunction at a very deep level of the leadership process can be compounded in the more complex lives of humans by issues like the manner of communications, lack of connection with the leader, no meritocracy in leadership promotions, team restructuring by external management and so forth. In horses 'in order to be frustrated, the individual must recognize a goal that is unobtainable' (Kiley-Worthington 2005:177). Frustration is rare in the wild and in the equine interviews, dysfunctional behaviour was reported only in captivity - artificial circumstances forced on the individuals, including the group they live in and when and where a path must be followed or an action performed. For human followers frustration was reported at leaders' behaviours and sometimes at the workplace restrictions, particularly in not being given space to deliver, freedom to perform [Tim]. Olsen, Nelso and Parayitam (2006:387), accredit workplace aggression in humans to: Interactions (within dyadic relationships) and interruptions, described thus - 'if a goal is interrupted, frustration may follow... in turn leading to aggression'.

Humans have limited choice over the individuals they work with, particularly who their leader is - apart from changing employer, (and joining a new herd or team is always a challenge). Removing this follower power to 'gift' the leadership means that an inappropriate leader can do considerable damage to a team and a business. It can permit, for example, the stallion style of leadership to dominate, with externally appointed leaders (not team elected) enforcing their own vision, created to deliver their own personal ambitions and protect their own investments, through drama, threat and (in humans) coercion. Behaviour that is appropriate for equines in a crisis or for a stallion whose role is to access as many mares as possible, is inappropriate when displayed by investment bankers aggressively chasing deals, focused on their own bonus and not the good of the organisation, or the leader pursuing the acquisition trail purely for his/her own ambitions. It is more damaging still when it goes beyond individual failing to corporate culture.

> *'Greed has become a much higher calling; corporations have been urged to ignore broader social responsibilities in favour of narrow shareholder value; chief executives regarded as if they alone create economic performance. Meanwhile, concern for the disadvantaged - simple old fashioned generosity - has somehow been lost.'*
>
> (Mintzberg, Simons & Basu 2002)

In wild equines and most animals, a weak, unworthy individual who constantly operates in 'crisis' mode, bullying and creating dramas, simply does not get to lead.

Perhaps this is where the (transformational) servant model of leadership derives its strength. This leadership style nurtures staff, develops them, empowers them, gives them a vision to follow and listens to them - and has the presence, the charisma, to deliver the message. It comes closest to meeting underlying group dynamics, providing the closest mechanisms to true follower choice and consensus, rather like the leadership described in the highly successful IT project teams [Laura]. Perhaps the business world should be braver in its choice of leadership approach and study the practices of the highly successful Gore organisation. Gore's 'lattice leadership' structure, seems better to reflect the naturally-evolved leadership process of wild horses, based on expertise, experience and team member consensus and with dyadic hierarchies within and across teams.

Such a model is not unknown in humans, van Vugt (2011:96-97) reports that:

> *The overriding message from the study of primitive band societies such as the Ona, the !Kung San in the Kalahari Desert, the Tanomamo of the Amazon river basin, the Inuit of the Artic coasts and the Aborigines of northern Australia is that they do not have designated tribal leaders or formal hierarchies. If you were to meet a tribesman and ask him to "take me to your leader", he would be bewildered by your request.*
>
> (van Vugt 2011:97)

These societies do have formal leadership structures, but leadership is based on specific and relevant expertise, for example, hunting or combat. The anthropologist Bruce Knauft (in van Vugt 2011), argues that we have lost our egalitarianism that was the functional norm some 12,000 years ago. Such natural leadership compares with the current hierarchical model as follows in Figs. 29a and 29b.

Fig. 29a, depicting natural leadership, shows the formal (heavy line) and informal (dashed line) dyadic relationships of just one of the followers (cross-hatched) who may one day become a leader. Those socially dominant individuals on the same plane as the leader, (indicated by the dark ellipse) are the 'Equals' - First-line Followers or Alternate Leaders. Any of the top tier may be leader, any of the second tier may move up to the top tier, whilst the third tier prefer to remain followers. This is leadership as it occurs in many socially dwelling animals.

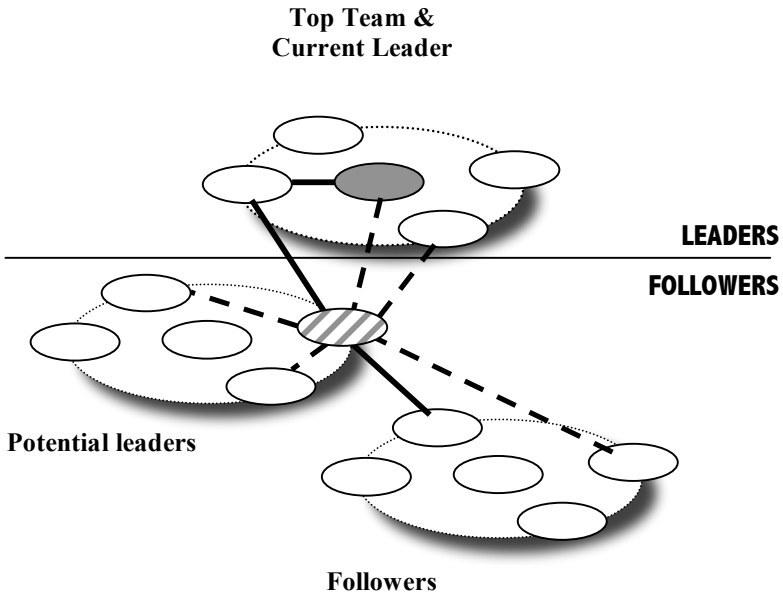

Fig. 29a Natural Leadership, 'First among Equals'

This contrasts with Fig. 29b, which shows a typical linear hierarchy in which individuals are appointed, generally outwith the team. Formal power lies with the externally-appointed leader, managers and subordinates having been removed from the appointment decision. Dissatisfaction with the leader and or resentment at being disempowered can lead to dysfunctional behaviours and the leader being disconnected from the team or disenfranchised and unable to lead effectively. Shared or distributed leadership are not the norm. It is the typical linear hierarchy employed in the management structure of most businesses and human organisations. Power resides at the top and decisions are passed down. Communication lines are formal. Dyadic relationships can arise, but are informal and often hidden.

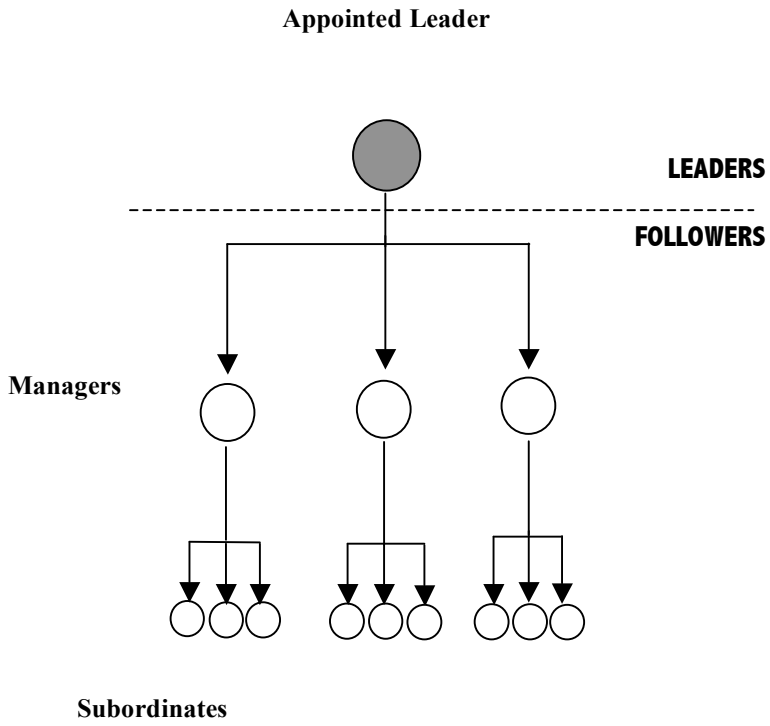

Fig. 29b Traditional linear hierarchy

Interpreting the research thus has identified the dynamics of natural leadership and suggests these are often suppressed in typical human organisational hierarchies and practices, creating 'un-natural' leadership. This results in dysfunction and frustration in staff frequently cited by interviewees yet only observed in equines in captivity. Such equine dysfunctional behaviour apparently arises primarily from disempowering followers and denying them the natural leadership process.

Nature therefore exhibits highly effective leadership in social animals, evolved to offer two main leadership methods, the first, exemplified by lead mares to achieve success under normal conditions and the second, exhibited by a stallion, for times of crisis. The greatest power lies with the first followers, reinforced across the social networks to deliver quorum then consensus decision making to gift leadership to an individual. Where this natural process is suppressed in many human organisations and in captive animals, dysfunctional behaviours and leader disempowerment can arise.

6. Conclusions

Through this research, the experiences, perceptions and interpretations of leadership in human organisations and equine herds have been sourced through the testimonies of individuals experienced in the phenomena of leadership and followership. The exploration of experiences of 'world life phenomena' (Kvale and Brinkman 2009:14) in this way is phenomenological and the focus is to identify 'invariant essential meanings' (Kvale and Brinkman 2009:52,326) - the essences of the leadership process that appear constant across the species. Thus, the aim has been to seek the constant underlying dynamics of human leadership, through the lens of the equine metaphor. Through employing a (simplistically applied) critical realist ontological approach, the aim has also been to explore the underlying dynamics, structures and mechanisms that drive the events experienced as 'leadership'. Thus a means to better understand, describe and communicate leadership was sought.

Analysis of the results shows that horses provide a very strong metaphor for human leadership - the similarities are great, the differences small. That the patterns of leader and follower behaviour identified in equines and humans by the interviewees and published research, are also apparent across many species, suggests they are potentially fundamental to the construct of leadership and represent parallel (if not the same), underlying leadership dynamics and mechanisms operating within similar structures (see Appendix 11).

- **The commonality of dynamics, mechanisms and structures across socially dwelling species suggests the parallel evolution of leadership.**

Consequently, the research moved beyond classic leadership theories, generally relating to the more visible attributes of leadership, such as leader style, to seek the far more fundamental elements of the process. In so doing it arguably challenges the dynamics created by the typical linear hierarchical organisational structure, with followers largely disempowered from deciding which leaders they answer to and rarely consulted about the path they follow. These implications question the very leadership premises of the typical modern working environment, with the 'ideal' leadership features and behaviours (described by interviewees) being far nearer to those exhibited in nature.

- **'Un-natural' leadership, disenfranchises and dis-empowers followers, generating dysfunctional behaviours.**

- **Dysfunctional follower behaviours can fragment the team and disenfranchise the leader.**

The research also raises the issues of the potential success derived from shared and distributed leadership, (as exhibited by equines and other social species). Such shared leadership, involves different leaders and or styles of leadership, apparently appropriate to the prevailing environment and objectives of the group. Leadership style should be 'fit for purpose'

- **Shared and distributed leadership are natural and potentially highly effective.**

- **Problems arise when specific leader behaviours, designed for temporal expediency style, e.g. crisis management become continuous practice.**

To return to Greenleaf (2002) perhaps the greater issue is that organisations need to question the principle of having a sole, (sometimes overly-powerful) leader 'a Great Man' in charge? Certainly academics like Bennis (2008), and Mintzberg (2002) regard the concept overrated, and others believe the industrial age's rigid command and control structures fail in modern workplaces (Conger 2000; Bjudstad 2006; Ancona and Blackman 2010). Instead organisations could consider having a leader who is regarded as 'first among equals' *(primus inter pares),* (Greenleaf 1977:74) and furthermore is 'gifted' leadership through the support and consent of these equals. Thus the leader and first-line followers represent a mechanism for the dynamics of following and leading, and the one who is permitted to take the leader is *chosen* because they have the vision, expertise and experience *in the estimation of their peers* to suit the prevailing situation and organisational demands. This would suggest that to maximise leadership efficacy, at whatever organisational level, the top echelon in each team should select and have the right to change its own leader. Quorum decisions would be made within that upper team, followed by team consensus, mirroring the process exhibited by socially dwelling animals and, as the interviewees discussed, some people will happily remain as followers.

- **The foremost dynamics in natural leadership are: ***Individual decision*, **supported by a peer group ***quorum*, **accepted by others through ***consensus.***

This research thus suggests that there is an opportunity to improve leadership effectiveness and efficiency by moving closer to the natural model of leadership (Figs. 29a and 30). At least, management should be more involved in team leader selection, and leadership should be better distributed to reflect differing business needs and expertise requirements. The focus should shift from over-rating the appointed leader's role, towards greater recognition of the value added by other team members.

- **True natural leaders are 'first amongst equals'.**

- **The power to 'gift' leadership actually lies with the followers.**

Fig. 30 brings together these concepts and preceding diagrammes, to offer a framework of natural leadership, highlighting the key dynamics, mechanisms and structures identified in this research.

In summary, this research has identified a successful, naturally evolved leadership process, employed by many socially dwelling animals, but rarely exhibited by humans. It suggests that many human organisations operate within artificial hierarchical structures, applying un-natural mechanisms and dynamics to control the leadership process, resulting in diminished performance. Furthermore, the typical response to this diminished performance is the adoption of crisis style leadership, resulting in further disempowerment of followers, with the attendant dysfunctional behaviours. This conclusion does not suggest that all organisations should radically change their leadership practices and company hierarchies. However, it shows how they can provide a more natural leadership process for staff, to enhance leadership efficacy.

Leadership Process	Action Line	DYNAMICS MECHANISMS STRUCTURES	Key Leadership theories & issues
	LEADER'S ROLE		
Leader moves off **INDIVIDUAL DECISION** *often social dominant*	**1. Perceived need, threat or opportunity**	Mechanism: threat, opportunity Dynamic: evaluation of circumstances	**Visionary leadership**. Understanding the 'Big Picture'.
	2. Motivation to act	Mechanisms: desire, fear, need	Recognising the business threat or opportunity. **Contingency theory. Adaptive leadership.**
	3. Decision to act	Dynamic: decision making	Recognising aims & objectives, business imperatives. **Strategic leadership**. Strategy formulation. Accepting leadership responsibility.
	4. Communicate intention	Dynamic: communication	Direct communication skills. Cascading information. Persuasion. Goal setting. **Global or local communication.**
	5. Initiates Action	Dynamic: initiation of movement, leadership, action, change	Consultation. Action planning. Goal setting. **Inspirational leadership**
	TEAM'S DECISION TO FOLLOW		
First followers move off **QUORUM FORMATION** *often social dominants*	**6. Evaluation of leader's 'instructions'**	Structures: social networks, dyadic relationships. Mechanisms: previous experiences, desire for enhanced situation	Leader credibility, track record. **Trust (cognitive and/or affective). Path goal theory** (positive past experiences). **'Primus inter Pares'.** Authority. **Charismatic leadership**. **Social network theory.**
	7. Decision to follow by First followers	Mechanisms: dyadic trust, 'leader' influence, leader's 'social capital' Dynamic: option evaluation, decision to follow, movement, action	Understanding business needs. Belief in the strategy. **Servant leadership. Transformational leadership. Transactional leadership. Motivation theory. Followership.**
Others catch up **CONSENSUS** *non dominant remaining individuals*	**8. Decision to follow by Secondary followers**	As per 6 & 7 based on dyadic relationships, (not necessarily with the leader). Mechanism: group cohesion, role modelling, followership Dynamic: following, movement	Trust their managers (or unofficial leaders). Some understanding of the issues. **Social network theory. Vertical dyad theory. Followership. Consensus theory. Distributed leadership. Shared leadership. Local communication.**
	9. Decision to Follow by Remaining followers	Mechanisms: coercion, fear of isolation Dynamic: following	Desire to conform, to be 'part of the team' not left out. May not understand issues but decide to comply. **Followership.**
	10. Followers residual emotional state	Dynamic: post change network re-formation and stabilisation	**Emotional intelligence. Social network theory.**
	11. Outcomes achieved?		Staff buy-in. **Path goal theory, Transactional leadership**

Fig. 30 The Natural Leadership Framework

7. Contribution to Practice

7.1 Overview of Contribution to Practice

This research offers a better understanding of the core basis of natural leadership, as exemplified by the equine metaphor and as illustrated in Fig. 30 the Natural Leadership Framework. This metaphor and Figs. 26, 29a, and 28 could be employed to assist leaders in exploring and reviewing the hierarchical structures they work within, the prevailing mechanisms and the leadership dynamics they apply. By facilitating comparison between leaders' current leadership process with that naturally occurring in social animals, the models could provide a framework for identifying why frustration may be expressed by staff and why dysfunctional behaviours may arise as a result of current leadership practice. It assists leaders in identifying how to provide a more natural and efficient leadership process - for example introducing a higher level of involvement and debate on key issues and avoiding autocratic decision-making. Understanding the benefit of applying consensus theory and the other dynamics discussed above, as evidenced in nature, could thus facilitate greater leader efficacy and, potentially, enhanced business outcomes.

Contribution to Practice Summary:

- Providing a better understanding of how leadership actually works by defining the structures, mechanisms and dynamics of the leadership:followership process.
- Providing supporting arguments for increased follower empowerment.
- Demonstrating the strength of distributed and shared leadership.
- Illustrating how the failure to recognise and reflect natural leadership:followership processes leads to dysfunctional behaviours.
- Providing a defined process against which a leader or organisation can examine the prevailing structures, mechanisms and dynamics of their leadership processes.
- Identifying that, by aligning leadership with elements of the natural leadership process, there is the potential to make organisational leadership more effective.

7.2 Example of Contribution to Practice

Professional development should be 'experiential, empowering, ongoing, contextual, and collaborative, connecting theory and practice' and narrative inquiry fulfills those objectives, by giving 'shape to the lived experiences' of participants, (MacIntyre and Kim 2010:139). The model of 'herd leadership' offers a conceptual basis for helping leaders reflect on their own leadership style and its fit for purpose, in order to refine their leadership performance. In this example, a leader development intervention of narrative inquiry could be facilitated by a mentor employing an enhanced understanding of the underlying dynamics of the natural leadership process to inform a reflective discourse.

The source of narratives may be fictional or derived from a real situation experienced by the leader or described by one or more of their staff. The narrative below is a genuine interview extract, describing a leader applying crisis management (the "stallion mode") inappropriately, compared to the second narrative of an imagined leader calmly and effectively dealing with the same sort of situations.

'I recall one director, ...he was quite an interesting individual to work with and he would very much have been a stallion in certain situations. In particular I have witnessed that behaviour when everyone's back was up against the wall - the old fight for survival - "if these things don't happen instantly, this business is going down the tubes". But having said that, that was his mode, his style anyway. Things didn't need to be so harsh, but [it was] dire, so desperate for him to behave like that, that was the kind of the behaviour that he brought [to the work place]. ...Most people [recognise] there are projects to be delivered, deadlines, but he always brought this major sense of urgency to everything. Whether that was because there was something in the background ...he didn't really want to share, but it was interesting because you did get the reluctance of "for goodness sake, we are in this direction today and we were running in that [other] direction yesterday". And you know there is that [sense of panic] ...and the following day it would be something else with no explanation... . People didn't question - you just delivered and you kept delivering until he changed the direction. I was one of the very lucky people that did get to question him, the weren't many people that he would tolerate that from. In terms of the rest of department, you could form a comparison to a herd that is being chased by a stallion, ...a kind of reluctance to change direction and leave behind what they had just put all the effort into... they were now being driven off in a different direction'.

Interpretation:

The naturally-evolved herd leadership model provides an explanatory device for the behaviour exhibited by the director and an opportunity to offer an alternative leadership style. Currently, the director appears to be constantly applying the 'stallion' crisis mode of leadership un-necessarily and inappropriately. He regularly creates a sense of panic, crisis and threat. His leadership lacks strategy and he constantly changes deadlines and direction. He uses coercive behaviour to effectively intimidate people into changing their work focus without explanation, creating confusion, resentment, frustration and no doubt impacting significantly on staff morale and performance and creating abortive work. In terms of classic leadership theory, he is at the extreme end of 'heroic' or 'charismatic' leadership that has moved to 'Dark side' - the charisma element is diminished but the drama, panic, coercion remains. (Conger 1989).

To help the leader to reflect on his style and the potential for a different approach, storytelling could be applied, offering an alternative narrative for their consideration, employing "James", a fictional director as described by one of his staff.

'James came in today and called a staff meeting for 10.00 am. He apologised for disrupting our morning, but explained that the client had significantly changed the brief. Clearly that was a problem, but clients are clients and if their needs change, I guess we just have to adjust our focus and schedules to meet them. It was a real pain as I had been ahead of schedule and was feeling good about the progress to date. James detailed their new requirements and then suggested we all got a coffee and took a few minutes to think how to approach the changes. We reconvened at 11.00 a.m. and he asked what thoughts everyone had had. It took till 12.30 for everyone to have their say and we all got to chip in to each others' ideas. Rachael reckoned we were wasting time and ought to just get on with the changes, but Sue argued that it was better to take a bit of time first and get it right. James said he would take the lunch-hour to reflect on everyone's suggestions. We met again at 1.30 p.m. and he delivered a brief overview of what he wanted done to meet the changed brief. I didn't entirely agree although most of the others reckoned he was right. I guess I'll have to get on with it - he is the boss after all and to be fair he's done this stuff for a long time and generally gets it right. The clients seems to really rate him, which is great for the business. By 1.45 we were back at work and going for it big time to hit the new deadline. It was a pain to have to redo so much to suit the new brief, but at least we knew where we were heading with the project and to be fair it may actually give a better outcome.'

Interpretation:

Here the leader is operating in an alpha mare mode. He creates calm out of the potential crisis, gives staff a say, but is not afraid to make the decision and take the lead. People trust him to deliver as he has exhibited success in the past and has credibility. Having generated a consensus to follow his instructions, he leaves staff feeling motivated to deliver, focussed and having a clear understanding of the route they need to follow. The new deadline is a challenge, not a threat.

The Intervention:

The intervention approach that could be used to explore the two narratives as a developmental experience:

1. Leader reads the two narratives.
2. Mentor describes the alpha mare:stallion leadership styles, (Figs. 18 & 19) and how they relate to the process of natural leadership (Fig. 30).
3. Leader and mentor discuss the two narratives, in the context of stallion(crisis):mare(non-crisis) leadership styles of the natural 'herd' leadership model. The Action Line (Fig. 29a could be employed as a framework for the discussion.
4. Mentor encourages leader to reflect on the suitability of the alpha mare: stallion approaches for different situations and to achieve different outcomes within the context of their own leadership experiences.

Fig. 31 below would act as a focus for discussion for the mentor, using prompt questions to encourage reflection by the leader. The equine metaphor would thus act as a lens for the leader to consider their own leadership through their interpretation of the narratives. Karl Tomm (1988), (in Griffith 1999:353) defined four question types applicable to such reflective inquiry: lineal questions (investigative intent), strategic questions (corrective intent), circular questions (exploratory intent) and reflexive questions (facilitative intent). Circular and reflective are generally regarded as more powerful for generating openness and enriching reflective discourse, whereas lineal and particularly strategic risk implying criticism.

Key Discussion Themes	Alpha mare = Non-crisis, organic growth.	Stallion = leader in Crisis Situation or acquisition mode.
Structure	Herd = social network. Primus inter pares, one of potential leaders.	Herd = social network dominated by sole leader.
Power	Gifted by followers	Taken by stallion
Mechanisms	Authority, credibility, trust, friendship, dyadic relationships, respect, previous experiences, suggestive.	Charisma, drama, fear, power, threat of coercion, aggression, directive. Dominance.
Dynamics	Initiates own movement. Goes in front but gets followed. Steady pace. Consensus for group movement.	Drives from rear. Chases. Rounds up. Herd forced to take a given path.
Efficacy	Very effective for steady cohesive uni-directional movement.	Very effective for high speed movement. Herd sometimes spreads out with directional diversity.
Emotional state	Calm, focused.	Stressed, panicked, high energy. 'Fight or flight' response.
Staff loyalty	High	Low

Fig. 31 Mare and Stallion leadership styles (summarised).

The mentor's aim would be to help the leader to understand the appropriate application of crisis leadership behaviours and to recognise its weaknesses if applied too regularly or in non-crisis situations. The debate should be exploratory and empowering for the participants with no implication of 'corrective intent' (Jabri and Pounder 2001:687). Ultimately, and preferably at a separate session (after private self-reflection), the leader would be encouraged to critically reflect on their own typical leadership behaviours and consider how their own style could become more attuned to the natural leadership dynamics of the mare, reserving crisis behaviours for real and hopefully infrequent crises. The whole intervention should evolve as a 'critical conversation' between the leader and mentor, in keeping with the 'inclusive, interrogative, and transformative purposes of narrative inquiry', (Atkinson 2010:101).

8. Further Research

This research offers the potential for bringing together many classical constructs of human leadership within a naturally-based explanation of the leadership process and also the potential of expanding on the themes arising from the research.

8.1 Research to Validate and Expand on the Suggested Theory

i. Firstly there is the opportunity to validate this concept through further research. This could involve additional interview-based qualitative research, focussing on the dynamics and structural issues identified, adding further depth and clarification. Research breadth and further triangulation could be achieved through a quantitative survey, connecting the data from the two methodologies and enhancing the validity and rigour of conclusions.

ii. The two primary types of leadership (stallion and mare) could be explored further by interviewing first line and other employees in successful organisations and also in those that have failed, e.g. Enron, to seek a correlation (statistical or implied - depending on the methodology) between the level of adherence to the 'natural' dynamic compared to the 'artificial' structures and dynamics imposed by the prevailing management regimes. This would involve devising and trialling a scale of adherence to natural leadership dynamics, measuring such factors as selection of team members and leaders, briefing structures, opportunities for followers to challenge the company direction etc. An interesting case study would be to explore the different leadership styles in retail banking, (an environment aimed at stable growth in customer numbers), compared to investment banking, (a highly competitive, acquisitive sector).

iii. Research could focus on the followers and their feelings of satisfaction or dissatisfaction with their leaders to further explore the leadership power-line and leader disconnect concepts.

iv. The mare:stallion dichotomy could also be researched in the context of transformational:transactional leadership behaviours, and/or additionally be researched in relation to human genders.

8.2 Research Themes to Explore Additional Questions Arising

i. What are the leadership examples that conflict with this concept and how do they operate?

ii. If, in so many social species the natural form of successful leadership is female, why have humans overturned this dynamic (this could be explored within a feminist paradigm)?

iii. Why do experts talk about the problems women have fitting into the male leaders model when female leadership traits are so valued - is there an alternative reality to be developed?

iv. How flexible are male and female leaders in terms of expressing the more transformational or transactional leader attributes?

v. Is aggression in leadership symptomatic of leaders feeling weak or under threat?

9. Researcher Reflections

Creswell (2007:18) describes the 'axiological assumption' of qualitative researchers, desiring to make their own personal values explicit and the inevitable impact of this on research. At this point, I as researcher, will adopt the increasingly recognised practice amongst qualitative researchers and 'embrace the rhetorical assumption, that the writing needs to be personal and literary in form', by reverting to first-person narrative (Creswell 2007:18). Whilst perhaps a cliche, this process has been a personal journey, not just in the realm of skills development resulting from the luxury of undertaking such intensive research, but from a far more fundamental perspective. An early academic training in science gave me a positivist ontology, with epistemological beliefs that research was a thing of empirical evidence and hypothesis testing. Through this study and particularly in undertaking the interviews, I came to recognise that qualitative methodologies were potentially far more powerful when investigating complex social experiences. The honesty and open-ness of my interviewees, to whom I am deeply grateful, and who came from all levels of employment with very different histories, gave the research a personal depth and dimension that I believe a quantitative survey could not have achieved.

Much early leadership research was pursued in a positivist paradigm, with empirical epistemologies, employing quantitative surveys for data gathering (Klenke 2008). Perhaps the largest example being the extensive 'Multi-factor-leadership questionnaire', of Bass and Avolio, which aided the development from Burn's 'transforming' leadership theory to 'transformational' leadership (Bass & Riggio 2006:19). However, the inevitable reductionist and deterministic tendencies of surveys, (where questions potentially frame answers) are arguably more suitable for *what* happens as opposed to qualitative, more interpretative approaches which are better able to explore *why* it happens - the dynamics of leadership. The desire to bring together the thousands of leadership theories into a more cohesive, explanatory and manageable construct has led others, far more academically qualified than I to employ a qualitative paradigm.

I undertook this research after some 30 years experience in senior management, many as a director in the construction sector, and with more years of working with and handling domesticated horses, as a qualified riding instructor. It is impossible to separate myself from these experiences and, in acknowledging them, I endeavoured to

allow others a stronger voice in the research. I started out believing I knew horse behaviour and discovered that in fact I did not. Like many observers of domesticated horses, I believed a sole alpha mare ran the herd. I had an impression that horses and humans displayed somewhat similar behaviours, despite the different complexity in their powers of reasoning and lives. Through this research, I discovered this was not just a similarity, but a core co-evolved dynamic of group functioning across many species - a dynamic that empiricists can even model mathematically.

This research supported many established leadership theories. However, employing critical realism, (Basker's stratified ontology), encourages the researcher to delve deeper, to seek those elusive structures, mechanisms, and dynamics, the functioning and interrelationships of which can potentially explain the experiences and events, (behaviours and effects), implicit in more classic leadership theories. The potential for leadership disconnect and the huge power of the first-line followers/alternate leaders, as indicated by the research, offer a tangible explanation for my own observations of highly skilled leaders failing and weaker ones succeeding in competitive environments that would suggest only good leaders could succeed and only weak leaders should fail. It also offers an explanation for the development of dysfunctional behaviours. When the natural powers of the first level of followers - also powerful individuals - is denied by the artificial constructs of captivity for horses, or false hierarchies and imposed leaders for humans, feelings of frustration at unachievable goals, and communication being denied

A final word must go to someone Peter Drucker called 'The Prophet of Management' and of whom Warren Bennis said, 'Just about everything written today about leadership and organisations comes from Mary Parker Follett's writing and lectures.' (in Graham 1996:9,178). Follet, an undersung guru of leadership, (whose republished lectures I discovered early in this research), first argued the importance of followers and promoted ideas like integrating objectives, rather than compromising, talked about shared leadership and even originated the concept of 'transforming' leadership, back in the 19th century:

> *'And now let me speak to you for a moment of something which seems to me of the utmost importance, but which has been far too little considered and that is the part of the followers in the leadership situation.'*
>
> Mary Parker Follet, in "the essentials of leadership",
> a lecture delivered c.1920's (in Graham 1996:170)

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APPENDICES

Appendix 1. Methods of Triangulation

Triangulation Type	Definition	Employed in this research
1. Data Triangulation	Gathering data at different times and situations from different subjects. Surveying relevant stakeholders.	**YES**
2. Investigator Triangulation	More than one field researcher to collect and analyse data or asking scientific experimenters to attempt to replicate each other's work.	NO
3. Theoretical or pluralist triangulation	Making explicit references to more than one theoretical tradition to analyse data, allowing for different disciplinary perspectives on an issue. (Also called multi-disciplinary).	**YES**
4. Methodological triangulation	Combining different research methods, either *within* method, (i.e. different versions of the same core method), or *between* methods e.g. employing qualitative interviews and quantitative questionnaires	**YES**

Source: Adapted from 'A Taxonomy of Triangulation', (Downwood and Mearman, 2007:81)

Appendix 2. Types of Interview Questions

Type of question	Focus of question
Background/Demographic	Age, title, social group - for later analysis and grouping of responses, & possibly identifying different patterns of opinion for different groups.
Experience & Behaviours	What a person has done/experienced/observed. Non judgemental [as remembered] facts. To identify possible patterns of behaviour.
Opinion & Values	Understanding of interviewee's cognitive & interpretive process (how they understand things they experience etc). People's judgements, goals, desires, expectations. How they find meaning in events & experiences.
Feeling questions	Eliciting the emotional response to leadership:followership experiences. More personal reactions rather than thought-through judgements.
Knowledge questions	To determine respondent's knowledge of facts, (more relevant to the horse related interviews).

(derived from Patton, 2002).

Appendix 3a. Question Thematizing Matrix - Human Leaders and Followers

(Method recommended by Marion Bordman, Lime Consulting)

THEMES *to investigate* **Specific Issues**	**BELIEFS, INTERPRETATIONS, REFLECTIONS** *to prompt discussion* **Open style questions**	**HARD' FACTS** *for background and to justify statements* **Closed style questions**
Interviewee profile		
More leader or more follower	Self description	Gender
Level of operating		Leader/follower
Level of experience		Duration of leader/follower expereince
Reportees		Max size of team managed/worked in
Sector experience		Industry sector
Experience duration		Title or role
		Age
Leadership styles/behaviours		
[Followers & Leaders]		Seek specific examples
Role definition	Describing roles	
Descriptions of 'good' leaders	Behaviours e.g praising work	Worked for a 'bad or poor' leader
Descriptions of 'bad' leaders	Behavious e.g. aggression	Worked for a 'good' leader
Experience of Transformational leadership	Vision, startegy, goals	
Experience of Transactional leadership	Organised, direction, paperwork,reward	
Experience of Servant leadership	Supporting boss, caring	
Experience of Positional leadership	Position dependence	Had a boss that relies on title
Experience of other styles		
Significant experience	*Personal narrative*	
		Can a leader change their style
Industry variance		
Behavior styles typical to an industry sector		
Sector variance	Private sector/public/voluntary	Are leaders different in different sectors
Own sector	Typical leader style	Should they be
Other sectors	Perceptions of other sector's leaders	
Market issues		Seek actual examples
Leadership style suited to:	Start-up	
	Mature organization	
	Achieve organic growth	
	In a crisis	
	Fending off a take-over	
	Acquiring a competitor	
		Change of leader/style to fit market situation
Relationship to team size/No reportees		
Required style re scale of team	Best style, large teams	
	Best style, small teams	
	Relevance of team size to beahviours/ leadership style	Should style change with team size
Gender		
Team dynamics re gender	Leadership works better/worse in mixed teams.	Team gender mix
Male female leader/follower gender relations	Differences in male/female styles, leadership success	Worked in/managed mixed/single sex teams
		Had a male or female boss?
Thoughts on different genders as leaders	Preferences, perceptions, experiences	Prefer a male or female boss?

Appendix 3b. Question Thematizing Matrix - Horse Leadership

THEMES *to investigate* **Specific Issues**	**BELIEFS, INTERPRETATIONS, REFLECTIONS** *to prompt discussion* **Open style questions**	**HARD' FACTS** *for background and to justify statements* **Closed style questions**
Interviewee profile		Gender, Age
Experience with horses		No. years. Owner or other exposure?
Training/expertise with horses		Any formal training/qualifications?
		Observed stallions & mares in herds
Experience of herds		Studied or read about herd behaviour
Alpha mares & stallions		
Leading methods	Leadership behaviours?	Specific examples of claims made
	How are herds moved?	
	Who moves the herd?	
	How does a stallion move a herd	
	How does a mare move a herd	
	Same horses leading?	
Mares	What is an alpha mare?	
	What does an alpha mare do?	
	If so, when is alpha mare behaviour a problem to a herd?	
Stallions	What is the stallion's role?	
	Do they behave differently?	
	When is stallion behaviour a problem ?	
Followers	Who follows and how?	
Dominance	Are there dominance behaviours?	
	How does a stallion show dominance?	
	How does a mare show dominance?	
	Are there hierarchies?	
	Form of hierarchies?	
Experience of Transformational leadership	Empowering others etc?	
Experience of Transactional leadership	Evidence of reward systems/behaviours?	
Experience of Servant leadership	Altruism, nurturing etc?	
Experience of Positional leadership	Automatic submission or suchlike?	
Descriptions of 'bad' leaders	Any examples of apparently bad leadership?	
Industry variance		
Different breeds	How do the AM and stallion behave	Breeds they have worked with/observed
Different situations	Can they fulfill each others role or change their	
	behaviour to suit circumstances	Examples of situations experienced
Environment issues		
Core leadership style and specific behaviours	Disciplining younger herd members	
in different situations	Leading a herd in a stable environment	
	Defending the herd	
	Under attack	
	Under stress	
	Bringing other horses into the herd	
	Selecting pastures	
	Lead the herd to water	
Relationship to team size/No reportees		
Required style re scale of team	Have they observed difference behavious in	
	different size of horse groups	
Leader selection	Does this change in larger/smaller groups	
Gender		
Team dynamics re gender	Leadership works better/worse in mixed teams.	Team gender mix
Male female leader/follower gender relations	Differences in male/female styles, leadership success	Worked in/managed mixed/single sex teams
		Had a male or female boss?
Thoughts on different genders as leaders	Preferences, perceptions, experiences	Prefer a male or female boss?

NB: Interviewees also to be asked about own business experience, in comparison to horses.

Appendix 4. Research Consent Form

CONFIDENTIAL

RESEARCH CONSENT CONFIRMATION
Researcher Number - 08017970

Researcher: Deborah Benson

Contact Details: Phone 078 08 078 290 or bensonlevade@hotmail.com

Participant (please print) .....

Contact Details: Phone .....

email .....

Research Title
'The Equus Theory of Leadership: Behavioural typologies of leadership in the organisational environment'.

Background to Research Investigations
This research is intended to inform a Doctorate in Business Administration thesis being undertaken at Edinburgh Napier University. It seeks a practical outcome and originates from the researcher's years of practice and informal observations in a business management environment. The ultimate aim, is to identify behaviours in the leadership:followership arena that can be used to enhance the understanding of leadership styles and techniques and aid staff development.

Researcher Undertaking
Your personal details will be kept confidential to the researcher and those directly assisting the researcher, for e.g. anyone tasked with transcribing the interviews or members or Napier staff involved in the formal assessment of the research or thesis preparation.

Should any of your responses or statements be specifically quoted in any report or in the final thesis prepared for submission to Edinburgh Napier University, your name and your employer's name will not be included and such responses referenced will be anonymous. It is however possible that other people may become aware of your participation in this research, for e.g. Napier staff who may be recording or assessing the research records. Absolute confidentiality cannot therefore be guaranteed.

Taking part in the research is entirely voluntary and you are entitled to withdraw from the interview and/or withdraw the record of your responses at any time. Should the researcher wish to use the information gained in the interviews for any other purpose whatsoever, e.g. for publication of an article in an academic journal, your consent will be sought separately.

You are very welcome to raise any questions that you may have about the research subject and methodology prior to consenting to the interview or raise any concerns that you may have, with the researcher at anytime, before, during or after the interview.

Your participation and contributions to the study will be greatly appreciated.

Participant consent

By ticking the following boxes and signing the 'Participant' section below, you confirm your agreement with the following statements:

	Tick box below to confirm agreement.
I confirm that I have read the above information concerning the intended interview and am satisfied with the answers the researcher has given to any questions I have raised.	
I understand that I can withdraw from the research at any time, without providing reasons and this will not in any way affect my legal rights.	
I understand that my responses to questions and statements may be viewed by others, in addition to the researcher, involved in the production or assessment of the study report[s] pertaining to this research and the final thesis.	
I understand that I will be contacted for separate consent should anything other than anonymous quotes be used in any context.	
I understand that the results of this research may be used for publication or business training purposes after the thesis production.	
I agree to be contacted at some time in the future, should clarification be sought for any of my responses or for further studies relating to this research.	

Signature [Participant] ..... Date .....

Signature [Researcher] ..... Date .....

Note: Researcher and participant each to retain a copy of this form.

2.

Appendix 5. Equine Interview Questions

DBA Interview Questions	**Researcher: Deborah Benson**
Herd Leadership	**2010/2011**
1	Gender
2	Can you confirm your **name and title** for me?
3	What is your **industry sector**?
4	Can you confirm your **age** bracket, (20's, 30's etc)
5	How have you **gained your knowledge** of horses?
6	How long have you **been involved** with horses?
7	Have you **observed** horses in **herd** setting? [**Wild** or **Domestic**?]
8	Are you familiar with the concepts of a **stallion and alpha mare**?
9	Have you observed a **difference in the way stallions or alpha mares** lead a herd?
10	What do you understand to be the **alpha mare's role** in a herd?
11	What do you understand the **stallion's role** to be?
12	Describe the **sort of behaviours** you have observed in **stallions** compared to other herd members.
13	Describe the **sort of behaviours** you have observed in **alpha mares**, compared to other herd members.
14	Do you **believe** that horses in a **herd have a hierarchy**, or is it 2 leaders with the rest of equal status?
15	If yes: What is the **structure** like?
16	What is your understanding of how the herd **established a hierarchy**?
17	What sort of **behaviours** have you observed **in non leader horses**?
18	How does a **stallion move** a herd? BODY LANGUAGE
19	How would you describe the **apparent mood of the follower** horses when this is happening?
20	What makes you **think** that?
21	When a stallion moves a herd, **where is he** in relation to the rest of the herd?

22	How does an **alpha mare move** a herd? BODY LANGUAGE
23	How would you describe the **apparent mood of the follower** horses when this is happening?
24	What makes you **think** that?
25	When an alpha mare moves a herd, **where is she** in relation to the rest of the herd?
26	Have you observed **stallion dominance to be age related**? Always usually sometimes rarely never
27	Have you observed **stallion dominance** to be size related? Always usually sometimes rarely never
28	What is your interpretation of **what makes a stallion dominant**?
29	Have you observed **mare dominance** to be **age** related? Always usually sometimes rarely never
30	Have you observed **mare dominance** to be **size** related? Always usually sometimes rarely never
31	What is your interpretation of **what makes an alpha mare dominant**?
32	Why do you think a **herd moves with a stallion**?
33	Why do you think a **herd moves with a mare**?
34	In **what situation** would you think the **alpha mare's** way of leading is better?
35	In **what situation** would you think the **stallion's** way of leading is better?
36	Do you think a **stallion can behave like an alpha mare**?
37	If so, in what way?
38	Do you think an **alpha mare can behave like a stallion**?
39	If so, in what way?
40	Do you believe the **alpha mare's behaviour** can ever be a **problem** for a herd?
41	If so, in what way?
42	Do you believe the **stallion's behaviour** can ever be a **problem** for a herd?

43	If so, in what way?
44	**Which leader** have you observed to lead in : A **crisis**, e.g. herd under attack - Mare OR Stallion
45	**Which leader** have you observed to lead in : Moving **to new pasture** - Mare OR Stallion
46	Which leader have you observed to lead in : **Moving to water** - Mare OR Stallion
47	**Which horse** have you observed to typically: **'Keep watch'** in a herd - Mare OR Stallion
48	Do you think the stallion behaves **differently in a crisis** if there is no alpha mare present in the herd? e.g. Stallion in a herd of geldings
49	Do you think the alpha mare behaves **differently in a crisis** if there is no stallion present in the herd?
50	Have you observed **human leaders** that you consider behave rather like an **alpha mare?**
51	If yes, in what way?
52	Have you observed **human leaders** that you consider behave rather like a stallion**?**
53	If yes, in what way?
54	Think of a **particular incident** you observed in a herd of horses. Describe what you saw:
55	What **prompted** the behaviour?
56	Was **one horse** apparently **leading**?
57	Describe the **leading horse** [s]:
58	**Personal Narrative** - Describe a particular event issues or such like.

Appendix 6. Human organisation interview questions.

DBA Interview Questions	**Researcher: Deborah Benson**
Business Leadership	**2010/2011**
1	Gender
2	Can you confirm your **name and title** for me?
3	What is your **industry sector**?
4	Can you confirm your **age** bracket, (20's, 30's etc)
5	Do you **currently** consider yourself a **leader or follower** (or both) in your current role?
6	Looking back over your career would you say you have been **primarily a leader or a follower**?
7	How long have you been **operating at your current level**?
8	**LEADERS** Confirm current (or recent, if retired) **number of direct reportees** and **total number** in full department/organisation you run.
9	**LEADERS** Approx what is/was the scale of **financial budget level** under your control? [None/hundreds/ thousands/millions]
10	**FOLLOWERS** what is the **size of the team** you currently work in?
11	**FOLLOWERS** How many people were in the **biggest team** you have worked in for >6 months?
12	Would you describe yourself as primarily a **small, medium or large** company person?
13	Briefly **describe** for me what you consider the role of a leader involves, irrespective of industry.
14	Is there a difference between a **manager and a leader**? What is it?
15	Briefly describe for me what you consider the **role of a follower** involves, irrespective of industry.
16	Have you ever had a **boss** that you thought was a **poor as a leader**? [Don't name anyone]
17	**Why** did you consider them poor ?
18	Think of the **worst boss** you ever had. Describe **how it felt** to work for them.
19	Have you had a **boss** that you thought was a particularly **good leader**?
20	Think of the **best boss** you ever had, describe **what was 'good'** about them as

	leaders/managers.
21	How did working for them **make you feel**?
22	**LEADERS** Think of the **best person** who has **reported** to you or you have trained: Tell me **why** you considered them 'good'
23	**LEADERS** How did managing/leading them **make you feel**?
24	**LEADERS** Think or someone you have trained or has reported to you who was particularly **difficult:** **Describe** what was difficult about them.
25	**LEADERS** How did managing/leading them **make you feel?**
26	**FOLLOWERS** Think of the **best colleague** you have worked with Tell me **why** you considered them 'good'
27	**FOLLOWERS** How did working with them **make you feel**?
28	**FOLLOWERS** Think or someone you have worked with who was particularly **difficult - a poor follower:** **Describe** what was difficult about them.
29	**FOLLOWERS** How did working with them **make you feel?**
30	Thinking about body language: What sort of body language have you seen exhibited by a boss asking you to do something during the normal course of business: ▪ How did they stand/move? ▪ What was their facial expression? ▪ What was their voice like? ▪ What sort of words did they use?
31	How did you feel when they left the room?
	Now think through the same issues for an instruction given during a time if crisis or problems: ▪ How did they stand/move? ▪ What was their facial expression? ▪ What was their voice like? ▪ What sort of words did they use?
32	Again, how did you feel when they left the room?

	ORAL HISTORY / NARRATIVE [Talking about something to do with leadership that interests them - an experience, observation, belief, whatever]. c. 10 mins. [Now or at end of interview]
33	**QUESTIONS RELATING TO ISSUES FROM ORAL HISTORY** [Then back to general questions.] [Perform now or at end of interview]
34	Are really good leaders **born or made**?
35	Do you think really **good leadership** can be **taught** or developed?
36	Do you think **good followership** can be **taught** or developed?
37	Do you think **men and women lead differently?**
38	If so, in **what way** do men typically lead and how do women typically lead
39	Have you come across **male leaders** who behave as you described **women** leaders?
40	Have you come across **women leaders** who behave as you described **male** leaders?
41	How would you describe the way leaders **typically behave** in your **industry/sector**?
42	Is it ever appropriate for a leader use their **position** to get things done?
43	If so, in **what circumstances**?
44	What way of leading is good if you want an **established business** to grow steadily, through **'organic' growth**?
45	Do you think leaders have to behave **differently in a crisis**?
46	If so, in **what way?**
47	Should **a start-up be led differently to an established** business?
48	To what degree do you **think leaders can adapt** their behaviour o suit the prevailing business situation? Say on a scale of 1 to 10, 10 representing the maximum level of possible behavioural adaptation.
49	To what degree do you **think followers can adapt** their behaviour to suit the prevailing business situation? Say on a scale of 1 to 10, 10 representing the maximum level of possible behavioural adaptation.
50	Do you think there is a **difference** between how people lead in the**, public**

	sector, charity/voluntary sector and the commercial sector?
51	If so, **what are** the differences?
52	Imagine your **perfect boss** - briefly describe their leadership style leadership behaviours behaviours.
53	Thinking of all the bosses you have reported to or observed regularly, **what percentage came at least close** to your ideal leader?

Appendix 7. Pilot Study, Initial Stage, Coding Template. (Partial Example)

Main Themes (Examples)	**Codes**	**Code No.**	**Code frequency**	Interviewee No.1 Business Leader	Interviewee No.2 Business Follower	Interviewee No.4 Business Supervisor*
His vision, deliver the vision, defined the agenda, set the goals.	Vision	**1**	7	4	0	3
Motivating, de-motivating, [follower's] own sense of value, [followers] feel valued, failed to inject enthusiasm, feel taller, feel good	Motivation	**2**	17	5	2	10
Guiding, steering, direction, organising, managing, monitoring	Direction	**3**	12	4	4	4
Supervisor= part time leader, mainly follower.*						

Appendix 8. Main Research Thematizing Template

Themes	Organisation Leadership ▪ Codes o Exemplars	Wild Horse Leadership ***Domesticated Horse Leadership*** ▪ Codes o Exemplars
INTERCHANGEABLE ROLE		
Leader as follower	▪ established leader occasionally follows ▪ at times in career	▪ established leader occasionally follows o dominant horse not always at front
Follower as leader	▪ good follower is good leader ▪ male followers want to be leader o I am a leader really, despite my current role (young male)	▪ different horses can lead and follow ▪ male followers want to be leader o at c.5yrs, stallions start to search/fight for own herd
Informal leaders	▪ influencing of peers o own network ▪ chosen by followers o I had been there longer and knew the ropes	▪ chosen by followers o and they follow her
Shared & occasional leadership	▪ transferable leadership o different people lead when their expertise most needed ▪ leaders with different roles o not good if Chair and CEO are too close	▪ transferable leadership o others can take the lead o *both [stallion and mare] move herd in crisis* ▪ shared - different roles o alpha mares & stallion have a different position o 1 or 2 leaders, depends how dominant the main leader is
Having the leader's role	▪ losing role o age, retirement, sacked ▪ gaining role o stay so long and then challenge your boss	▪ losing role o injury or gets too old, brought down by next stallion ▪ gaining role o stallions are challenged by maturing bachelor stallions
Management (not leadership)	▪ responsible for delivery o ensure implementation ▪ (strategic) decisions made for you ▪ acquirable skills	▪ responsible for delivery o stallions role is to keep band together ▪ have (strategic) decisions made for you o lost alpha mare, herd don't know what to do
LEADERSHIP ROLE		
Leadership & responsibility	▪ bigger picture (vision) ▪ movement o lead from front ▪ directing o delegate	▪ bigger picture o decision to move to water o *the one that moves off is the 'one that knows'* ▪ movement (alpha mares) o she just moves off and they follow o ***new mare rounded up others*** ▪ directing

	○ not delivery ▪ goals & outcomes ○ good outputs ▪ responsibility for organisation ○ accountable for the business ▪ management skills ○ need overlap of leader/manager skills ▪ must inspire staff ○ have charisma	○ stallion drives from behind ○ ***a mare telling everyone what to do and when*** ▪ goals & outcomes ○ good experiences by following her ○ *lets go this way because its a better place* ▪ responsibility for herd ○ stallion doesn't have any responsibility to lead ○ *dominant mares actually run the herd*
External competition & environment	▪ competition ○ desire for success and externally competitive ▪ tough environments ○ commercial sector is tougher	▪ competition ○ stallion protects from other stallions ○ *stallions chase out yearling colts [young males]* ▪ tough environments ○ smaller herds ▪ easy environments ○ lead to greater herd size
Staff Wellbeing	▪ security & survival ○ feel business is safe ○ safe pair of hands ▪ nurturing ○ like good parenting ▪ servant leadership & wellbeing servicing the group not as 'boss'	▪ security & survival ○ social dominance is about group survival ○ *alpha mare protects the herd* ▪ nurturing ○ mares protecting their foals ○ ***trying to do nurturing behaviour in artificial circumstances*** ▪ servant leadership & wellbeing ○ leader looking after own needs
Staff development	▪ empower ○ allowed me to develop and deliver my vision ▪ developing individuals ○ maximise & grow people ▪ be an example ○ want to be like them ▪ positive feedback ○ praise ▪ coach and guiding behaviour ○ took under his wing	▪ be an example ○ knowledge passed through to younger horses by example ▪ *coach and guiding behaviour [alpha mares]* ○ *responsible for herd behaviour*
Disciplining	▪ mild ○ interview without coffee ▪ tough ○ seen to be sat on ▪ justification ○ OK if deserved	▪ mild ○ mares always give a little cue ▪ tough ○ mare gives demand and then 'double barrel' [kick]
LEADER ATTRIBUTES		
Credibility	▪ experience & knowledge ○ knows the products	▪ experience & knowledge ○ youngsters sulk around the water hole and die

	▪ expertise o understanding the business	o without lead mares o *first horse here knew routine* ▪ expertise o dominant mare's greater awareness
Integrity	▪ personal integrity o flexible but true to yourself ▪ challenges to integrity o organisation's lack of honesty ▪ impact of low integrity o I switch off if I don't respect boss' integrity	▪ personal integrity o horses don't lie
Authenticity	▪ superficial or genuine o substance not surface ▪ consistent o reliable & predictable ▪ sincerity o the smile that hides the insincerity	▪ *superficial or genuine* o *if you treat animals fairly and with respect, the behaviour back will be correct and logical and fair*
Authority & personal strength	▪ inner strength/strength of character o nothing phases him ▪ instruction delivery o spoke slowly and forcefully and everybody was absolutely clear	▪ *inner strength/strength of character* o *dominance related to presence not just age, physical strength* ▪ instruction delivery o mares don't take any nonsense even from stallion o *no body [horse] questions her authority*
Confidence	▪ self-confidence o comfortable in their own skin ▪ confident decision makers o like to make decisions ▪ confident behaviours o smile and engage ▪ courage o courage of convictions ▪ follower confidence o good leader creates staff confidence	▪ self-confidence o success breeds confidence o *tiny ponies 'have no idea they are tiny ponies'* ▪ confident decision makers o more independent ▪ confident behaviours o stallions move 'like dressage horses'
Dominance	▪ gaining social dominance o men can be soft, gentle, astute, empathetic o he had a presence ▪ dominance through aggression o interrupt and cut across, contradict. Men 'tell' o when young [males] are looking for dominance	▪ gaining social dominance o longer established tend to be more dominant o *attitude is very important but eventually in a [stallion] fight, size and experience will out* ▪ success at social dominance o breeds confidence, breeds success 'Social Ambition' o ***isolation causes social dominance desire but low skills,*** *aggression is not dominance*
Respect	▪ being respected	▪ being respected

	○ achievements, track record, war record ▪ respect followers ○ mutual respect ▪ value followers ○ backbone of any company ○ don't underestimate them	○ 'silverbacked' - expects young males to respect him ○ *dominant mares must respect humans or will be hard to handle*
LEADERSHIP TYPES		
Natural leaders	▪ nature - character ○ always bossy, right from school days ▪ desire to lead ○ you have to have the drive ▪ intellect ○ natural intelligence, sane ▪ nurture ○ family background	▪ nature - character ○ social dominance tendency ○ *new mare joined herd, took charge, no obvious confrontation* ▪ desire to lead ○ can't prove horses have that desire (leader has greater need) ○ *lead taken by horse that does something first* ▪ *nurture* ○ *yearling learnt alpha mare's habits*
Positional leadership	▪ leader failing ○ things out of control, not reasonable behaviour ○ autocratic = problem ▪ inflexible leaders ○ 'just do it' ▪ emphasis needed ○ OK when needed ▪ follower compliance ○ at end of day, have to do what they say	
Leader Flexibility	▪ being inflexible ○ you are what you are ▪ being flexible ○ good leader should have a repertoire ▪ follower adaptability ○ followers forced to adapt more	▪ being flexible ○ mare can defend herd if no stallion present
FOLLOWER CONSIDERATIONS		
Follower choice	▪ choose to follow (positive) ○ feel good want to follow ○ treat well, get buy in ○ be at his side ▪ compliance (negative) ○ fear, afraid to speak up ○ no platform for feedback ▪ motivation ○ desire to perform ○ raise game ○ go the extra mile ○ springing into work	▪ choose to follow (positive) ○ social facilitation - 1 moves others have to decide whether to follow or not ▪ compliance ○ if they understand, they do ○ *lower horse gives ground* ▪ motivation ○ rewarded behaviour is more likely to be repeated ○ they want to follow her
Followers' role	▪ active role ○ making things happen ▪ as leaders ○ you cannot just have it at the top ▪ follower initiative	▪ as leaders ○ there can be several dominant horses

	○ people create own systems ▪ information provider ○ feeding info upwards ▪ importance to organisation, delivery ○ too many chiefs - need the indians	▪ information provider ○ one keeping watch warns of predators
Follower challenge	▪ challenge leader (good) ○ courage to tell leader they are wrong - not 'yes men' ▪ disruptive trouble makers ○ likes to stir things up ▪ follower resistance ○ will kick my heels and challenge bad instructions ▪ undermining/takeover attempts by follower ○ divided camps ○ want leader to fail	▪ *disruptive trouble makers* ○ *males play fight more* ▪ follower resistance ○ will chase stallion away if they don't want him ▪ undermining/takeover attempts by follower ○ younger one fights off an existing stallion
RELATIONSHIPS		
Connection to team	▪ longevity, history ○ come through the ranks ○ served apprenticeship ▪ being involved, physical presence ○ keep in touch with the front line, very involved ▪ political disconnect (public sector)	▪ longevity, history ○ mares groups often quite stable ○ first horse knew the routine ▪ being involved, physical presence ○ stallion is a satellite ○ mares appear bored when stallions fighting
Personal relationships	▪ slight distance ○ friendly not friend ○ clear boundaries ▪ like family ○ grow with the company ○ know every staff member ▪ interrelationships ○ networking matters ○ caring and considerate ▪ physical presence ○ never left his office	▪ slight distance ○ mares can be friendly to stallion ▪ like family ○ often siblings, stick together as a group ○ *herd is a complete functional mare unit and their young* ▪ interrelationships ○ lot of time in social behaviour, playing, grooming etc ○ 2 males to a band 'brothers in arms' ▪ physical presence ○ want to be in 'eyeshot and ear shot'
Teams	▪ desire to be in team ○ belong in team ○ mix in ○ enjoy interaction ▪ mutual support ○ all in it together ○ if I get credit you get credit ▪ joining or exclusion from team ○ if they don't come into the fold ▪ balance/diversity in teams ○ celebrating that the team brings different strengths	▪ desire to be in team ○ following by herd is a dynamic to stay together ○ *won't come to stable without herd* ▪ *mutual support* ○ *flight animals, one starts all join in* ▪ joining or exclusion from team ○ if kicked out, have to find another group ○ *new horse in field - will be checked out and chased, often by least dominant horse* ▪ balance/diversity in teams ○ often siblings, but not

	○ coping with difference ▪ team size ○ small team, have more influence ▪ dysfunctional teams ○ swearing, raising battles	always from same stallion ○ ***based on human ownership*** ▪ team size ○ smaller teams when resources scarce ▪ *dysfunctional teams* ○ ***a lot of niggling***
Hierarchy	▪ enforced linear hierarchy (all negative) ○ very hard ossified strata ○ grinding down on next level below ▪ natural hierarchies ○ clear pecking order of hidden power ▪ non hierarchical ○ everyone had responsibility, buck stopped with everyone ▪ team change & incomers ○ incomers find their place in the team, restructuring is unsettling ▪ place in hierarchy ○ male dominance, leader determined outside hierarchy ▪ [non] meritocracy ○ prove your-self, promotion is competitive ○ promotion based on their rank in organisation ○ public sector, been there the longest	▪ dyadic structure ○ alpha mare will move off first, older mares move off second ○ *pods of relationships - not linear* ▪ natural hierarchies ○ self-selected ▪ team change and incomers ○ new horses interact to find their place, changing groups unbalances whole hierarchy ○ *if hierarchy constantly changed,* ***more fights and accidents*** ▪ place in hierarchy ○ female dominance, leader based on challenges within ○ ***constant jostling for position*** ▪ meritocracy ○ leader is horse that 'knows' and has higher social dominance characteristics
Trust	▪ trust leader ○ safe pair of hands ▪ trust followers ○ to be honest & follow instructions	▪ trust leader ○ trust her to lead them to good pastures
BEHAVIOUR ISSUES		
Communication	▪ clarity ○ no clear message = broke organisation ○ clear goals & explain why things are to be done ▪ subtle (non verbal) communication ○ quick to close you down by showing irritation ○ people always know if I am pissed off [female] ▪ forceful/dominant communication ○ can't argue with her ▪ open to communication ○ approachable & listening ▪ manner of communicating ○ the way people are spoken to ○ manipulation	▪ *clarity* ○ *rider has to give clear aids [signals]* ▪ subtle (non verbal) communication ○ from 10 yds off 'brush them' without contact ○ *mares always give a little cue, perhaps just a stare* ▪ forceful/dominant communication ○ put ears back or elevate to biting then kick if signal is ignored

Emotional intelligence	▪ strong personal skills ▪ empathy o some more intuitive, pick up different things ▪ women better o stronger softer skills, pick up different things ▪ lacking E.I. o extremely clever, but no communication skills o wrapped up in themselves	▪ strong personal skills o survival of the fittest - most likely to reproduce, not just strongest - includes better at social behaviour too ▪ *lacking E.I.* o *isolation leads to high social dominance behaviour but low social skills*
Normal behaviour	▪ manner o confident, friendly, pleasantries ▪ calm o communicate gently, steady tempo ▪ focus o chat a bit, then get to the point o ask about family	▪ manner (e.g. stallion driving willing mares) o relaxed, head down, soft expression ▪ calm o slow pace
Crisis - Leader	▪ more animated o more movement, energy, speed, adrenalin o bit of a whirlwind ▪ physical tension o tense face, tight muscles, tucking in stomach to look bigger ▪ more personal - eye contact o more in their face, eyeballing ▪ louder delivery o shouting, banging table ▪ direction o straight to the point, you will do it this way - forceful ▪ expressing emergency calmly (preferred) o leaders can be 'direct' but need to be calm. Quieter and slower	▪ more animated (stallion moving herd) o aggressive and threatening, high energy, creates panic, puts fear of God into the herd o *faster pace* ▪ physical tension o 'snakey' headed to force movement o *tight nostrils, tense muscles, driving stance, cresting neck* ▪ *more personal - eye contact* o *eyes 'harden'* ▪ *louder delivery* o *prancing, whinnying very loudly* ▪ direction o stallion chasing, behind herd 'like a border collie' o *forceful*
Crisis - follower **(after leader's communication of crisis)**	▪ stress o harassed, distressed, fear, panic ▪ annoyance o resentment, day's disrupted ▪ positive response o lets get this done, quite exciting ▪ reduced response o over-dramatising every day, gets reluctance	▪ stress o panicked, wild eyed, afraid, spread out ▪ annoyance o resist movement
LEADERSHIP PROBLEMS		
Poor leadership	▪ politically driven ▪ lacks intelligence ▪ autocratic o force own agenda, manuals	

	for everything ▪ not dynamic o reactive not proactive ▪ weak leaders o avoided conflict, afraid, threatened ▪ decision avoidance o ideas swept under the carpet o passing the buck ▪ always feels personal	
Frustration	▪ frustration (felt by leaders) o anger, couldn't stop them being difficult	▪ ***frustration*** o ***not understanding humans*** o ***abnormal dominance behaviour when physically restrained***
	▪ frustration (with poor leaders) ▪ de-motivated o not 'engaged' with company or role, felt switched off ▪ resentment o felt injustice ▪ depression o made me feel really sad	
Conflict between individuals	▪ managing conflict o hard nosed discussion is healthy, but must be managed ▪ damaging o destructive when top people are fighting ▪ ego-driven o want to be one up, used to being own boss - challenged the whole time	▪ conflict o proper fighting is very rare o ***more fighting in domestic setting*** ▪ damaging o fighting wastes energy and risks injury - injuries attract predators o *fighting can cause a problem, threaten everybody*
Aggression by individuals	▪ aggression is weakness o personality and [lack of] confidence in role determines who bullies and throws weight around ▪ culture of aggression [by males] o looks pretty bloody [up there] and who would want it? o gangs - 2 or 3 coming together to 'attack' people in meetings ▪ bullying [by male & female] o leader threatened and inadequate, belittling, patronising, undermined ▪ follower reactions o start to ignore or fight back, de-motivated	▪ aggression is weakness o high dominance tendency but no social skills - goes aggressive more quickly from panic o *smaller horses kick quicker - feeling more vulnerable, or insecure, nervous, 'lack of confidence* ▪ ***culture of aggression*** o ***a lot of aggression in domestic horses*** ▪ male aggression o inter-male fighting common ▪ female aggression o threat - can be quite aggressive, but less 'niggling' in the wild o ***dominant mare is often aggressive and hard to handle, really fierce, very quick***

GENDER		

Women	▪ as good leaders
	  o leading 'is more of a female quality than a male'
	▪ female bosses are 'a token gesture' here
	▪ fighting for position
	  o saying 'I'll show them', had to 'fight to get there...animal instincts'
	▪ 'male' behaviour (toughness)
	  o overcompensating, trying too hard to prove can compete
	  o female leadership goes wrong when they get too like men
	▪ different expectations of women
	  o can appear more aggressive than expected of women, we can't win
	▪ softer skills
	  o temper mens' behaviour, explain don't tell, never needed to thump her fist on the table
	▪ inclusive
	  o encourage and acknowledge, consider others' opinions
	▪ nurturing
	  o care about staff wellbeing
	▪ organised
	  o structured, logistics, tidy, professional
	▪ emotional
	  o women are more temperamental than men, women are more possessive, but self-effacing
	▪ ego, arrogance
	  o saw herself as superwoman
		▪ as good leaders
		  o others follow the dominant mares
		▪ fighting for position
		  o mares will take on a stallion if they don't want the new stallion
		▪ ***'male' behaviour (toughness)***
		  o ***a fighter mare [aggressive mare] was so dominant humans couldn't catch the others***

Males	▪ unacceptable behaviour
	  o interrupt and cut across, contradict, display aggression
	  o male leadership goes wrong when we get more macho
	▪ focus
	  o compartmentalised, very analytical, task-focussed, disorganised
	▪ men tell
	▪ oganisational culture is very male
	▪ males with feminine skills (always describing good leaders)
	  o good male leader has an element of female traits but a can be a problem in some traditional trades
	▪ aren't so good at recognising their faults
	▪ image/posturing
	  o tough image in construction, young males wanting dominance, want to be leader
	  o ego/arrogance - he had snide view of others
		▪ image/posturing
		  o stallions move 'like dressage horses' - showing off.
		▪ dominant stallion changes to prevent in-breeding
		▪ *the 'leading stallion' generally now accepted its not the case*
		▪ *young males always play fighting*
		▪ *stallions don't lead*

Gender	▪ situational - which style is more effective ▪ character is more important than gender ▪ flexibility - can adopt opposite gender's natural behaviours	
SECTOR CULTURES		
Sector cultures	▪ public sector o political style, no motivation, aggressive, promoted because you are there, authoritarian, disempowered ▪ commercial sector o dynamic, pressured, focussed, tough, fun, motivating ▪ charities o weak, low leader skills, soft, kind, caring, aggressive, vocational, consultative, collaborative	

Note: *Italics* indicate reference to domesticated horses as opposed to wild horses, **bold** italics indicates a behaviour considered 'abnormal'.

Appendix 9. Human Leadership Interviewee Profiles & Summary Statistics

Business / Organisation Interviewee Summary Profiles										
Interviewee	Industry	Sector	Title or Role (Pseudonym)	Approx Budget	Gender	Age range	Leader or Follower	No. direct reportees	Team size	Scale of Organisation
1	Military	Public	Brigadier (JAMES)	£44M	M	60+	L	30	6,000	Large
2	Regional Council	Public	C.E.O. (ROGER)	£200M	M	60+	L	6	4,500	Large
3	Housing Assoc.	Third	C.E.O. (MURDOCH)	£10Ms	M	45-54	L	5	220	Med
4	Health	Public	C.E.O. (ELIZABETH)	£150M	F	60+	L	6	70	Large
5	Finance	Private	Chief Investment Officer (GEORGE)	£50B	M	45-54	L	6	40	Small
6	Construction	Private	Regional Director (HARRY)	70M	M	55-64	L	10	80	Med
7	Banking Commercial	Private	Regional Director (ANTHONY)	50M	M	45-54	L	8	65	Large
8	Housing Assoc.	Third	Project Director (CHRISTOPHER)	£50M	M	45-54	L	4	25	Large
9	Charity	Third	Regional Estates Director (LYNN)	£50M	F	35-44	L	8	65	Large
10	Social work	Public	Service Development Manager (AILSA)	£1M	F	60+	L/F	4	50	Large
11	Banking Commercial	Private	Manager (NIGEL)	100Ks	M	45-54	L/F	4	30	Large
12	Charity	Third	Divisional Admin Officer (BETTY)	Nil	F	55-64	F	5	5	Large
13	Charity	Third	Regional Estates Surveyor (TRICIA)	Nil	F	35-44	F	5	5	Large
14	Residential development	Private	Land Manager (JOSIE)	Nil	F	25-34	F		3	Med
15	Housing Assoc.	Third	Development Officer (JULIE)	Nil	F	34-44	F		26	Med
16	Training company	Third	Information Officer (MICHAEL)	Nil	M	25-34	F		9	Small
17	'Quango' Architecture	Public	Policy officer (TIM)	Nil	M	25-34	F		4	Small
18	Veterinary	Private	Vet. nurse (SARAH)	Nil	F	25-34	F		3	Small

Human Interviewee Summary Statistics

Private sector	Public Sector	Third sector
6 (33%)	5 (28%)	7 (39%)
'Industries' represented - 13		

Large Organisation	Medium Organisation	Small Organisation
10 (56%)	4 (22%)	4 (22%)

Gender	Female	Male
Proportion of total sample	8 (45%)	10 (55%)
Proportion of sample 'leaders'	2 (11%)	7 (39%)
Proportion of sample 'leader/followers'	1 (0.5%)	1 (0.5%)
Proportion of sample 'followers'	5 (3%)	2 (11%)

Age Range: Leaders (Typical age)	Age Range: Leader/Followers (Typical age)	Age Range: Followers (Typical age)
35 - 60+	45 - 60+	25 - 60+
(55+)	(50+)	(c.30)

Team Size Range (Avg)	Leader	Follower/Leader	Follower
No. Direct reportees	4 - 30 (9.6)	4 (4)	0 - 5
No. in team (indirect reportees if leader)*	40 - 6,000	30 - 50 (40)	3 - 26 (8)

**Strongly bimodal distribution of team size, therefore mean average is not a valid measure.*

Notes on interviewee profiles and basic statistics above:

There is a reasonably balanced distribution across the sample in terms of sectors, gender and team size. Large organisations were slightly over represented and female leaders were under-represented, with female followers slightly over-represented. Excluding the extreme outliers, a leader typically had 10 or less direct reportees with around 50 to 80 in their team. Budgetary responsibility generally rose as the team number rose, except in the finance sector. Irrespective of size of organisation, most people related to their regional operation - even saying they worked in a medium size operation, when their organisation was in fact world-wide and very large scale - suggesting that people relate more to their immediate team and regional operation and less to the international or national operation and leadership. Women were more likely to describe themselves as followers. Men disliked the term follower. Irrespective of interviewee status, or size of organisation, the descriptions of 'good' and 'bad' leadership were strikingly similar for all interviewees.

Appendix 10. Equine Leadership Interviewee Profiles & Summary Statistics

Equine Interviewee Summary Profiles						
	Business experience	**Horse experience (all own horses)**	**Years of Horse experience**	**Equine qualification training**	**Knowledge base (direct experience √√)**	
					Wild	**Domestic**
1	Academic	Multi-sport, breeding, scientific (veterinary), training (ROBERT)	45+	Professor	√√	√√
2	Tourism	Multi-sport, breeding, scientific, training, veterinary (RICK)	35+	PhD	√√	√√
3	International project management	Dressage, instruction, training, rescue, research. (LAURA)	40+	BHSAI	√	√√
4	Office management	Training, professional competition, instruction, breeding (FIONA)	40+	BHSI	√	√√
5	IT marketing	Leisure, instruction (LINDA)	35+	BHSAI		√√
6	On-line retail	Leisure, dressage, breeding, training (ANNEKA)	35+	(trained in Germany)	√	√√
7	Academic	Leisure riding, behavioural consultancy, scientific research (herd behaviour) (BARBARA)	38+	PhD	√√	√√
8	Retail	Groom, leisure, training (SHONA)	30+	Diploma		√√

Notes on interviewee profiles and basic statistics above:

Despite considerable variation in interviewee experience, behaviours described were fairly consistent, although those with only domestic experience tended to overstate the role of one 'lead mare' in a group and reported more fighting behaviours. The observations of wild horse behaviour were based on scientific studies of herds in America, the Camargue (France), Australia and Dartmore (UK). BHSI and BHSAI are British Horse Society riding instructor qualifications.

Appendix 11. Key Definitions

For the purposes of this research, these elements are defined as follows:

	Definition*	Examples in the context of this research
Structure	'a set of interconnecting parts of any complex thing; a framework'	Hierarchy Organisational structure Business organisation Herd Business networks
Mechanism	'a system of mutually adapted parts working together in or as a machine'	Relationships Horse-herd cohesion Social dominance Business processes Consensus Fear-driven flight response in horses
Dynamic	'the motive forces, physical or moral, affecting change and behaviour in any sphere'	Competitive pressure Competition for assets Strategic change Decision making Fear, thirst Desire for success
Process	'Course of actions or proceeding, esp [sic] a series of stages in manufacture or some other operation, a natural or involuntary operation or series of changes'	The structures, mechanisms and ultimately the **dynamics** combining to form the operation of leadership [note: the dynamics within leadership can technically be (sub) processes in their own right].
*Source: The Concise Oxford Dictionary of Current English		

***Source: The Concise Oxford Dictionary of Current English**

Thus, in very simplistic terms, the mechanism represents a group of individuals working together through relationships to form an entity, the structure is the framework[s] within that entity and the dynamics are the forces that cause the entity to move or change.