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Lessons in Leadership: An Analysis of Five Shakespearean Characters, Richard II, Henry V, Coriolanus, Mark Antony, and Lear

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LESSONS IN LEADERSHIP:
AN ANALYSIS OF FIVE SHAKESPEAREAN CHARACTERS,
RICHARD II, HENRY V, CORIOLANUS, MARK ANTONY, AND LEAR

by
James C. Lalley, Jr.

A Dissertation Submitted to the Faculty of
the School of Education of Loyola University in Partial
Fulfillment of the Requirements for the Degree of
Doctor of Education

April 1990

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AN ANALYSIS OF FIVE SHAKESPEAREAN CHARACTERS,
RICHARD II, HENRY V, CORIOLANUS, MARK ANTONY, AND LEAR

This dissertation has used three lenses for focusing an analysis of leadership. The first lens looks to elements of effective leadership found in the behavior of Shakespearean characters. The author analyzed five leaders in Shakespeare's plays and deduced the five elements of character (call them "strategies," "areas of competency," "human handling skills," or "themes") that are the sine qua non of leadership: imagination, eloquence, popularity, activism and tenacity. The degree to which an individual possesses and actuates all of these elements determines the level of his success as a leader. The dissertation has shown that Henry V possesses all the elements in a high degree and is a model leader. The other characters possess some or all elements in varying degrees and are less successful, if not failed, leaders.

The second lens used through which leadership in the plays of Shakespeare was analyzed was Getzels and Guba's

Transactional Model of the Nomothetic and the Idiographic Dimensions of Social Behavior. Using this model, the author identified roles defined by societal expectations and analysed the interaction between the individual personality and the role.

The third lens used for the analysis of leadership behavior in the plays of Shakespeare was Hersey and Blanchard's Theory of Situational Leadership. The individuals who failed to match their style of leadership with the maturity level of their followers failed. When Richard II treats the peers of the realm as peons, when Coriolanus rails against the people of Roman calling them "scabs," when Lear treats his daughters to whom he is about to turn over his kingdom like children, they fail. Mark Antony, although he adjusts his style to meet the maturity level of his followers, fails because he does not keep his mind on the task at hand. Henry V alone is able to adjust his styles successfully with an entire range of followers--archbishops, dukes, soldiers.

Finally, the analysis of characters was the basis for practical lessons for the student of leadership, a listing of "do's" and "don't's" gleaned from the analysis.

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Many individuals have contributed to the successful completion of this dissertation. The encouragement, challenge, and direction of the committee, Dr. Melvin P. Heller, Director, Dr. Max A. Bailey and Dr. Philip M. Carlin, committee members, gracefully moved the paper from the realm of concept to the arena of research and, ultimately, to publication.

Loyola Academy's tuition reimbursement and Loyola University of Chicago's Sister Institution Program funded most of the tuition for my doctoral program.

The careful proofreading, verification of Shakespearean citations, and corrections of Mr. Robert Hires, the doyen of the English Department at Loyola Academy, saved me from embarrassment. His critiques and our discussions of the characters of Shakespeare fine-tuned the analysis of these characters.

Finally, the patience, encouragement, and support of my wife, Peggy, and my four children, Jim, Kathleen, Mary, and Sarah, helped me survive this process.

VITA

The author, James Clarence Lalley, Jr., is the son of James Clarence Lalley, Sr., and Sarah Ann (Walsh) Lalley. He was born October 2, 1941, in Chicago, Illinois.

His elementary education was obtained at St. Vincent de Paul Grammar School in Chicago, Illinois. His secondary education began at De Paul Academy in Chicago; after his freshman year, he transferred to St. Vincent de Paul Seminary, Lemont, Illinois. He was graduated in 1959.

In May of 1959, he joined the Congregation of the Missions (The Vincentian Fathers) and enrolled in Saint Mary's Seminary, Perryville, Missouri. He was graduated in June of 1964, receiving a degree of Bachelor of Arts in Scholastic Philosophy. After receiving his degree, he left the Congregation of the Missions. In 1964, he enrolled in DePaul University's graduate English program. He received his Master of Arts in English from DePaul in 1967. Attending Chicago State University, he completed courses necessary for the Administrative Certification for the State of Illinois in 1986. He enrolled in the School of Education of Loyola University of Chicago and completed the course work for a Doctorate in Education in 1989.

In September of 1964, he began teaching at Brother Rice High School as a teacher of English and Latin. In 1966, he was named English Department Chair. In 1977, he was named English Department Chair at Loyola Academy. He continues to teach at Loyola Academy and is the English Department Chair and Director of Staff Development Programs.

In 1977, he was elected to the Secondary Section Steering Committee of the National Council of the Teachers of English. He has served on the Committee on Classroom Practices and the Committee on Reading and has been a presenter at Illinois Association of Teachers of English, the National Council of Teachers of English, and the National Catholic Education conferences.

In 1983, he received a fellowship from the National Endowment for the Humanities/Council for Basic Education for independent study on American poets of the 1950's.

He is the author of "Teaching Heart of Darkness," English Journal (1982), "Teaching Dated Junk" and "Bloom's Taxonomy for Evaluation and Assessment," both in English Teachers at Work: Ideas and Strategies, Boynton-Cook, 1986.

He has been married to Margaret Judith Gallagher for over twenty years. She is a special education teacher in the Chicago Public School System. They have four children:

James Clarence, Kathleen Ann, Mary Margaret, and Sarah Jane.
He and his family live in the Beverly Hills neighborhood in
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CHAPTER I

UNTIL PHILOSOPHERS ARE KINGS

Until philosophers are kings, or the kings and princes of this world have the spirit and power of philosophy, and political greatness and wisdom meet in one, and those commoner natures who pursue either to the exclusion of the other are compelled to stand aside, cities will never have rest from their evils--no nor the human race, as I believe--then only will this our State have a possibility of life and behold the light of day.
Plato¹

A. PURPOSE

Power, authority, and leadership have been the subject of discussion and analysis for centuries. From Plato to Machiavelli to Bennis and Nanus, from Plutarch's Lives to Ralph Nadar's Big Boys and Iacocca's autobiography, writers have attempted to fathom the relationship between power, personality, and social situation. Each in his own way has attempted to define the relationship that exists between those that lead and those that follow. Each has attempted to discover what it is in the character of the leader, in the nature of the situation, or in the character of the followers that produces leadership.

¹Plato, The Republic Book V, 473 C-E.

Writers and philosophers over the ages have grappled with the synergistic intricacies of authority, character, and circumstance. In ages past, Roman Emperors, often wading their way to power through seas of blood, had themselves declared gods. These leaders ruled, exercised their power, until the people, their followers, rose up and took away not only their authority but their "immortality." In other ages, leaders have been endowed with practically limitless power; they are God's anointed on earth. Theirs is the "divine right of kings." Yet some were ineffective and inept as leaders and were deposed, sometimes bloodily. Some leaders, like Joan of Arc, seem to have emerged from the masses to solve a particular crisis, to lead their followers with great authority, only to be rejected by them once the crisis was over.

What is leadership? What are the elements of character necessary for an effective leader? What is the relationship that exists between leader and follower, or are there many relationships, each unique to the situation and the participants? These questions and their answers are at the core of any discussion on leadership.

Shakespeare has long been considered a keen observer and portrayer of human nature: Romeo and Juliet, the young lovers; Falstaff, the larger-than-life bon vivant; Shylock, the miser; Iago, the sadistic conniver; Othello, the

insanely jealous lover; Hamlet, the vacillating philosopher; Macbeth, the ambition-driven climber.

Shakespeare's plays mirror a reality that is profoundly human, realistic, and instructive. The plays address the human issues of love, envy, fear, jealousy, hatred, death, and delusion. Line after line, soliloquy after soliloquy, discourses on the fundamental existential questions: What is the purpose of life? How does one live one's life with integrity and meaning? Which relationships enhance life? Which relationships bring death?

Shakespeare's plays are filled with anointed and appointed leaders: kings and princes, generals and emperors, captains and lieutenants. Many of his plays, particularly the histories and tragedies, present these leaders in conflict. Some of these leaders succeed; others fail miserably.

Shakespeare's plays, and the characters in them, offer keen insights into human nature, human behavior, and human values. His characters have long been the subject of analysis and reflection, but the focus of the analysis and reflection has usually been literary, historical, or psychological. Could it be that Shakespeare's plays offer too some insights into the nature of leadership and leaders? The answer is a definite "yes."

The purpose of this dissertation is threefold. First, five characters in Shakespearean plays are analyzed, the focus of the analysis being leadership themes and the characters' leadership traits and behavior. Second, these characters and their situations will be compared and contrasted with two theories dealing with leadership: Paul Hersey and Ken Blanchard's Situational Leadership Theory (sometimes referred to as Life Cycle Theory of Leadership) and J. W. Getzels and E. G. Guba's Nomothetic and Idiographic Dimensions of Social Behavior. The focus of the comparison and contrast is the applicability of the theories and their usefulness in helping one understand why some leaders succeed and others fail. Third, lessons are pointed out that contemporary leaders might learn from an analysis of Shakespeare's characters, their traits, and behaviors.

This dissertation attempts to answer the following questions:

What are the themes, qualities of character, and strategies Shakespeare identifies in effective leaders?

What are the qualities of character that Shakespeare identifies that impede or destroy leadership?

What is the relationship that must exist between leader and follower for leadership to occur?

How is it that most of these leaders, given nearly absolute power and authority, not only lose their

positions of leadership but are personally destroyed?

Are contemporary theories and models of leadership reflective of the notion of leadership as portrayed in the Shakespearean plays?

Do these contemporary theories and models offer us some insight into why some of his characters succeed and others fail?

What are the lessons that any leader can learn from the characters and situations in the play?

The five characters, Richard II, Henry V, Mark Antony, Coriolanus, and Lear, have been selected purposely.

Richard II is the monarch who not only overestimates his power and authority but also by preparation, personality, and temperament is ill-suited for a leadership role at a particular historical time and in a particular social situation.

Henry V is Shakespeare's nearly perfect leader. Although he is characterized as being ill-prepared for leadership (carousing with the likes of Falstaff), at Agincourt he leads his people against the French to a decisive victory in spite of overwhelming odds.

Mark Antony is a classic example of an effective leader (the powerful speaker who can sway the multitudes, a clever politician, a military tactician) who allows his personal life--his lust for Cleopatra--to interfere with his work and ultimately to destroy him professionally and personally.

Coriolanus is the despised and despising leader. In time of crisis, his people need him to lead the armies against their enemies; once the crisis is past, the people reject him because of his arrogance and the unconcealed contempt he has for the masses.

Lear is the geriatric leader. His behavior illustrates for us the dangers of power and authority wielded by a person in his dotage. His situation also graphically accents the problems that accompany the transfer of power.

A careful analysis of the characters demonstrates that Shakespeare offers us a paradigm of traits for leadership. A careful analysis of the actions and dialogue of these characters, and others populating Shakespeare's stage, generates a list of five characteristics critical for the effective leader: **imagination**, a vivid vision of reality, rooted in the past but cognizant of the present and the possible; **eloquence**, a rhetorical power that enables the leader not only to articulate a vision but also to engage

others in the quest for the fulfillment of that vision; **popularity**, the capability of the leader to arouse his followers' love and respect as their protector and at the same time to be perceived as a a colleague or collaborator in the quest; **activism**, the ability to translate vision into practical plans and projects; and, finally, **tenacity**, the ability to see those plans and projects through to successful completion.

With this congeries of characteristics, Henry V can overcome court intrigue and betrayal, rally his outnumbered army to attain an impossible victory, and double the size of his kingdom. Without one or more of these traits, Richard loses his kingdom and his life, Mark Antony loses battle after battle and his life, Coriolanus destroys any possibility for advancing in a leadership role, and Lear loses kingdom, family, and sanity.

Shakespeare offers us a paradigm of traits that serves as a touchstone for leadership. If a leader has **imagination, eloquence, popularity, activism, and tenacity**, he will succeed. If he lacks one or more of these traits, he will fail.

B. DEFINITIONS AND THEORIES OF LEADERSHIP

Analyses of leadership abound. They range from books on organizational theory, positional power, to works that attempt to define the traits of leadership, to analysis of individuals who are successful corporate and educational leaders.

Plato looks for the "philosopher-king."² Machiavelli looks to a leader who must be the "fox to know snares, and lion to terrify wolves."³ Maccoby, citing the new social realities, calls for the new leader who embodies and expresses "values rooted in the social character of group, class, or nation."⁴ Bennis distinguishes between the manager and the leader: "Managers are people who do things right and leaders are people who do the right things."⁵

Many other theorists offer frameworks for analysis of leaders within organizations: Amitai Etzioni, Modern Organizations (1964); Daniel Griffith's fundamental work,

²Plato, op. cit., 473.

³Niccolo Machiavelli, The Prince, Translated by Leo Paul S. De Alvarez, (Irving, Texas: University of Dallas Press, 1980).

⁴Michael Maccoby, The Leader (New York: Simon and Schuster, 1981).

⁵Warren Bennis and Burt Nanus, Leaders, (New York: Harper & Row Publisher, 1985), p. 21.

Organizing Schools; Chris Argyris, Organization and Innovation, (1965); Robert R. Blake and Jane Srygley Mouton, The Managerial Grid (1964). All offer their own insights into the relationship between the leader, the followers, the task, and the situation. Although they offer frameworks for analysis of leadership, their theories are not the focus of this paper.

Since the paper focuses on just two theories, research is limited to articles and books about those theories. Situational Leadership Theory was first published by Hersey and Blanchard as "Life Cycle Theory of Leadership" (May 1969) in The Training and Development Journal. A more complete presentation appears in Management of Organizational Behavior (1969).

Paul Hersey and Ken Blanchard offer the theory of situational leadership encompassing task behavior, relationship behavior, and maturity level of followers. In Shakespeare's world, even though most of his leaders wield tremendous power, the leader cannot simply order things to be done and expect compliance. The successful leader is able to adapt his leadership style (task and relationship behavior) dependent upon the "maturity" level which his followers exhibit on a specific task.

J. W. Getzels and E. G. Guba's model demonstrating

the nomothetic and idiographic dimension of social behavior first appeared in an article entitled "Social Behavior and the Administrative Process" published in School Review (1957). Other works such as Getzels, Lipham, and Campbell's Educational Administration as a Social Process (1966), Getzels' "Theory and Practice in Educational Administration: An Old Question Revisited" (1960), and Getzels and Guba's "Role, Role Conflict and Effectiveness" (1954) are major resources.

Getzels and Guba's social model explores the relationship between the institutional role (the nomothetic dimension) and the personality (the idiographic dimension). Application of this model would explain why a near absolute ruler such as Richard II found himself deposed, lingering in a dungeon and awaiting death.

Both Situational Leadership and the Nomothetic and Idiographic Dimensions of Social Behavior are explained in detail in Chapter III of this dissertation. The characteristics of the Shakespearean leader are also explained in Chapter III.

Finally in the last chapter, the dissertation presents a review of the lessons in leadership that the student of leadership can glean from a careful reading of the plays as well as offering areas for further study. The dissertation shows that the successful Shakespearean leader has a

combination of specific qualities and that the unsuccessful Shakespearean leader is lacking one or more of those qualities. It highlights successful leadership strategies and warns about disastrous initiative.

The analysis of the characters in the plays is used to refer to the theorists and the models to see if Shakespeare's leaders verify the theories or fit the models.

C. FORMAT

Each chapter begins with a summary of the events of the Shakespearean play or plays in which the character being analyzed appears.

Next dialogue, description, and actions from the plays are used to develop a character analysis. This analysis focuses on the presence or absence of the traits or strategies of **imagination, eloquence, popularity, activism,** and **tenacity** as well as provide the information necessary for the application of Hersey and Blanchard's theory of Situational Leadership and Getzels and Guba's Model of the Nomothetic and Idiographic Dimensions of Social Behavior.

Next Hersey and Blanchard's theory and Getzels and Guba's model are applied to the character and the situation in the play.

Finally, each chapter concludes with specific lessons on leadership. These characters from the plays of Shakespeare clearly offer the student of leadership some practical suggestions, a veritable list of do's and don'ts for leaders. If Othello's fate can serve as a warning against jealousy and Macbeth about "vaulting ambition,"⁶ certainly Henry V can teach about decision-making and Richard II can demonstrate the limits of positional power. If Hamlet's fate warns that vacillation leads to disaster, Coriolanus can depict the arrogance that destroys a leader. Perhaps if the lessons are heeded, "greatness and wisdom will meet in one"⁷ and leaders will be philosophers and "our State will have a possibility of life and behold the light of day."⁸

⁶Macbeth, 1.7.27. All citations from Shakespearean plays are from William Allan Nelson and Charles Jarvis Hill, editors, The Complete Plays and Poems of William Shakespeare (Cambridge, Mass.: Houghton Mifflin Company, 1942).

⁷Plato, op. cit., 473.

⁸Ibid.

CHAPTER II

REVIEW OF THE RELATED LITERATURE

A. SHAKESPEAREAN CRITICISM

The number of those who have analyzed Shakespeare is legion. Bibliographies on Shakespeare abound. There is a ten-volume work entitled Shakespeare Criticism.¹ In this multi-volume work, the history of composition, the textual variants, the sources, and the history of criticism of each play are detailed. At least, three casebooks and separate bibliographies exist for each of the plays themselves. The reader of the limitless criticism and interpretations will find a plethora of information. Essays espousing Neo-classical, Romantic, fatalistic, Christian, Freudian, Marxist, existential, deconstructionistic, linguistic, and literary interpretations of Shakespeare are contradictory and confusing. So this dissertation will limit its

¹Laurie Langen Harris and Mark W. Scott, editors, Shakespearean Criticism (Detroit, Michigan: Gale Research Company, 1978).

Shakespeare research to Shakespearean scholarship on the plays in general and on the specific plays studied.

Isaac Asimov's Guide to Shakespeare², Gerald Sanders' A Shakespeare Primer,³ Granville-Barker and G.B. Harrison's A Companion to Shakespeare Studies⁴ offer general, but useful insights into the background of the plays, the plays themselves, and the characters in the plays.

Harley Granville-Barker's two volume work Prefaces to Shakespeare⁵ gives detailed introductions to each of the plays.

Andrew C. Bradley's Shakespearean Tragedy: Lectures on Hamlet, Othello, King Lear, Macbeth⁶ and John Palmer's

²Isaac Asimov, Asimov's Guide to Shakespeare. (New York: Avenel Books, 1970).

³George Sanders, A Shakespeare Primer (New York: Macmillan, 1950).

⁴Harley Granville-Barker and G. B. Harrison, editors, A Companion to Shakespeare Studies (Garden City, New York: Anchor Books Doubleday & Company, 1960).

⁵Harley Granville-Barker, Prefaces to Shakespeare (Princeton, N.J.: Princeton University Press, 1946).

⁶A. C. Bradley, Shakespearean Tragedy (New York: Macmillan and Company, 1904).

Political and Comic Characters of Shakespeare⁷ offer excellent material on character analysis.

For the history plays, E. M. W. Tillyard's Shakespeare's History Plays⁸, Lily Bess Campbell's Shakespeare's "Histories," Mirrors of Elizabethan Policy,⁹ and M. W. MacCallum's Shakespeare's Roman Plays and Their Background¹⁰ present detailed and insightful analysis.

Cyril Bailey's Legacy of Rome¹¹, R.H. Barrow's The Romans¹² and his other classic study Plutarch and his Times¹³, Donald Earl's The Moral and Political Tradition of Rome,¹⁴ Paul Stapfer's Shakespeare and

⁷John Palmer, Political and Comic Characters of Shakespeare (London: Macmillan & Company Ltd., 1961).

⁸E. M. W. Tillyard, Shakespeare's History Plays (London: Chatoo and Windus, 1956).

⁹Lily B. Campbell, Shakespeare's "Histories" (San Marino, California: Huntington Library, 1947).

¹⁰Mungo William McCallum, Shakespeare's Roman Plays and Their Background (London: Macmillan, 1967).

¹¹Cyril Bailey, editor, The Legacy of Rome (Oxford: Clarendon Press, 1962).

¹²R. H. Barrow, The Romans (Baltimore, Maryland: Penquin Books, 1964).

¹³R. H. Barrows, Plutarch and his Times (Bloomington: Indiana University Press, 1969).

¹⁴Donald Earl, The Moral and Political Tradition of Rome (Ithaca, New York: Cornell University Press, 1984).

Classical Antiquity¹⁵ all added valuable insights into the Roman world portrayed in the Roman plays Coriolanus, Julius Caesar, and Antony and Cleopatra.

Lily B. Campbell's Shakespeare's Tragic Heroes: Slaves of Passion¹⁶ offers excellent information in general and specifically on the problem of an old and wrathful king, Lear.

Biographies of Shakespeare abound. G. B. Harrison's Shakespeare under Elizabeth¹⁷ tries to show ways in which the plays of Shakespeare reflect events and issues in Shakespeare's time. Baldwin's William Shakespeare's Small Latine and Lesse Greeke¹⁸ offers insight into the education in English schools during Shakespeare's time. Russell Fraser's Young Shakespeare¹⁹ is most helpful in determining what philosophic and political works influenced Shakespeare's writing.

¹⁵Paul Stapfer, Shakespeare and Classical Antiquity (New York: Burt Franklin, 1970).

¹⁶Lily B. Campbell, Shakespeare's Tragic Heroes: Slaves of Passion (New York: Barnes and Noble, Inc., 1980).

¹⁷G. B. Harrison, Shakespeare under Elizabeth (New York: Holt, 1933).

¹⁸T. W. Baldwin, William Shakespeare's Small Latine and Lesse Greek (Champaign, Illinois: University of Illinois Press, 1944).

¹⁹Russell Fraser, Young Shakespeare (New York: Columbia University Press, 1988).

Terence Eagleton's Shakespeare and Society²⁰ explores the relationship between the individual and society. His exploration of the nature of society and the role of the individual, particularly leaders, offers valuable information, especially on Coriolanus and Mark Antony.

Geoffrey Bullough's five volume work Narrative and Dramatic Sources of Shakespeare²¹ is invaluable for tracing sources of the Shakespearean plays.

Integral to this analysis is an understanding of the followers in Shakespeare's plays. Brents Stirling's The Populace in Shakespeare²² offers much scholarly information on the commoners of Richard's and Henry's time as well as on the citizens of Rome for the analysis of the situations facing Coriolanus and Mark Antony.

Although Shakespeare was familiar with the writings of Machiavelli, specifically The Prince, his model of leadership seems to be based on the writing of Desiderius

²⁰Thomas Eagleton, Shakespeare and Society (New York: Schocken Books, 1967).

²¹Geoffrey Bullough, editor, Narrative and Dramatic Sources of Shakespeare (London: Routledge and Kegan Paul, 1964).

²²Brents Stirling, The Populace in Shakespeare (New York: Columbia University Press, 1949).

Erasmus' In Praise of Folly and The Education of a Christian Prince. T.A. Dorey's Erasmus,²³ James D. Tracy's The Politics of Erasmus,²⁴ and Desiderius Erasmus' The Education of a Christian Prince²⁵ offers essential information concerning Shakespeare's notions of leaders and leadership.

John Neville Figgis' The Divine Right of Kings²⁶ traces the notion of "divine right" through ancient societies, the Old Testament, and English rule from the fifth century through the Jacobite era and presents a clear notion of the expectations for the role of the monarch.

The King's Two Bodies: A Study of Mediaeval Political Theology²⁷ by Ernst H. Kantorowicz discusses brilliantly the Elizabethan fascination with the concept of the King's "body politic" and his "natural body." The

²³T. A. Dorey, editor, Erasmus (London: Routledge and Kegan Paul, 1970).

²⁴James D. Tracy, The Politics of Erasmus (Toronto: University of Toronto Press, 1978).

²⁵Desiderius Erasmus, The Education of a Christian Prince translated with an introduction by Lester K. Born (New York: Columbia University Press, 1936).

²⁶ John Neville Figgis, The Divine Right of Kings (Gloucester, Mass.: Peter Smith, 1970).

²⁷Ernst H. Kantorowicz, The King's Two Bodies: A Study in Mediaeval Political Theology (Princeton, N.J.: Princeton University Press, 1957).

chapter on this notion is most helpful in dealing with Richard II.

Only a few authors have used literary figures as models for analysis of leadership. Eugene Jennings's An Anatomy of Leadership²⁸ uses Machiavelli's The Prince and Thomas Carlyle's On Heroes, Hero-Worship and the Heroic in History to critique the modern organizational theory that allows the "growing tendency to become submerged in the anonymity of the huge organization."²⁹ He does look to literature for an analysis of leadership and even uses Julius Caesar as an example, but the focus of the book is a polemic against corporate domination of the individual.

In The Classic Touch: Lessons in Leadership from Homer to Hemingway³⁰ by John K. Clemens and Douglas F. Mayer, the authors call their work "a practical book about leadership"³¹ in which they cull "great books of history, biography, philosophy"³² for "insights on such leadership

²⁸Eugene Jennings, An Anatomy of Leadership (New York: Harper, 1960).

²⁹Ibid., p. 1.

³⁰John K. Clemens and Douglas F. Mayer, The Classic Touch: Lessons in Leadership from Homer to Hemingway (Homewood, Illinois: Dow Jones Irving, 1987).

³¹Ibid., p. xiii.

³²Ibid.

tasks as team building, using power and influence, applying intuition, managing the sales force, establishing corporate culture, delegating, and planning succession."³³ Although the work uses literary characters for analysis, the approach is fragmented by looking only at the characters addressing a particular task. Many of the character analyses are only a page or two in length.

B. THE GETZELS-GUBA MODEL

J. W. Getzels and E. G. Guba developed a model for the analysis of leadership in a social context. The Getzels-Guba model is an attempt to understand the nature of social behavior and to predict and control it. Several works were key to presenting this model: Getzels' "Theory and Practice in Education Administration: An Old Question Revisited;"³⁴ Getzels and Guba's "Social Behavior and Administrative Process"³⁵ in the School Review and Getzels, Lipham, and Campbell's Education Administration as

³³Ibid.

³⁴J. W. Getzels, "Theory and Practice in Educational Administration: An Old Question Revisited," in R. F. Campbell and J. M. Lipham, editors, Administrative Theory as a Guide to Action (Chicago: University of Chicago Press, 1960).

³⁵J. W. Getzels and E. G. Guba, "Social Behavior and the Administrative Process," School Review (1957): 65.

a Social Process;³⁶ Getzels and Guba's "Role, Role Conflict and Effectiveness"³⁷ in the American Sociological Review. These works offer the basis for analyzing the characters in the Shakespearean plays.

C. SITUATIONAL LEADERSHIP

Paul Hersey and Kenneth Blanchard, having analyzed the research done in leadership, synthesized from several theories a theory and model called Situational Leadership. The theory of Situational Leadership grew out of earlier leadership models that were based on two kinds of behavior central to the concept of leadership style: task behavior and relationship behavior. Paul Hersey and Kenneth H. Blanchard's Management of Organizational Behavior: Utilizing Human Resources³⁸ and Philip E. Gates, Kenneth H. Blanchard, and Paul Hersey's article "Diagnosing Educational Leadership Problems: A Situational Approach" in

³⁶J. W. Getzels, J. M. Lipham, and R. F. Campbell, Educational Administration as a Social Process (New York: Harper & Row, 1966).

³⁷J. W. Getzels and E. G. Guba. "Role, Role Conflict and Effectiveness" American Sociological Review 19:164-175.

³⁸Paul Hersey and Kenneth Blanchard, Management of Organizational Behavior (Englewood Cliffs, N.J.: Prentice-Hall, 1977).

Educational Leadership³⁹ offers a comprehensive presentation on the the application of this model in an educational setting.

³⁹Phillip E. Gates, Kenneth H. Blanchard, and Paul Hersey, "Diagnosing Educational Leadership Problems: A Situational Approach," Educational Leadership 33 (February 1976): 348-54.

CHAPTER III
THEORETICAL FRAMEWORKS

This chapter outlines the theoretical frameworks for the rest of the paper. First, Getzels-Guba's Model of the Nomothetic and Idiographic Dimensions of Social Behavior is presented. Then Hersey and Blanchard's Situational Leadership, or as it is sometimes called Life Cycle Theory of Leadership, is presented. Finally, the traits of the successful Shakespearean leadership are outlined.

A. GETZEL-GUBA MODEL

In their article entitled "Social Behavior and the Administrative Process," J. W. Getzels and E. G. Guba state the function for their model:

Such formulations, though they may not provide generalized decisions for action, and at this time are perhaps of greater research value than applied value, may at least make it possible for the administrator to understand why certain decisions and practices work while others do not. There seems to us, in short, little doubt of the heuristic value of such models.¹

¹Getzels and Guba, "Social Behavior," op. cit., p. 441.

"The Getzels-Guba model is an attempt to understand the nature of social behavior and to predict, control and evaluate it."² For their model "social system" is "conceptual rather than descriptive; it must not be confused with 'society' or 'state.'"³ Thus the system may be a classroom, an individual school or an entire school system. "The theoretical model we are posing is applicable regardless of the level or size of the unit under consideration."⁴ Thus, although Getzels and Guba were addressing small units, the model is still applicable to any size system, even a state with such an institution as a monarchy, a consulship, a generalcy.

Social systems have certain institutionalized functions: governing, educating, and policing. The agencies which carry out these functions are called institutions (legislatures, schools, and law enforcement bodies) reflect the values of the larger society of which they are a part, and are structured so that they perform their functions in an orderly manner under the direction of human beings.⁵

²Griffith, op. cit., p. 89.

³Getzels and Guba, "Social Behavior," op. cit., p. 424.

⁴Ibid.

⁵Ibid. p. 425.

Getzels and Guba identify five characteristics of social institutions:

1. Institutions are **purposeful**; that is, they are established to carry out certain ends or goals.
2. Institutions are **peopled**; that is they require human agents to carry out the prescribed goals. The agents are called "actors."
3. Institutions are **structural**; that is, there are parts, rules on how the parts are related, and roles that are based on the tasks to be achieved.
4. Institutions are **normative**; that is, the roles serve as "norms" for the holders of the roles, the actors. These role expectations are obligatory if they are to retain a legitimate place in the institution.
5. Institutions are **sanction-bearing**; institutions have at their disposal appropriate positive and negative sanctions to demand compliance with the norms.⁶

Roles within institutions are crucial for they are the "structural elements defining the behavior of the role incumbents or actors."⁷ Getzels and Guba make several

⁶Ibid., p. 425-6.

⁷Ibid.

generalizations about the nature of the roles.

1. Roles represent **positions, offices, or statuses within the institution.**

2. Roles are defined in terms of **role expectations**; that is, each role has normative rights and duties. When the actor puts these rights and duties into effect, then he is performing his/her role.

3. Roles are **institutional givens**; that is, they are the paradigms or blue prints of what should be done without reference to the particular individuals who assume the roles.

4. The behaviors associated with a role may be thought as lying along a **continuum from "required" to "prohibited."** Certain expectations are crucial, and the appropriate behavior absolutely required. Other behaviors are absolutely forbidden. Between these two extremes lie behaviors that would be recommended, mildly disapproved but permissible.⁸

It is this flexible feature of roles that makes it possible for role incumbents with different personalities to fulfill the same role and give it the stamp of their individual styles of behavior.⁹

5. Roles are **complementary**; that is, the roles are

⁸Ibid., p. 427.

⁹Ibid.

interdependent, in that each role derives its meaning from other related roles in the institution. Getzels and Guba use the example of the roles for a sergeant and private; their roles cannot be defined or implemented except in relation to each other.¹⁰

Every social system is composed of two classes of phenomena which may be envisioned as independent of each other, yet at the same time interacting. First, there are the institutions, composed of roles and expectations established to achieve the system's goals. These constitute the normative or NOMOTHETIC dimension of activity. Thus the school as an institution may be viewed as composed of such roles as principal, assistant principal, deans, directors, department or division heads, counselors, teachers, and students.¹¹ A kingdom may be viewed as composed of a monarch, peers, subjects.

Secondly, there are individuals with distinctive personalities and need-dispositions who inhabit roles in the institutions. These constitute the IDIOGRAPHIC or personal dimension of activity. No two principals, for example, are alike in the way they administer their schools. Each stamps his/her role with his/her own pattern of attitudes and

¹⁰Ibid.

¹¹Griffith, op. cit., p. 86.

motivation--in short, with his/her own personality--and administers his/her school in a way different from other principals in the same district, even though all are bound by the same board of education policies.¹² In the same way, no two monarchs are alike in the way they rule their kingdoms. Each stamps his role with his own pattern of attitudes and motivation, his personality.

A social system is defined in terms of two dimensions, the nomothetic and the idiographic. On the nomothetic axis a social system is defined by its institutions, each institution by its roles, and each role by the expectations attaching to it. On the idiographic axis a social system is defined by the individuals who compose it, each individual by his personality and each personality by its need-dispositions.

To understand the observed behavior of a specific actor in his role interacting with another actor in his role (a specific sergeant and specific private, Richard II and Bolingbroke) "it is not enough to know only the nature of the roles and of the expectations, but we must also know the nature of the individuals inhabiting the roles and reacting to the expectations as well."¹³ Thus one

¹²Ibid.

¹³Getzels and Guba, "Social Behavior," op. cit., p. 427.

must look at both the nomothetic, or normative aspects, and the idiographic or individualizing, aspects of social behavior. (See Appendix A for model diagrams.)

Any given act derives from the simultaneous interplay of both dimensions. Social behavior, in other words, is the outcome of an attempt by an individual to meet his role and its expectations in a way that accords with his personality and his need-dispositions.¹⁴

The nomothetic dimension is the sociological level of analysis and the idiographic is the psychological. Besides these two dimensions there are three others: the anthropological, biological, and transactional.

In anthropological terms, an institution is embedded in a culture with certain mores and values, and role expectations are related to them. Schools are a part of a culture. The monarchy as it existed in England was a cultural artifact, interpreted and lived in a particular way in England.

In biological terms, an individual's personality is embedded in a biological organism with certain

¹⁴Ibid., p. 429.

constitutional abilities and potentialities which interact with the psychological or idiographic dimension.¹⁵

Every human being brings his/her individuality to the position or job. Each individual acts out his position in his/her own way because of who they are biologically and psychologically.

In terms of their model, Getzels and Guba have identified three distinct leadership-followership styles: the **nomothetic**, the **idiographic**, and the **transactional**. The three styles are really three different modes of achieving the same institutional goal.

The nomothetic style emphasizes the nomothetic dimension of behavior and thus places emphasis on the requirements of the institution, the role and expectations rather than on the requirements of the individual, the personality, the needs disposition. This style is evinced as in "I am the boss, you are the employee" or "I am the king, you are the subject" statements. "The obligation of the follower is to do things 'by the book;' the obligation of the leader is to 'write the book.'"¹⁶

¹⁵Griffith, op. cit., p. 89.

¹⁶Getzels and Guba, "Social Behavior," op. cit., p. 436.

The idiographic style emphasizes the requirements of the individual, the personality and the need-disposition rather than the requirements of the institution, the role and the expectation.

The assumption is that the greatest accomplishment will occur, not from enforcing adherence to rigorously defined roles, but from making it possible for each person to contribute what is more relevant and meaningful to him."¹⁷

Finally, the transactional dimension is a blend of the nomothetic and idiographic. Not a compromise, it is an intelligent application of the two as any given occasion demands.

Role and personality are maximized as the situation requires. The transactional dimension is oriented to a specific situation rather than to either an individual or an institution. It is an attempt at both individual integration and institutional adjustment, the socialization of personality, and the personalization of performance of role requirements and expression of personality needs.¹⁸

Crucial for this transactional dimension is the consensus formed by the members of the social group.

In search of this balance, a social group develops a climate made up of the intentions of its members. It takes into account their common or deviant perceptions, and their explicit or implicit agreements on how to deal with them. The group is of crucial importance, for it supports them in expressing their personal standards.¹⁹

¹⁷Ibid. p. 437.

¹⁸Griffith, op. cit., p. 90.

¹⁹Ibid., p. 89.

Parents and school board members can demand that a principal of a school be more assertive in applying the discipline policies. They can define his role. If he is temperamentally unsuited for the role of strong disciplinarian, he may have to resign. On the other hand, parents and school board members may tolerate a permissive principal if he is able to motivate the students and the teachers to achieve at high levels.

In essence, the Getzels-Guba model offers a conceptual framework for analyzing the conflicts that arise between the institutional role and individual personality.

In subsequent chapters, the five characters from Shakespearean plays will be analyzed. The Getzels-Guba model is one of the conceptual frameworks used to assess the relationship between the institutional role that each character is called to assume and his individual personality. Application of the model shows how conflict between role and personality causes discord and, ultimately, defeat (and usually death) and how harmony between role and personality generates success.

B. HERSEY AND BLANCHARD'S SITUATIONAL LEADERSHIP

Paul Hersey and Kenneth Blanchard have developed a conceptual framework which can aid practicing managers

as they make decisions on the various situations they face on a daily basis. Situational Leadership Theory (sometimes referred to as "Life Cycle Theory of Leadership" grew out of earlier leadership models that were based on two kinds of behavior: task behavior and relationship behavior.

Task behavior is the extent to which a leader engages in one-way communication by explaining what each subordinate is to do as well as when, where and how tasks are to be accomplished. **Relationship behavior** is the extent to which a leader engages in two-way communication by providing socio-emotional support, "psychological strokes," and facilitating behaviors.²⁰

Since research over the past several decades has clearly supported the contention that there is no one best style of leadership, it is important for the leader who wants to be successful and effective to have a repertoire of style at his/her disposal.

Situational Leadership is based on the interplay among three variables:

1. the amount of guidance and direction (task behavior) a leader gives;
2. the amount of socio-emotional support (relationship behavior) a leader provides; and
3. the readiness ("maturity") level that the followers exhibit in performing a specific task, function or objective.²¹

Situational Leadership emphasizes the behavior of a leader in relation to followers. "Followers in any situation

²⁰Gates, Blanchard, Hersey, "Diagnosing," op. cit., p. 349.

²¹Hersey, Blanchard, Management, op. cit., p. 150.

are vital, not only because individually they accept or reject the leader, but because as a group they actually determine whatever personal power the leader may have."²²

Key to the understanding of this model is the definition of the follower's readiness or "maturity."

Maturity is defined in Situational Leadership as the ability and willingness of people to take responsibility for directing their own behavior. These variables of maturity should be considered only in relation to a specific task to be performed. That is to say, an individual or group is not mature or immature in any total sense. All persons tend to be more or less mature in relation to a specific task, function, or objective that a leader is attempting to accomplish through their effort.²³

In an article in Educational Leadership, Hersey and Blanchard offer an expanded definition:

Maturity is defined in Situational Leadership theory as the capacity to set high but attainable goals (achievement-motivation), willingness and ability to take responsibility, and education and/or experience of an individual or group.²⁴

Depending on the task, people may have varying degrees of maturity. The maturity of followers is a matter of degree and the figure divides the maturity continuum below the leadership model into four levels: low (M1), low to moderate (M2), moderate to high (M3), and high (M4).

²²Ibid.

²³Ibid., p. 151.

²⁴Gates, Hersey, Blanchard, "Diagnosing," op. cit., p. 349.

The appropriate leadership style in any given situation for each of the four levels of maturity includes the right combination of task behavior (giving direction, setting goals, defining roles) and relationship behavior (providing support, "psychological strokes," and facilitating behaviors. (See Appendix B, page 246.)

"Telling" is for followers having low maturity. Individuals who are both unable and unwilling (M1) to take responsibility to do something and are neither competent nor confident. They need a directive style (S1) that provides clear, specific direction and supervision. This style involves high task behavior and low relationship behavior.

"Selling" is for followers having low to moderate maturity. Individuals who are unable but willing (M2) to take responsibility are confident but lack skills at this time. Thus, a "selling" style (S2) that provides directive behavior because of the individuals' lack of ability, but also supportive behavior to reinforce their willingness and enthusiasm seems to be the most appropriate. This style involves high task behavior and high relationship behavior.

"Participating" is for followers having moderate to high maturity. Individuals at this level of maturity are able but unwilling (M3) to do what the leader wants. A lack of confidence in their ability to perform or their insecurity is often the cause of their unwillingness. If,

however, they are competent but unwilling, their reluctance to perform is more a motivational problem than a security problem. A supportive, non-directive, "participating" style (S3) has the highest probability of being effective with individuals at this maturity level.

"Delegating" is most effective with followers with high maturity. People at this maturity level are able, willing, and confident to take responsibility. A low profile "delegating" (S4) style, providing little direction or support, has the highest probability of being effective with individuals at this maturity level. This style involves low relationship behavior and low task behavior.²⁵

The successful situational leader will assess the maturity level of followers and behave as the model prescribes. Implicit in the Hersey and Blanchard model is the idea that the leaders should help followers grow in maturity as far as they are able and willing to go.

Situational Leadership contends that strong direction (task behavior) with immature followers is appropriate if they are to become productive. Similarly, it suggests that an increase in maturity on the part of people who are somewhat immature should be rewarded by increased positive reinforcement and socio-emotional support (relationship behavior). Finally, as followers reach high levels of maturity, the leader should respond by not only continuing to decrease control over their activities but also continuing to decrease relationship behavior as well. With very mature people, the need for

²⁵Hersey and Blanchard, Management, op. cit., p. 153-154.

socio-emotional support is no longer as important as the need for autonomy. At this stage, one of the ways leaders can prove their confidence and trust in highly mature people to leave them more and more on their own. It is not that there is less mutual trust and friendship between leader and follower; in fact there is more, but it takes less supportive behavior on the leader's part to prove this to mature followers.²⁶

Hersey and Blanchard offer four observations that might be helpful for manager and leader as they attempt to assess maturity.

First, Hersey and Blanchard, citing the research of David C. McClelland, assert that

achievement-motivated people have certain characteristics in common, including the capacity to set high but obtainable goals, the concern for personal achievement rather than the rewards of success, and the desire to task-relevant feedback (how well am I doing?) rather than for attitudinal feedback (how well do you like me?)²⁷

Second, Hersey and Blanchard contend that there is no conceptual difference between education and/or experience. An individual can gain task-relevant maturity through education or experience or some combination of both. The only difference between the two is that when they are talking about education, they are referring to formal classroom experiences, and experience involves what is learned on one's own or on the job.²⁸

²⁶Ibid., p. 155-156.

²⁷Ibid., p. 157.

²⁸Ibid.

Third, Hersey and Blanchard argue that education and/or experience affects ability and that achievement-motivation affects willingness. As a result, in discussing maturity in terms of ability and willingness, they are suggesting that the concept of maturity consists of two dimensions: job maturity (ability) and **psychological maturity (willingness).**²⁹

Two terms used in discussions about leadership and followers are "job maturity" and "psychological maturity."

Job maturity is related to the ability to do something; it has to do with knowledge and skill. Individuals with high job maturity have the knowledge, ability, and experience to perform certain tasks without direction from others.

Psychological maturity is related to the willingness or motivation to do something. It has to do with confidence and commitment. Individuals who have high psychological maturity in a particular area or responsibility think that responsibility is important and have self-confidence and good feelings about themselves in that aspect of the job. They do not need extensive encouragement to get them to do something in this area.³⁰

Fourth, Hersey and Blanchard suggest that the leader look at the immaturity-maturity continuum of Chris Argyris, in which he contends that as people mature over time they move from a passive state to a state of increasing activity, from dependency on others to relative independence. Although

²⁹Ibid.

³⁰Ibid.

chronological age may be a factor, it is not directly related to maturity as used in Situational Leadership. Hersey and Blanchard are concerned more with psychological than chronological age.³¹ (See Appendix B.)

Hersey and Blanchard offer a model that is, for the most part, to be used proactively. The leader determines the maturity level of the follower and matches the leadership style to the maturity level of the follower. The correct matching will not only get the task done, but also move the follower on the road to greater maturity.

In this dissertation, the Situational Leadership model is used to analyze the behaviors of leaders in Shakespearean plays. The Hambleton, Blanchard, and Hersey "Manager's Rating Form" or the "Self-Rating" cannot be administered to Henry Bolingbroke, Enobarbus or any other Shakespearean characters who are being led in the plays. Results of such rating would reflect the maturity level of the followers. Then the Maturity Style Matching form could be used to see which type of leadership would have been appropriate in the particular situations that are portrayed in the plays.

In this dissertation, a careful analysis of the behavior, the actions, of characters in the play who are

³¹Ibid.

followers and a comparison with the components of maturity that Hersey and Blanchard suggest are used to identify their maturity level. Similarly, an analysis of the behavior of the leaders in the plays, is used to identify their leadership style (S1, S2, S3, S4). The analysis of the leadership style used by the Shakespearean leader with followers at a particular maturity level offers insight into why some of these leaders were successful and others failed.

C. SHAKESPEAREAN LEADERSHIP

Shakespeare did not set out to write his plays with characters whose behavior could serve as a model for effective leadership; rather his aims were to entertain, to make money, and to explore some of the ideas of his time. In his essay of introduction to G. Wilson Knight's The Wheel of Fire, T. S. Eliot warns about those who take the poetry of Shakespeare and attempt to find in their interpretation of the plays some philosophic justification in the plays.

Shakespeare will be still worse traduced, in being attributed with some patent system of philosophy of his own, esoteric guide to conduct, yoga-breathing or key to breathing.³²

Yet his plays are filled with leaders whose behavior challenges as well as reinforces notions of leadership.

³²T.S. Eliot, cited in G.W. Knight, The Wheel of Fire, (London: Humphrey Milford, 1937), p. xvi.

G.K. Knight, citing Dr. Hugh Brown, finds that in many of the plays, Shakespeare is exploring leadership as found in the role of king.

His natural ambition as a poet was to obtain absolute control over his own mental world, at this time a very turbulent dominion. His hero would therefore appear as a heroic and successful king.' This 'kingly ideal,' as he termed it, is important. The historical plays leave a powerful impression of kingly glory, kingly responsibility.³³

The morally reflective Macbeth and the bloodily amoral Richard III embody Lord Acton's quote: power corrupts and absolute power corrupts absolutely. Mark Antony, Henry Bolingbroke, Julius Caesar, Octavius (Caesar Augustus) embody Machiavelli's dictum about the fox and the lion.

Since a prince must of necessity know well how to use the beast, he ought of the beasts to pick the fox and the lion; for the lion cannot defend himself from snares, and the fox cannot defend himself from wolves. One needs, then, to be fox to know snares, and lion to terrify wolves.³⁴

A careful analysis and interpretation of the plays of Shakespeare identify five elements or themes necessary for effective leadership: imagination, eloquence, popularity, activism and tenacity. The degree to which a leader possesses and actuates all of these elements determines the level of his success as a leader.

³³Knight, Imperial Theme, op. cit., p. 2.

³⁴Niccolo Machiavelli, The Prince, translated by Leo Paul S. de Alvarez (Irving, Texas: University of Dallas Press, 1980), p. 107-08.

1. IMAGINATION

The Shakespearean leader has an imagination, a vivid vision of reality, rooted in the past but cognizant of potentialities. He is not a coldly analytic man who looks only at the facts, at "the bottom line." He has a vision akin to that described by Bennis and Nanus in Leaders.

Management of attention through vision is the creating of focus. All ninety people interviewed had an agenda, an unparalleled concern with outcome. Leaders are the most results-oriented individuals in the world, and results get attention. Their visions or intentions are compelling and pull people toward them. Intensity coupled with commitment is magnetic. And these intense personalities do not have to coerce people to pay attention; they are so intent on what they are doing that, like a child completely absorbed with creating a sand castle, they draw others in.³⁵

The Shakespearean leader has a keen sense of his own personal history and the history of his milieu. He understands his own role in the context of that history, yet has a sense of his ability to make history and to create new roles.

In making decisions, he scans the realm of possibilities of what can be so that he is not limited by the facts of the present nor the fear of the past and/or the future.

In subsequent chapters, the reader of this

³⁵Bennis and Nanus, Leaders, op. cit., p. 28.

dissertation will see Richard II trying to breathe life into a vision of kingship that has died,³⁶ Henry V sharing a vision powerful enough to conquer a seemingly invincible adversary, Coriolanus articulating a vision that is antithetical to the one held by the masses in Rome, Mark Antony losing his sense of focus because of personal lust, and Lear allowing anger to destroy his vision for a peaceful transition of power.

2. ELOQUENCE

Bennis and Nanus say, "Managers are people who do things right and leaders are people who do the right thing."³⁷ The effective Shakespearean leader not only does the right thing, but he also says the right things. He has the ability not only to articulate the vision, but to articulate the vision in such a way that others adopt the vision as their own.

Of the leaders analyzed in this dissertation, only Henry V is able to use his eloquence to initiate a major program (the conquest of France) and to inspire his followers at the battle of Agincourt to rally and overcome superior forces. Mark Antony's eloquence can sway a mob to

³⁶Calderwood, Metadrama in Shakespeare's Henriad, p. 19.

³⁷Bennis and Nanus, op. cit., p. 21.

support the second triumvirate and maintain the support of his followers for a time. Richard II cannot convince Bolingbroke and Mowbray to stop arguing, cannot arouse popular support for his wars, and cannot convince his nobles of his right to rule. Coriolanus' and Lear's power of oratory turns to invective, which alienates and divides rather than affirms and unites.

3. POPULARITY

The Shakespearean leader is trusted by his followers, and he trusts his followers. He realizes that what he wants to accomplish cannot be done by himself; the task will be achieved only if others join him and help him in the achievement of the goal.

Each of the characters analyzed here has this popularity but in varying degrees. Richard II has the loyalty of his counselors, Bushy, Bagot and Green, but not the support of the peers whose rights of inheritance he has threatened by confiscating John of Gaunt's lands and property nor the support of the commoners who are burdened with heavy taxes to maintain his wars. Coriolanus' disdain for the masses alienates him from all except his mother and wife. Mark Antony commands the loyalty of Enobarus and his other lieutenants until sexual passion so clouds his reason that they abandon him rather than face defeat. Lear commands the love and loyalty of Kent, Gloucester, the Fool

and his own knights but his irascibility strains even this loyalty. Only Henry V is able consistently to engage the loyal support of his followers.

4. ACTIVISM

The Shakespearean leader is not just a visionary, dreamer; he must be a man of action. He translates vision into practical plans and projects. He must set out to do something and do something significant: fight a major battle, regain lost kingdoms, gain new lands and glory. Often in the world of Shakespeare, these plans involve war.

Now in the history plays action in cause of values is expressed mostly by war. Therefore war, or warriorship is itself almost an ideal. . . . The king who shows little warriorship, like Richard II, tends to fail as king. So the perfect king, Henry V, is compact of warriorship and assertive 'honour', and his play blazes with an imaginative optimism and glorified boast of power which we find again, with differences, in the effects of Antony and Cleopatra.³⁸

Richard II fights the Irish wars, but loses them and his kingdom. Coriolanus is victorious at Corioli but cannot win the political campaign necessary to become consul of Rome. Mark Antony wins at Philippi but loses at Actium. Lear carefully plans for a peaceful transfer of power only to begin a process that precipitates a French invasion. Henry V plans his invasion of France and is victorious.

³⁸Knight, Imperial Theme, op. cit., p. 5.

5. TENACITY

Lastly, the Shakespearean leader must achieve success. He must have the ability to see his plans and projects through to successful completion. For Shakespeare success is measured in two ways. First, the goal has been achieved, the task completed. In addition, the leader has not only not lost any of his power and authority, but has gained greater power, authority and control. Success breeds success. Conversely, in Shakespearean plays, failed leaders pay dearly for their defeats; they die, sometimes violently.

Richard II sets out to conquer the Irish but must return to England to put down a rebellion, a rebellion that usurps his power and that, ultimately, claims his life. Coriolanus, successful in military adventures, desperately wants political power. Unable to win the support of the Roman masses, he becomes a traitor to his people and is killed by the very people he helped in the subjugation of Rome. Mark Antony finds love such a distraction that he cannot effectively lead his armies and navy. Feeling betrayed by Cleopatra, he commits suicide. Lear, whose careful plans for the peaceful transfer and division of power are set aside because of his anger with Cordelia, dies of a broken heart, a wiser but sadder man. Only Henry V is totally successful. "Thus Henry V marks the culmination

of the historical plays; and the protagonist, the highest splendour of kingly beauty."³⁹ For Knight, and other Shakespeare scholars, Henry V is the embodiment of kingship.

Richard III, moved by power-lust and desire for selfish glory, calls poetic vilification on his head and speedily wrecks himself. King John is far from being a good king, yet as lord of England he receives fairly high poetic approval. Richard II, careless of responsibility, trusts in his idealized kingship without recognizing that he himself is no real king; hence his fall. Henry IV gains his throne more or less unjustly, and yet by care and anxiety solicits our regard, and at times comes close to the essence of true kingship. But the issue is not decided until Henry V. Henry V is responsive to the divine responsibility he holds and also wholly glorified by temporal success.⁴⁰

These five elements--imagination, eloquence, popularity, activism, and tenacity--form the third framework for analysis in this dissertation. Henry V possesses all the elements in a high degree and is a model leader. The other characters possess some or all elements in varying degrees and are less successful, if not failed, leaders.

³⁹Ibid., p. 3.

⁴⁰Ibid., p. 7.

CHAPTER IV

RICHARD II: POSITIONAL POWER AND PERSONALITY

Upon the King! let us our lives, our souls,
Our debts, our careful wives,
Our children, and our sins lay on the King!
We must bear all, O hard condition,
Twin born with greatness, subject to the breath
Of every fool, whose sense no more can feel
But his own wringing. What infinite heart's-ease
Must Kings neglect that private men enjoy!

.....
What kind of god art thou, that suffer'st more
Of mortal griefs than do thy worshippers?

Henry V 4.1.247-54, 259-60

When neither their property nor their honor is
touched, the majority of men live content.

Machiavelli, The Prince¹

A. SUMMARY OF RICHARD II, AN HISTORICAL TRAGEDY

The Shakespearean audience would be well aware of the historical circumstances that led up to the action of the play. Edward III had seven sons: Edward, the Black Prince; Lionel, Duke of Clarence; John of Gaunt, Duke of Lancaster; Edmund, Duke of York; Thomas of Woodstock, Duke of Gloucester; and two sons who died at an early age.

In 1376, one year before Edward III died, his oldest son and heir apparent, Edward the Black Prince, died. When his father died, Richard at nine years of age was named

¹Machiavelli, op. cit., p. 111.

prince of Wales. One year later when his grandfather, Edward III, died, Richard at the age of ten became king. Although at first he was too young to rule, he gradually assumed more and more power. He showed extravagance, a difficult temper, and a liking of favorites. Therefore, in 1386, his uncle, Thomas Duke of Gloucester, and the Lords Appellant defeated and drove out the king's supporters and installed a noble council to control him. In 1389 Richard, now twenty-two, threw off their tutelage and ruled modestly and well for eight years. In 1397 he was strong enough for his revenge; the leaders of the Lords Appellant were seized and tried as traitors; Thomas Duke of Gloucester was killed (by unnamed assailants). Although the play strongly suggests that Richard had Thomas Mowbray and his men kill the Duke of Gloucester, no one has ever proved Richard's complicity in the plot. The audience attending Shakespeare's play would know all this historical information.²

The play Richard II begins with the quarrel between Henry Bolingbroke, the Son of John of Gaunt, and Thomas Mowbray, Duke of Norfolk, about who is responsible for the death of Gloucester. After much stalling King Richard

²John Palmer, Political and Comic Characters of Shakespeare (London: Macmillan & Company Ltd., 1961), p. 119.

resolves the conflict arbitrarily by exiling Mowbray for life and Bolingbroke for ten years (later reducing the sentence to six years). When the venerable John of Gaunt, Richard's uncle and father of Henry Bolingbroke, dies, Richard confiscates his property to pay for his Irish wars and then leaves England for Ireland.

Bolingbroke returns to claim his inheritance and takes Berkeley Castle, which the Duke of York, another uncle of Richard's and the designated regent, yields. The king returns to Wales, hears that his Welsh supporters have deserted him and that Bolingbroke has executed the king's favorites (and also lovers) Bushy and Greene. Accompanied by York's son, Aumerle, he withdraws to Flint Castle where Bolingbroke accepts his surrender. The first half of the play ends with a discussion between a gardener and Richard's Queen Isabel about the government of the garden state, England, and the possibility of the king's deposition.

In London, Richard relinquishes his crown to Bolingbroke, who sends him to the Tower. The Earl of Carlisle and Aumerle's plot to kill Bolingbroke, who has now proclaimed himself Henry IV, is foiled by York. Richard is transferred to Pomfret Castle, where he hears of Henry's coronation and is murdered by Sir Pierce of Exton.

B. THE CHARACTER OF RICHARD II

The "divine right of kings" has an ancient and venerable history. Saul, David, and Solomon were "God's anointed," each his representative on earth. Some of the Roman Emperors proclaimed themselves to be divine. In medieval England, even after Magna Carta, the English monarch had incredible power. (Later in this chapter, the role-expectation for a king will be explained more fully.) Yet "the English people can always be trusted to demonstrate that a sincere reverence for the monarchy is compatible with a distinctly uncivil treatment of the monarch."³

Still in the normal course of events, monarchs usually succeed in living out their life-long term of office. By Shakespeare's time, Richard had become a legendary figure, a "supreme example of the tragical fall of princes."⁴

Richard II did not realize that the times had changed; no longer would lords and commoners tolerate an absolute monarch. Richard's failure to recognize the shift in the social architecture of his time cost him his life as well as his throne.

³Ibid., p. 121.

⁴Ibid., p. 120.

In the play the character of Richard II is clearly defined.

His (Shakespeare's) main purpose is to exhibit in Richard the qualities which unfitted him to rule, to show his exquisite futility in dealing with public affairs, to present a play boy politician coping ineffectually with men seriously intent on the business of getting what they want, to contrast the man of imagination who lives unto himself with men of the world who adapt themselves to events.⁵

The play opens with a scene of high tension. Henry Bolingbroke, Duke of Hereford, son of John of Gaunt, has publicly accused Thomas Mowbray, Duke of Norfolk, of treason. Richard summons them for a hearing. First, Richard tries to reconcile them; that fails. Then he reluctantly makes arrangements for a trial by battle; then he cancels the trial by battle and exiles both, Mowbray for life, Bolingbroke for ten years. Then he reduces Bolingbroke's exile to six years. Although Richard talks tough, "We were not born to sue, but to command,"⁶ Shakespeare portrays him as "facing a political institution with which he is unable to cope successfully."⁷

In his introduction to the Penguin edition of Richard II Stanley Wells discusses how actors portray Richard in these opening scenes.

⁵Ibid., p. 121.

⁶Richard II, 1.1.196

⁷Palmer, op. cit., p. 124.

The actor has to decide how far he should suggest Richard's true personality under the kingly exterior. Richard's very inaction can be turned to account. Benson played him here as a luxurious loungeur, caressing and feeding his hounds in bored indifference. Gielgud created an impression of slyness, petty vanity, and callous indifference.^e

From the outset of the play we are confronted by a man of regal authority, but with a temperament ill-suited to rule, a man's whose indecisiveness on the one hand and his impetuosity on the other makes him an ineffective ruler. His sense of vision, his imagination, sets him apart from other men. His vision is that of the absolute monarch whose commands are unquestioned, his orders followed.

Others within the play do not have a high regard for Richard. As John of Gaunt, Richard's uncle, lies dying, he tries to make Richard aware of the serious situation in which he finds himself, a situation of grave illness.

Now He that made me knows I see thee (Richard) ill;
 Ill in myself to see, and in thee seeing ill.
 Thy death-bed is no lesser than thy land
 Wherein thou liest in reputation sick;
 And thou, too careless patient as thou art,
 Commit'st thy anointed body to the cure
 Of those physicians that first wounded thee.
 A thousand flatterers sit within thy crown,
 Whose compass is no bigger than thy head;
 And yet, (incaged) in so small a verge,
 The waste is no whit lesser than thy land.
 O, had thy grandsire with a prophet's eye
 Seen how his son's son should destroy his sons,

^eStanley Wells, editor, Richard II (New York: Penguin Books, 1987), p. 17-18.

From forth thy reach he would have laid thy shame,
 Deposing thee before thou wert possess'd,
 Which art possess'd now to depose thyself.
 Why, cousin, wert thou regent of the world,
 It were a shame to let this land by lease;
 But for thy world enjoying but this land,
 Is it not more than shame to shame it so?
 Landlord of England art thou now, not King,
 Thy state of law is bondslave to the law,
 And thou--

Richard II, 2.1.93-114

Before he is cut off by Richard, John states that a fatal illness brought on by flatterers besets the king, that King Edward, Richard's grandfather, would be ashamed to see that Richard has killed Edward's son, Thomas of Woodstock, that Richard is a greedy landlord renting his kingdom for personal gain. Richard is victimized by flatterers, is a murderer, and is irresponsible in the administration of the land. Richard's imagines that he has limitless power; his flatterers feed and re-inforce this warped vision of reality. It is easy to contrast the vision of Richard with that of John of Gaunt.

What was this kingdom, this land, that Richard was to administer? Adam had his Eden until through his sin he lost it. Richard had his England, and he ruined it. Compare John of Gaunt's description of England in Act II with the description given by the gardener in Act III.

This royal throne of kings, this scept'ed isle,
 This earth of majesty, this seat of Mars,
 This other Eden, demi-paradise,
 This fortress built by Nature for herself
 Against infection and the hand of war,
 This happy breed of men, this little world,
 This precious stone set in the silver sea,

Which serves it in the office of a wall
 Or as a moat defensive to a house,
 Against the envy of less happier lands,
 This blessed plot, this earth, this realm, this England.
Richard II, 2.1.40-50

This is the ideal kingdom, the re-embodiment of the garden of Eden. For Richard, England is merely a source of revenue for his foreign wars.

Later in the play, a gardener describes what has become of that garden England under the rule of Richard:

When our sea-walled garden, the whole land,
 Is full of weeds, her fairest flowers chok'd up,
 Her fruit-trees all unprun'd, her hedges ruin'd,
 Her knots disorder'd and her wholesome herbs
 Swarming with caterpillars.

.
 O, what a pity is it
 That he (Richard) had not so trimm'd and dressed his
 land
 As we this garden.

Richard II, 3.4.42-47, 56-8

What did Richard do to destroy his country? Quite simply his imagination created for him a vision of a limitlessly powerful ruler; he didn't realize the limitations of his power. At the beginning of the play he says: "We (the regal we) were not born to sue, but to command."⁹ Ironically he says this as he is trying to make Mowbray and Bolingbroke be friends: a futile endeavor. He commands, enlists the support of Gaunt, nearly begs; but the two refuse to be reconciled.

⁹Richard II, 1.1.196

This warped vision of kingship leads Richard to neglect his responsibilities as King. John of Gaunt tells the Duke of York:

This land of such dear souls, this dear dear land

 Is now leas'd out, I die pronouncing it,
 Like to a tenement or pelting farm.
 England, bound in with the triumphant sea,
 Whose rocky shore beats back the envious siege
 Of wat'ry Neptune, is now bound in with Shame
 With inky blots and rotten parchment bonds.

Richard II, 2.1.57, 59-64

A land that can withstand the ravages of sea has been subdued by debt.

In speaking to Richard himself, John of Gaunt says "Landlord of England art thou now, not king."¹⁰ Richard is not the guardian of his land and its people; he is not the faithful gardener nurturing his garden. Rather he is a greedy landlord mortgaging his holdings, incurring huge debts, and making his tenants pay the cost for his folly.

In addition to debasing his land and its people, Richard has killed his uncle, Thomas Woodstock, Duke of Gloucester; yet because he is King, no one dares challenge him. Again John of Gaunt, when taunted by Gloucester's widow, says:

God's is the quarrel; for God's substitute,
 His deputy anointed in His sight,
 Hath caus'd his death; the which if wrongfully,

¹⁰ Richard II, 2.1.112

Let Heaven revenge; for I may never lift
An angry arm against His minister.

Richard II, 1.2.37-41

Since Richard is convinced of his own invincibility, he feels that he need not listen to sage advice from his uncles, John of Gaunt and York. Rather he listens to his select few. And what they talk about is flattery, lechery, or foreign fashions.

It (his ear) is stopp'd with other flattering sounds,
As praises, of whose taste the wise are fond,
Lascivious metres, to whose venom sound
The open ear of youth doth always listen;
Report of fashions in proud Italy,
Whose manners still our tardy, apish nation
Limps after in base imitation.

Richard II, 2.1.17-23

Later Northumberland says:

The King is not himself, but basely led
By flatterers, and what they will inform,
Merely in hate, 'gainst any of us all,
That will the King severely prosecute
'Gainst us, our lives, our children, and our heirs.

Richard II, 2.1.241-245

When Bushy and Green, his confidants (and his lovers), are about to be condemned, Bolingbroke cites their crimes:

You have misled a prince, a royal king.
A happy gentleman in blood and lineaments,
By your unhappied and disfigur'd clean.
You have in manner with your sinful hours
Made a divorce betwixt his queen and him,
Broke the possession of a royal bed
And stain'd the beauty of a fair queen's cheeks.

Richard II, 3.1.8-14

Richard is not a popular king. The King is the king of the commoner as well as the nobles. Richard neglects his subjects. Richard comments on Bolingbroke's courting of the

commoners. Ironically, Bolingbroke's behavior that arouses the ire of Richard would be the appropriate behavior for Richard himself.

. . . Observ'd his courtship to the common people;
 How he did seem to dive into their hearts
 With humble and familiar courtesy.
 What reverence he did throw away on slaves,
 Wooing poor craftsmen with the craft of smiles
 And patient underbearing of his fortune,
 As 'twere to banish their affects with him.
 Off goes his bonnet to an oyster wench;
 A brace of draymen bid God speed him well
 And had the tribute of his supple knee,
 With "Thanks my countrymen, my loving friends."

Richard II, 1.4.23-33

Richard resents any courting of the masses; he himself seems to take them for granted as he heaps new taxes upon them.

More hath he spent in peace than they (his ancestors) in wars.

Richard II, 2.1.255

Richard really believes that his power is absolute. When he returns from the Irish wars to find that Bolingbroke is leading a rebellion in his own land and that the soldiers that Richard needs to quell the rebellion have left for home thinking that Richard is dead, he does not despair. Rather he reflects on the power of the king:

. . . when the searching eye of heaven is hid
 Behind the globe, that lights the lower world,
 Then thieves and robbers range abroad unseen
 In murders and in outrage boldly here;
 But when from under this terrestrial ball
 He fires the proud tops of the eastern pines
 And darts his light through every guilty hole,
 Then murders, treasons, and detested sins,

The cloak of night being pluck'd from off their backs
Stand bare and naked, trembling at themselves?

.
Not all the water in the rough rude sea
Can wash the balm off from an anointed king;
The breath of worldly men cannot depose
The deputy elected by the Lord.
For every man that Bolingbroke hath press'd
To lift shrewd steel against our golden crown,
God for his Richard hath in heavenly pay
A glorious angel; then, if angels fight
Weak men must fall, for Heaven still guards the right.
Richard II, 3.2.35-44, 56-64

Richard passionately believes that he is the "sun" who will scorch those that rebel against him. When Salisbury lists the names of the Lords that oppose him, he says:

I had forgot myself; am I not King?
Awake, thou coward majesty! Thou sleep'st.
Is not the King's name twenty thousand names?
Richard II, 3.2.83-85

Richard's vision of kingship ultimately leads to his own destruction. Too late Richard realizes the truth: a king is not divine, but is simply a man who exercises power.

Let's talk of graves, of worms, and epitaphs,
Make dust our paper and with rainy eyes
Write sorrow on the bosom of the earth.
Let's choose executors and talk of wills;
And yet not so; for what can we bequeath
Save our deposed bodies to the ground?
Our lands, our lives, and all are Bolingbroke's,
And nothing can we call our own but death,
And that small model of the barren earth
Which serves as paste and cover to our bones.
For God's sake, let us sit upon the ground,
And tell sad stories of the death of kings:
How some have been depos'd; some slain in war;
Some haunted by the ghosts they have depos'd;
Some poison'd by their wives; some sleeping kill'd;
All murdered; for within the hollow crown
That rounds the mortal temples of a king
Keeps Death his court, and there the antic sits,
Scoffing his state and grinning at his pomp,
Allowing him a breath, a little scene,

To monarchize, be fear'd and kill with looks,
 Infusing him with self and vain conceit
 As if this flesh which walls about our life
 Were brass impregnable, and humour'd thus
 Comes at the last and with a little pin
 Bores through his castle wall, and--farewell king!
 Cover your heads, and mock not flesh and blood
 With solemn reverence. Throw away respect,
 Tradition, form, and ceremonious duty;
 For you have but mistook me all this while.
 I live with bread like you, feel want,
 Taste grief, need friends: subjected thus,
 How can you say to me I am a king?

Richard II, 3.2.145-177

Stripped of his crown and all the trappings of power,
 Richard the man is left to look at himself in a mirror. He
 sees a human face and wonders how it inspired such
 subservience.

. . . Was this the face
 That every day under his household roof
 Did keep ten thousand men? Was this the face
 That, like the sun, did make beholders wink?
 Was this the face which fac'd so many follies
 That was at last out-fac'd by Bolingbroke?

Richard II, 4.1.281-286

Finally, as he sits in his cell waiting for the death
 that is sure to come, he reflects on the fickle nature of
 power and his wasted opportunities.

Thus I play in one person many people
 And none contented. Sometimes I am a king;
 Then treasons make me wish myself a beggar;
 And so I am. Then crushing penury
 Persuades me I was better when a king;
 Then am I king'd again: and by and by
 Think that I am unking'd by Bolingbroke,
 And straight am nothing. But whate'er I be,
 Nor I nor any man that but man is
 With nothing shall be pleas'd, till he be eas'd
 With being nothing. Music do I hear?
 Ha, ha! Keep time! How sour sweet music is
 When time is broke and no proportion kept!
 So is it in the music of men's lives.
 And here have I the daintiness of ear

To check time broke in a disordered string;
 But for the concord of my state and time
 Had not an ear to hear my true time broke.
 I wasted Time, and now doth Time waste me;
 For now hath Time made me his numb'ring clock;
 My thoughts are minutes; and with sighs they jar
 Their watches on unto mine eyes, the outward watch
 Whereto my finger, like a dial's point,
 Is pointing still, in cleansing them from tears.

Richard II, 5.5.31-54

Richard did not hear the change in the music of the time; relying on the imagined positional power that he thought was his, he wasted the time of his life and the time of his country.

In other plays, Shakespeare's characters also allude to Richard's "irresponsible and self-indulgent"¹⁰ nature. When Bolingbroke, now Henry IV, wants to warn his son, Prince Hal, of the dangers of the dissolute life, he delivers this caustic description of his predecessor:

The skipping King, he ambled up and down
 With shallow jesters and rash bavin wits,
 Soon kindled and soon burnt; carded his state,
 Mingled his royalty with cap'ring fools;
 Had his great name profaned with their scorns
 And gave his countenance, against his name,
 To laugh at gibing boys and stand the push
 Of every beardless vain comparative;
 Grew a companion to the common streets,
 Enfeoff'd himself to popularity;
 That, being daily swallowed by men's eyes,
 They surfeited with honey and began
 To loathe the taste of sweetness, whereof a little
 More than a little is by much too much.
 So when he had occasion to be seen,

¹⁰Maynard Mack and Robert W. Boynton, The First Part of Henry the Fourth (New York: Hayden Book Company, 1973), p. 2.

He was but as the cuckoo is in June,
 Heard, not regarded; seen, but with such eyes,
 As, sick and blunted with community,
 Afford no extraordinary gaze
 Such as is bent on sun-like majesty
 When it shines seldom in admiring eyes;
 But rather drows'd hung their eyelids down,
 Slept in his face and rend'ed such aspect
 As cloudy men use to their adversaries,
 Being with his presence glutted, gorg'd and full.

Henry IV, 3.2.60-84

Henry paints a picture of an unregal ("skipping") Richard whose association with fools and commoners and whose overexposure to the masses caused his downfall. The "popularity" that Henry IV is describing is the vulgar display of a self-indulgent monarch, the degradation of a ruler because he mingles with the masses. In this "popularity," there is no respect for the leader, no fellowship, no collegueship. It is the "popularity" of a monarch who is "slumming."

Richard, because of his wars, his taxes, his vanity, his promiscuity, is not a popular monarch. In one sense, he feels that to attempt even to court the common people would be out of place. Richard's vision of kingship puts him far above and beyond the common people and that is why he loathes Bolingbroke's "courtship of the common people." Richard is a character hero who is bound to fail because he realizes neither the limitations of his own position nor his own temperament.

Richard shows the fall of its hero as beginning at the opening of the play and undergoing acceleration near the middle, at a point marked by an agony of realization on

the hero's part that ruin and death press upon him. It also shows the rise of a rival as concurrent: As Richard falls from the kingship, Bolingbroke mounts toward it, and when Richard is murdered, Bolingbroke establishes himself on the throne. We thus see a man whirled down from the top of Fortune's wheel at the same actions of rise and fall, but not both for the hero.¹¹

The interaction between the person of Richard and his imagined regal authority are the essence of this play.

Shakespeare's Richard II is too often read as the tragedy of a private individual. Attention is focused upon Richard's personality and upon elements in his character which would have been just as interesting if he had never been called upon to play the part of a king. We are fascinated by the unfolding of his brilliant, wayward, and unstable disposition, his pathetic lapses from bright insolence to grey despair, the facility with which he dramatizes his sorrows and takes a wilfully aesthetic pleasure in his own disgrace. The political implications of the play are correspondingly neglected. And this is only natural. In all simplicity--and in essentials no tragedy was ever simpler--Richard II is the story of a sensitive, headstrong, clever, foolish man, graceless in prosperity, in calamity gracious. But this simple story has a setting and the setting is high politics. The fact that Richard is king not only enhances the pathos of his fall, but sets him in a political environment in which the dramatist is not seldom interested for its own sake.¹²

Richard is a victim of his own imagination, his own vision of a type of kingship that had gone out of fashion. By his words and his actions he articulates that vision so clearly that Bolingbroke and others rise up and reject him and his vision. His wars, taxes, promiscuity, and disdain for the common people destroy any chance that he had for

¹¹Willard Farnham, Shakespeare's Tragic Frontier (Berkeley: University of California Press), p.41.

¹²Palmer, op. cit., p. 118.

popularity (in the sense that we shall see it manifest in the character of Henry V in the next chapter).

Richard fails as a king, as a leader. Of course, in Shakespeare's world this reversal of fortune brings him to an insight into his own humanity and to his own personal redemption.

Richard II is also a tragedy that results in part from a conflict between the role and the person, the demands of the role and the limitations of personality. Richard II is also the tragedy of a person who misreads his followers. Richard II is also a tragedy of failed leadership style. Richard assumes a high task, low relationship style of leadership with some very mature followers. The conceptual frameworks that Getzels and Guba and Hersey and Blanchard developed offer insight into these two areas.

C. GETZELS AND GUBA'S NOMOTHETIC AND IDIOGRAPHIC DIMENSIONS OF SOCIAL BEHAVIOR

Getzels and Guba's Nomothetic and Idiographic Dimensions of Social Behavior offer a conceptual framework for understanding the type of conflict that is portrayed in Shakespeare's Richard II. They identify three types of conflict: Role-personality Conflicts, Role Conflicts, and

personality Conflicts.¹²

When the individual performs up to the expectations of the role, Getzels and Guba say that he has adjusted to the role; when the individual fulfills all his needs, they say he is integrated. The individual should be both adjusted and integrated, so that he may by one act fulfill both the nomothetic, or institutional, requirements, and the idiographic, or personal, requirements.¹³

Role-personality conflict occurs when there is a discrepancy between the pattern of expectations attached to a given role and the pattern of need-dispositions characteristic of the incumbent of the role.¹⁴

Role conflict occurs whenever a role incumbent is required to conform simultaneously to a number of expectations which are mutually exclusive, contradictory, or inconsistent. A principal may find himself in a role conflict if the school board expects the principal to be the one who "gets the teachers under control" and "gets them to toe the line," while the teachers expect the principal to be their advocate and mediator with the school board.

¹³Getzels and Guba, "Social Behavior and the Administrative Process," op. cit., p. 431-32.

¹⁴Ibid., p. 431.

¹⁵Ibid.

Personality conflict occurs as a "function of opposing needs and disposition within the personality of the role incumbent."¹⁶ Because the individual cannot maintain a stable relation with a given role, or because he habitually misperceives the expectations placed upon him, the individual is at odds with the institution.

No matter what the situation, the role is, in a sense, detached by the individual from its institutional context and function and is used to work out personal and private needs and dispositions, however inappropriate they may be to the goals of the system as a whole.¹⁷

What we see in Richard II is a role-personality conflict. We have already limned the personality of Richard. Two key concepts: the divine right of kings and the theory of "two bodies" are paramount to an understanding of the role expectations.

John Neville Figgis in his book The Divine Right of Kings outlines the key elements of this theory.

The theory of the Divine Right of Kings in its completest form involves the following propositions:

1. Monarchy is a divinely ordained institution.
2. Hereditary right is indefeasible. The succession to monarchy is regulated by the law of primogeniture. The right acquired by birth cannot be forfeited through any acts of usurpation, of however long continuance, by any incapacity in the heir, or by any act of deposition. So

¹⁶Getzels and Guba, "Social Behavior," op. cit., p. 432.

¹⁷Ibid.

long as the heir lives, he is king by hereditary right, even though the usurping dynasty has reigned for a thousand years.

3. Kings are accountable to God alone. Monarchy is pure, the sovereignty being entirely vested in the king, whose power is incapable of legal limitation. All law is a mere concession of his will, and all constitutional forms and assemblies exist entirely at his pleasure. He cannot limit or divide or alienate the sovereignty, so as in any way to prejudice the right of his successor to its complete exercise. A mixed or limited monarchy is a contradiction in terms.

4. Non-resistance and passive obedience are enjoined by God. Under any circumstances resistance to a king is a sin, and ensures damnation. Whenever the king issues a command directly contrary to God's law, God is to be obeyed rather than man, but the example of the primitive Christians is to be followed and all penalties attached to the breach of the law are to be patiently endured.¹⁸

That is the theory. To Shakespeare's audience the sacramental aspect of the monarchy was still very much alive but in a modified sense.

The English, in dealing faithfully with their kings for over a thousand years of history, have contrived to retain a mystical respect for the royal office without in any way forgoing their right of judgment on the royal person. The waters of the rough rude sea of English politics have washed the balm from a half dozen anointed kings without in any way detracting from the consecration of their successors. God save the King--but God help him if his subjects should find him troublesome. When the occasion arises--and it has arisen no less than four times since Richard died at Pomfret--the English people can always be trusted to demonstrate that a sincere reverence for monarchy is compatible with a distinctly uncivil treatment of the monarch. Nothing in fact so signally illustrates the force of English sentiment for persons who have left their country for their country's own good.¹⁹

¹⁸John Neville Figgis, The Divine Right of Kings (Gloucester, Mass.: Peter Smith, 1970), p. 5-6.

¹⁹Palmer, op. cit., p.121.

To the legalist, Richard was a martyr and his enforced abdication a sacrilege. To the Lancastrians his removal was a necessary act of divine providence. For all in the audience, Richard was a tragic symbol of the instability of human fortune.

This sacramental approach to the tragedy, which Shakespeare inherited and to which he gave exquisite humanity in the person of Richard, was an essential element in its contemporary appeal.²⁰

The other key concept, the "King's Two Bodies," is explained in Ernst H. Kantorowicz's The King's Two Bodies: A Study in Mediaeval Political Theology.

In Edmund Plowden's Reports, collected and written under Queen Elizabeth, Maitland found the first clear elaboration of that mystical talk with which the English crown jurists enveloped and trimmed their definitions of kingship and royal capacities.

. . . the crown lawyers assembled at Serjeant's Inn, all agreed: "that by the Common Law no Act which the King does as King, shall be defeated by his Nonage. For the King has in him two bodies, viz., a Body natural and a Body politic. His Body natural (if it be considered in itself) is a Body mortal, subject to all Infirmities that come by Nature or Accident, to the Imbecility of Infancy or old Age, and to the like Defects that happen to the natural Bodies of other People. But his Body politic is a Body that cannot be seen or handled, consisting of Policy and Government, and constituted for the Direction of the People, and the Management of the public weal, and this Body is utterly void of Infancy, and old Age, and other natural Defects and Imbecilities, which the Body natural is subject to, and for this Cause, what the King does in his Body Politic, cannot be invalidated or frustrated by any Disability in his natural Body."²¹

²⁰Palmer, op. cit., p. 120.

²¹ Edmund Plowden, Commentaries or Reports, London, 1816, as cited in Kantorowicz, op. cit., p. 7.

From this legalism, a whole series of involved, if not convoluted, rulings emerge:

Therefore, when the two bodies in the King are become as one Body, to which no Body is equal, this double Body, whereof the Body politic is greater, cannot hold in Jointure with any single one.

Yet (despite the unity of the two bodies) his Capacity to take in the Body natural is not confounded by the Body politic, but remains still.

Notwithstanding that these two Bodies are at one Time conjoined together, yet the Capacity of the one does not confound that of the other, but they remain distinct Capacities.

Ergo, The Body natural and the Body politic are not distinct, but united, and as one body.²²

According to this theory, the individual who was God's anointed certainly had adjusted to the role and achieves integration in it.

There were the "two bodies" studied by Kantorowicz, the mystical entity which never died and the physical being which underwent the normal human vicissitudes. Rex et sacerdos: at least until the eleventh century, kings commonly claimed to be both. Reservoir of justice, reservoir of mercy: he was both. But this dualism presented no difficulty to the single human being.

It was otherwise with the double source of his power. To the fundamental questions of what made a man a king, and by what right could he claim obedience-- there were two discordant, even irreconcilable, answers. He was king by right divine, dei gratia, enjoying (to borrow Ullmann's graphic distinction) a power descending upon him from above. But he was also a king chosen by his people, bound in a relationship of mutual duty, enjoying a power ascending to him from below.

From the ninth century onwards, the practical

²²Plowden Reports, 233a, 242a as cited in Kantorowicz, op. cit., p.12.

facts of a fragmented authority (feudalism) re-invigorated this second character of kingship by giving a political reality to his obligation to the governed. The people were subjects, committed to him and in his care. They were also vassals and counselors whom he was bound to consult in what touched all: quod omnes tangit ab omnibus approbetur was no less serious a concept for being a tag.

In the one capacity he is solely responsible to God, free of both control and punishment by an human agency, incapable of being sued for breaches of the law--strictly even incapable of being charged with any. In the other, he must observe the order acceptable to his subjects; he cannot touch their lives or property outside the established processes of the law, he must seek their advice, he cannot revoke grants and concessions once made, he can even be resisted and deposed. The dualism crops up in unexpected places. The very legalists who read virtual absolutism into theocratic kingship and the dicta that the prince's pleasure is law and his is legibus solutus, also came to treat the supposed lex regia, by which the people had allegedly bestowed upon their ruler a power originally theirs, as grounds for the ruler's responsibility to the ruled.²³

In addition to this dualism, Shakespeare's world is populated with multi-dimensional individuals.

It was somehow the essence of his (Shakespeare's) art to reveal the numerous planes active in any human being, to play them off against each other, to confuse them, or to preserve their equilibrium, depending all upon the pattern of life he bore in mind and wished to create anew.²⁴

Hamlet was a son, a scholar, a lover, and a prince; Macbeth was a thane, a warrior, a husband, a friend, a King. It is the tension between these roles that captivates the imagination.

²³Figgis, op. cit., p. xxxiii.

²⁴Kantorowicz, op. cit., p. 26.

Richard perceived his role as King to be one of infinite power. "Am I not King? . . . Is not the King's name twenty thousand names?"²⁵ He believes that as King no one can challenge his authority.

Not all the water in the rough rude sea
 Can wash the balm off from an anointed king;
 The breath of worldly men cannot despoise
 The deputy elected by the Lord.
 For every man that Bolingbroke hath press'd
 To lift shrewd steel against our golden crown,
 God for his Richard hath in heavenly pay
 A glorious angel; then, if angels fight,
 Weak men must fall, for Heaven still guards the right
Richard II, 3.2.54-62

Richard was wrong. The heavens could not protect one who used his power for his own gain (the confiscation of John of Gaunt's land and property, thereby depriving Bolingbroke of his inheritance), taxed unreasonably the masses for this foreign war, and roused feuds amongst the nobles.

The commons hath he pill'd with grievous taxes,
 And quite lost their hearts; the nobles hath he fin'd
 For ancient quarrels, and quite lost their hearts,

 More hath he spent in peace than they (his ancestors) in
 wars.

Richard II, 2.1.246-48, 255

These actions breached the "contract" that he uphold the law that touched their lives and their property.

His ordinary power he enjoys by agreement, by contract with his people, a contract embodied in the binding details because he is God's chosen instrument for the

²⁵Richard II, 3.2.83-85

governance of His people.²⁶

Richard's interpretation of his role as king did not meet the expectations of his subjects. This role-personality conflict was inevitable.

Richard desired to found an absolute monarchy, and to relieve the Crown of all the limitation, with which custom had fenced it about. The principle which animates the king is clear and definite. He acts not from caprice or he asserts the rights of kingship and attempts to render them secure for future ages.²⁷

Had Richard's role interpretation matched the role-expectation of his subjects, peers and commoners alike, had he realized that his role was an institutional given (not a divine right), that some behavior is required even though much is simply allowable, he might have survived. As it was, he was a victim of believing in a mythic role when a political role was expected.

C. HERSEY AND BLANCHARD'S THEORY OF SITUATIONAL LEADERSHIP

Hersey and Blanchard's theory of Situational Leadership is based on the interplay among three variables:

1. the amount of guidance and direction (task behavior) a leader gives; 2. the amount of socio-emotional support readiness ("maturity") level that the followers exhibit in performing a specific task, function, objective.²⁸

²⁶Kantorowicz, op. cit., p. xxxiv.

²⁷Figgis, op. cit., p. 77.

²⁸Hersey and Blanchard, Management, op. cit., p. 150.

Situational Leadership not only suggests the high probability leadership styles for various maturity levels, but it also indicates the probability of success of the other style configurations if the leader is unable to use the desired style.

Key to the understanding of this model is the definition of the follower's readiness or "maturity." This concept and the appropriate leadership styles were explained in detail in Chapter III and are portrayed on the Hersey and Blanchard chart in the appendix.

The successful situational leader will assess the maturity level of followers and behave as the model prescribes. Implicit in the Hersey and Blanchard model is the idea that the leaders should help followers grow in maturity as far as they are able and willing to go.

Situational Leadership contends that strong direction (task behavior) with immature followers is appropriate if they are to become productive. Similarly, it suggests that an increase in maturity on the part of people who are somewhat immature should be rewarded by increased positive reinforcement and socio-emotional support (relationship behavior). Finally, as followers reach high levels of maturity, the leader should respond by not only continuing to decrease control over their activities but also continuing to decrease relationship behavior as well. With very mature people, the need for socio-emotional support is no longer as important as the need for autonomy. At this stage, one of the ways leaders can prove their confidence and trust in highly mature people is to leave them more and more on their own. It is not that there is less mutual trust and friendship between leader and follower; in fact, there is more, but it takes less supportive behavior on the

leader's part to prove this to mature followers.²⁹

It is not difficult to ascertain Richard's leadership style. Richard is obviously operating from an S1 style (his behavior is high task, low relationship behavior with followers who are at the highest level of maturity (M4). His is to command not to ask:

We were not born to sue, but to command.

Richard II, 1.1.159

He exiles his cousins; he confiscates his uncle's "plate, coin, revenue, and moveables;"³⁰ he declares war on Ireland, leaves the country in the hands of his weakest uncle York as governor. He rules by edict. He may be able to tax the commons (M1s) with impunity; but when he takes on the counselors of the realm, he is asking for trouble. According to Hersey and Blanchard, S1 (telling style--high task and low relationship) style is appropriate with M1 (unable, and unwilling and insecure).

Those who rebel against Richard are M4s. Being of the royal family, they, too, are accustomed to rule. They are the best educated and the most confident. They are experienced political and military leaders. To treat them as incompetent and insecure, to try and strip them of their

²⁹Ibid., p. 155-156.

³⁰Richard II, 2.1.161

holdings, is a graphic example of the use of the wrong style of leadership, a style inappropriate because it is not matched to the level of maturity of the followers.

One might argue that in this type of organization, a monarchy S1 is the appropriate style because some would simplistically assume that monarchs are absolute rulers. As explained earlier in the chapter, the English monarchy did not give to the monarch total and absolute power; there were limitations. In any case, it is obvious that an S1 style did not work for Richard; and in the next chapter, Henry V is presented as succeeding because he is able to adjust his style to the maturity level of his followers.

E. OTHER LESSONS IN LEADERSHIP

CHECKING THE POWER BASE

The most obvious lesson in Leadership found in Richard II is that the leader must know the limitations of his power; he must know his base of support, the scope of his authority. Richard thought that he was an absolute ruler; he was not and suffered the consequences of his misperception. He could tax the commons; he could even get the country involved in a costly war; but when he challenged the inheritance laws of the peers of the realm, he had overstepped. Bolingbroke says:

If that my cousin king be King of England
It must be granted I am Duke of Lancaster.

You have a son, Aumerle, my noble cousin;
 Had you first died, and he been thus trod down,
 He should have found his uncle Gaunt a father
 To rouse his wrongs and chase them to the bay.
 I am deni'd to sue my livery here,
 And yet my letters patent give me leave.
 My father's goods are all distrain'd and sold,
 And these and all are all amiss employ'd.
 What would you have me do? I am a subject,
 And I challenge law. Attorneys are denied me;
 And therefore, personally I lay my claim
 To my inheritance of free descent.

Richard II, 2.3.122-135

As Machiavelli warns in The Prince "When neither their property nor their honor is touched, the majority of men live content."³¹ Threaten their property and their honor and the leader will be challenged.

SYCOPHANCY VS SINCERITY

Another lesson in leadership has to do with advisors, counselors, immediate subordinates. Richard surrounds himself with flatterers, sycophants. His servants and advisors, Bushy, Bagot, and Green, never challenge the king.

The King is not himself, but basely led
 By flatterers.

Richard II, 2.1.241-2

When Bolingbroke has Bushy and Green brought to him before they are executed, he lists the failures:

You have misled a prince, a royal king,
 A happy gentleman in blood and lineaments,
 By you unhappied and disfigur'd clean.
 You have in manner with your sinful hours
 Made a divorce betwixt his queen and him,
 Broke the possession of a royal bed

³⁰Machiavelli, op. cit., p. 111.

And stain'd the beauty of a fair queen's cheeks
 With tears drawn from her eyes by your foul wrongs.
 Myself, a prince by fortune of my birth,
 Near to the King in blood, and near in love
 Till you did make him misinterpret me,
 Have stoop'd my neck under your injuries,
 And sigh'd my English breath in foreign clouds,
 Eating the bitter bread of banishment;
 Whilst you have fed upon my signories,
 Dispark'd my parks and fell'd my forest woods,
 From my own windows torn my household coat,
 Raz'd out my imprese, leaving me no sign,
 Save men's opinions and my living blood,
 To show the world I am a gentleman.
 This and much more, much more than twice all this,
 Condemns you to the death.

Richard II, 3.1.8-29

Richard's advisors misled him, turned him against his own cousin, strained his marriage, and lived off the stolen goods of Bolingbroke. Richard needed loyal but also sincere and truthful counselors, men who could challenge Richard to deliberation before action, who could offer varying options for different situations, who could point out to him the limitations of his power. Unfortunately for Richard, Bushy, Bagot and Green were incapable and unwilling to be such advisors. Rather, blinded by their own greed, they did not warn Richard of the danger of the course of action that he was taking.

The lesson for the leader is obvious. The leader must surround himself with associates who are not afraid to tell the truth, to warn of danger, to challenge the plans and projects of the leader.

Richard II is the failed leader, a man who neither realized the limitations of his power nor understood the "maturity" of his subjects. In sharp contrast to Richard II is Henry V. In the next Chapter, Henry V, "the mirror of all Christian monarchs"⁵ will be presented.

⁵Henry V, 2.Prologue.6.

CHAPTER V
THE LIFE OF HENRY V
EDUCATION FOR LEADERSHIP

King Henry the Fifth, too famous to live long!
England ne'er lost a king of so much worth.
1Henry VI, 1.1.6-7

In Richard II, Shakespeare portrays a fallen king, a man who, although endowed with the powers of the crown, misuses them and then loses them. In Henry V, Shakespeare portrays the hero king, "the mirror of all Christian monarchs."¹ The progress from Prince Hal to King Henry occurs in Henry IV, Part One and Henry IV, Part Two; in Henry V, an archetypal king strides to center stage.

A. SUMMARY OF THE ACTION OF THE PLAYS IN WHICH HENRY APPEARS

The subject of Henry IV, Part One is the rebellion of the Percys, assisted by Douglas and in conjunction with Mortimer and Glendower, against Henry IV (Henry Bolingbroke from Richard II). The rebellion is quashed at the battle of Shrewsbury.

¹Henry V, 2.Prologue.6

It is in this play that Falstaff first appears. Hal, the Prince of Wales, carouses with him and his companions, Poins, Bardolph, and Peto. The young Prince and Poins plan a trick on Falstaff and the others. Falstaff, Bardolph, and Peto shall set upon some travellers at Gadshill and rob them. Then Hal and Poins, disguised, will in turn rob them. The plot succeeds, and Falstaff fabricates an explanation for the loss of the loot.

At the battle of Shrewsbury, Prince Hal kills Hotspur in a heroic single combat, and then finds Falstaff pretending to be dead. After Hal leaves, Falstaff claims that he killed Hotspur.

Henry IV, Part Two deals with the rebellion of Archbishop Scroop, Mowbray, and Hastings. A comic subplot in the play deals with actions of Falstaff and Hal. The tension between the serious father, Henry IV, and the dissolute son, Prince Hal, dissipate as the King nears his death. Father and son are reconciled.

Henry V opens with the newly crowned Henry astonishing clergy and the court with his piety and statecraft. The Archbishop of Canterbury demonstrates, in a long and detailed "Salic Law" speech, Henry's claim to the throne of France. The Dauphin of France's mocking gift of tennis balls gives the new King an immediate pretext for an invasion. Henry discovers three traitors, Scroop, Grey, and

Cambridge, and has them executed before he sets out for France.

In France, he besieges and captures the walled city of Harfleur. On the night before the crucial battle at Agincourt, the King walks among his men. The next morning, he delivers his rousing "Crispin Crispian" speech. The French are crushed, and the English and Henry V celebrate their victory.

The last act of the play deals with Henry's wooing of Katherine of France.

B. THE CHARACTER OF HENRY V

Shakespeare carefully defines the character of Henry over the course of several plays. An analysis of what other characters say about Henry and of Henry's own speeches and actions presents a vivid portrayal of Shakespeare's model leader. He is in the words of G. Wilson Knight "the highest splendour of kingly beauty."² His imagination, his sense of vision, leads him as the Prince of Wales to a unique program of preparation for leadership, kingship. As king, his imagination has him envision an extended kingdom.

His eloquence both as Prince and King touches the

²G. Wilson Knight, Imperial Theme, op. cit., p. 3.

hearts and minds of those around him. His ability to win the admiration and respect of his subjects, particularly at Agincourt, demonstrates his popularity with his subject: he is at once their leader and their collaborator. Finally, he translates his vision into a campaign of conquest, an expedition that ends in victory. The descriptions of others as well as his own words and actions demonstrate that Henry V is a man of imagination, eloquence, popularity, activism, tenacity.

As he consolidates his position as King, Henry IV is keenly aware of his son's activities. His concern for his son is twofold: Hal is his son, albeit a prodigal one; Hal is also his successor to the crown. Amid the deposition of Richard and the rebellion of the Percys, Hal is still on the mind of Bolingbroke. In Richard II after Bolingbroke has deposed Richard II, he inquires about his son whose behavior is less than regal.

Can no man tell me of my unthrifty son?
 'Tis full three months since I did see him last.
 If any plague hang over us, 'tis he.
 I would to God, my lords, he might be found.
 Inquire at London, 'mongst the taverns there,
 For there, they say, he daily doth frequent,
 With unrestrained loose companions,
 Even such, they say, as stand in narrow lanes
 And beat our watch and rob our passengers;
 Which he, young wanton and effeminate boy,
 Takes on the point of honour to support
 So dissolute a crew.

Richard II, 5.3.1-12

His father knows that his son consorts with ruffians in taverns. In his warrior father's eyes, he is undisciplined

and unmasculine. Percy says that, when he saw Hal and told him of his father's triumphs, Hal replied that he was off to the stews (whorehouses). Bolingbroke listens and then reflects on his son, hoping that he may grow out of this dissolute stage:

As dissolute as desperate; yet through both
I see some sparks of better hope, which elder years
May happily bring forth.

Richard II, 5.3.19-21

In the opening scene of Henry IV, Part One, Henry IV is still embroiled in stamping out rebellions among the Welch and Scots. When Northumberland describes how his own son Hotspur won a victory over the Scots and captured Murdoch the Earl of Fife and the eldest son of Douglas, Henry compares his son to Hotspur and is saddened by the contrast.

Yea, there thou mak'st me sad, and mak'st me sin
In envy that my Lord Northumberland
Should be the father to so blest a son;
A son who is the theme of Honour's tongue,
Amongst a grove the very straightest plant;
Who is sweet Fortune's minion and her pride.
Whilst I, by looking on the praise of him,
See riot and dishonour stain the brow
Of my young Harry. O that it could be prov'd
That some night-tripping fairy had exchang'd
In cradle-clothes our children where they lay
And call'd mine Percy, his Plantagenet.

Henry IV, 1.1.78-89

The irony of the lines is that within a very short time, Hotspur will be one of the leaders of the rebellion fighting to usurp Henry.

In Act III, with the rebellion in full swing, Henry calls his son in for a private chat. He begins by saying what many a father has thought about his rambunctious son--that the son must be a heaven-sent punishment for past sins:

Make me believe that thou art only mark'd
For the hot vengeance and the rod of heaven
To punish my mistreadings."

1Henry IV, 3.2.9-11

When Hal tries to make excuses and ask pardon, Henry sweeps Hal's comments aside and catalogs his son's transgressions. He begins with Hal's failure to be part of the life of the court:

Thy place in council thou has rudely lost,
Which by thy younger brother is suppli'd,
And art almost an alien to the hearts
Of all the court and princes of my blood.

1Henry IV, 3.2.32-35

Hal is seen cavorting with ruffians so often that people forget that he is a prince or they write him off as a lost cause:

For thou has lost thy princely privilege
With vile participation.

1Henry IV, 3.2.86-87

In a most caustic comment, Henry compares his son to Richard II in his unconcern for the affairs of state.

For all the world
As thou art to this hour was Richard then
When I from France set foot at Ravenspurgh,
And even as I was then is Percy now.
Now, by my sceptre and my soul to boot,
He (Hotspur) hath more worthy interest to the state
Than thou, the shadow of succession.

1Henry IV, 3.2.93-99

Henry concludes with the greatest insult--that Hal out of base fear, base character and anger might be suborned by Hotspur to join the rebellion:

Why, Harry, do I tell thee of my foes,
Which art my near'st and dearest enemy?
Thou, that art like enough, through vassal fear
Base inclination, and the start of spleen
To fight against me under Percy's pay,
To dog his heels and curtsy at his frowns,
To show how much thou are degenerate.

Henry IV, 3.3.122-128

Hal promises to make amends for his past misadventures by vowing to challenge and subdue Hotspur. The King accepts the vow and then turns to affairs of state.

Henry takes Hal with him to confront the rebels. Hal challenges Hotspur to single combat. In the ensuing Battle, Hal although wounded, saves the King from death at the hands of Douglas, and kills Hotspur. By the end of Henry IV, Part One, Prince Hal has begun to assume his heroic role.

In Henry IV, Part Two, the rebellion continues, Hal returns to consorting with Falstaff and his friends, and Henry continues to worry about his prodigal son and the future of his kingdom. After finding out that Hal is back with Falstaff and the others, Henry tells one of his other sons, Thomas of Clarence, not to neglect Hal, after his (Henry's) death. Revealing a side of Hal we have not seen, Henry commends Hal, a man of many moods to his brother.

He hath a tear for pity, and a hand
Open as day for melting charity;
Yet not withstanding, being incens'd, he is flint,

As humorous as winter, and as sudden
 As flaws congealed in the spring of day.
 His temper, therefore, must be well observ'd.
 Chide him for faults, and do it reverently
 When you perceive his blood inclin'd to mirth;
 But, being moody, give time and scope
 Till that his passions, like a whale on ground,
 Confound themselves with working.

2Henry IV, 4.4.30-40

When the King discovers that Hal is still socializing with Falstaff and Poins, he reflects on the darker side of Hal's nature, a nature much like the King's in youth, and on the dismal future for his kingdom.

Most subject is the fattest soil to weeds,
 And he, the noble image of my youth,
 Is overspread with them; therefore my grief
 Stretches itself beyond the hour of death.
 The blood weeps from my heart when I do shape
 In forms imaginary th' unguided days
 And rotten times that you shall look upon
 When I am sleeping with my ancestors.
 For when his headstrong riot hath no curb,
 When rage and hot blood are his counsellors,
 When means and lavish manners meet together,
 O, with what wings shall his affections fly
 Toward fronting peril and oppos'd decay!

2Henry IV, 4.4.54-66

Henry fears the destruction of his kingdom by a man of unrestrained passion. In spite of Warwick's attempts to defend Hal, Henry remains skeptical.

In the very next scene, while Henry IV lies dying, Hal takes his crown and goes to another room. When he returns, the king utters a dismal prophecy about the coming reign of Henry V.

Harry the Fifth is crown'd. Up, vanity!
 Down, royal state! All you sage counsellors, hence.
 And to the English court assemble now,
 From every region, apes of idleness!

Now, neighbour confines, purge you of your scum!
 Have you a ruffian that will swear, drink, dance,
 Revel the night, rob, murder, and commit
 The oldest sins the newest kind of ways?
 Be happy, he will trouble you no more.
 England shall double gild his treble quilt,
 England shall give him office, honour, might;
 For the fifth Harry from curb'd license plucks
 The muzzle of restraint, and the wild dog
 Shall flesh his tooth on every innocent.
 O my poor kingdom, sick with civil blows!
 When that my care could not withhold thy riots,
 What wilt thou do when riot is thy care?
 O, thou wilt be a wilderness again,
 Peopled with wolves, the old inhabitants!

2Henry IV, 4.5.120-138

Henry fears that every ruffian and crook will rule with Harry and destroy the kingdom. Hal assures his father that he will change for the better once he is king. Henry dies having given his son his blessing.

Henry's feelings about his son are clearly ambivalent. He loves his son and recognizes the goodness that is Hal's, but worries about his inclination to passion. Henry knows about the requirements of the role of king, yet he worries that that undisciplined character, his association with venal ruffians, and his lack of understanding of court life will bring about disaster when he becomes king.

In Henry IV, Part One and Henry IV, Part Two other characters present us with other interpretations of Hal and his behavior.

For Falstaff, Hal has been companion in reveling. He eagerly awaits the day that Hal will become king so that he and his companions can carouse with impunity.

Marry then, sweet wag, when thou art king, let not us that are squires of the night's body be called thieves of the day's beauty. Let us be Diana's foresters, gentlemen of the shade, minions of the moon; and let men say we be men of good government, being govern'd, as the sea is, by our noble and chaste mistress the moon, under whose countenance we steal.

1Henry IV, 1.2.26-32

Hotspur, Hal's foil in the play, has heard of the wanton and extravagant life style of the Prince of Wales. When told that that the King approaches with his army, Hotspur inquires:

He shall be welcome too. Where is his son,
The nimble-footed madcap Prince of Wales,
And his comrades, that daff'd the world aside
And bid it pass?

1Henry IV, 4.1.94-97

When told by Vernon of Hal's challenge of single combat and that his wanton behavior masks a better character, Hotspur replies:

I think thou are enamoured
Of his follies. Never did I hear
Of any Prince so wild a liberty.

1Henry IV, 5.2.70-72

Even as they begin the fight in which Hotspur will be killed by Hal, Hotspur taunts him:

. would to God
Thy name in arms were now as great as mine!
.
I can no longer brook thy vanities!

1Henry IV, 5.4.69-70, 74

Hotspur goes to his death underestimating the determination and strength of Hal.

Only Sir Richard Vernon, a co-conspirator with the percys, seems to have a high regard for Hal. When telling Hotspur that Hal accompanies the King into battle, Vernon describes Hal as the paragon of chivalric knighthood:

I saw young Harry with his beaver on,
His cuisses on his thighs, gallantly arm'd
Rise from the ground like feathered Mercury,
And vaulted with such ease into his seat
As if an angel dropp'd down from the clouds
To turn and wind a fiery Pegasus
And witch the world with noble horsemanship.

1Henry IV 4.1.104-110

When telling Hotspur of the challenge to single combat, he describes Hal as a young man of princely virtue:

I never in my life
Did hear a challenge urg'd more modestly,
Unless a brother should a brother dare
To gentle exercise and proof of arms.
He gave you all the duties of a man,
Trimm'd up your praises with a princely tongue,
Spoke your deservings like a chronicle,
Making you ever better than his praise
By still dispraising praise valued with you;
And, which became him like a prince indeed.
He made a blushing cital of himself,
And chid his truant youth with such a grace
As if he mast' red there a double spirit
Of teaching and of learning instantly.
There did he pause; but let me tell the world,
If he outlive the envy of this day,
England did never owe so sweet a hope,
So much misconstrued in his wantonness.

1Henry IV, 5.2.52-6

His only other defender is the Earl of Warwick, a loyal counselor to Henry IV. When Henry IV worries about

the state of of the kingdom under the misrule of his unrestrained passion, Warwick defends Hal.

My gracious lord, you look beyond him quite.
 The Prince but studies his companions
 Like a strange tongue, wherein, to gain the language,
 'Tis needful that the most immodest word
 Be look'd upon and learn'd; which once attain'd
 Your Highness knows, comes to no further use
 But to be known and hated. So, like gross terms,
 The Prince will in the perfectness of time
 Cast off his followers, and their memory
 Shall as a pattern or a measure live,
 By which his Grace must mete the lives of others
 Turning past evils to advantage.

2Henry IV, 4.4.67-77

Warwick tells the king that it is only a stage that Hal will grow out of in time, benefiting from the experience.

Maynard Mack looks as Henry IV, Part One as a preparatory stage:

If the leading business of the play is the maturing of the Prince in preparation for creative kingship, then its last three scenes show how fully he has mastered its three worlds of court, field, and tavern. We know how far he has come and where he will go as we see him in action on the Shrewsbury battlefield, a commanding presence who makes no claims to being such, unlike his father earlier in the play. In V, iii, the counterfeiting machinations of the King are set along side the moving but vain glorious heroics of Douglas and Blunt, the unbounded assurance of Hotspur that "Our soldiers stand full fairly for the day" and the anti-heroic hide-saving of Falstaff. In contrast, the brief appearance of the Prince, with his instinctive feel for the dangers and needs of the situation and his clear understanding that mockery and buffoonery are out of place ("What, is it a time to jest and dally now?"), shows how different he is from all the rest.

In scene iv he physically dominates the action. He is all energy and decision: his wounds mean nothing, ("a shallow scratch"); he fights so fiercely that even

Douglas flees; he saves his father's life, praises his brother's valor, keeps track of allies in need. The crowning of the scene is the triumphant Prince astride the fallen Hotspur, gazing at the counterfeit Falstaff, magnanimous to both, but keenly alive to their grievous personal failings. Scene v completes the picture of the grown-up Prince in a still imperfect, war-filled world: courtly, valorous, strong-minded, and great of heart.³

The characters do not present a uniform characterization of Hal in Henry IV, Part One and Henry IV, Part Two. Hal's own words and actions as indicators of his character present a better and more complete understanding of his character.

In Act I, scene ii of Henry IV, Part One, Hal is introduced to the audience in the company of Falstaff and Poins, rogues who are planning a robbery. At the end of the scene after Falstaff and Poins have left, he reveals his thoughts in a soliloquy.

Yet herein will I imitate the sun,
 Who doth permit the base contagious clouds
 To smother up his beauty from the world,
 That when he please again to be himself
 Being wanted, he may be more wond'ered at
 By breaking through the foul and ugly mist
 Of vapours that did seem to strangle him.
 If all the year were playing holidays
 To sport would be as tedious as to work;
 But when they seldom come, they wish'd for come,
 And nothing pleaseth but rare accidents.
 So, when this loose behavior I throw off
 And pay the debt I never promised,
 By how much better than my word I am,
 By so much shall I falsify men's hopes;
 And like bright metal on a sullen ground
 My reformation, glitt'ring o'er my fault,

³Maynard Mack and Robert W. Boyton, The First Part of Henry the Fourth, op. cit., p. 122.

Shall show more goodly and attract more eyes
 Than that which hath no foil to set it off.
 I'll so offend, to make offense a skill,
 Redeeming time when men think least I will.

1Henry IV, 1.2.220-240

His explanation for his association with these rogues is quite simple. He will wear this mask of frivolity to cloak his seriousness so that when he does reform, his transformation may be all the more amazing.

Hal deceives not only his father but his rogue companions. When Falstaff and the others plan a robbery, Hal and Poins disguise themselves and rob Falstaff. This trickery turns the tables on Falstaff and makes him look the fool.

Amid all the trickery and deception, his courage is always evident. When Falstaff asks Hal if he is not afraid of "that fiend Douglas, that spirit Percy, and that devil Glendower," replies, "Not a whit."⁴

Hal fearlessly challenges Hotspur to single combat to save the needless loss of life on both sides.

I am content that he shall take the odds
 Of his great name and estimation,
 And will, to save the blood on either side,
 Try fortune with him in a single fight.

1Henry IV, 5.2.197-100

⁴1Henry IV, 2.4.404-5, 410

In the closing scenes of Henry IV, Part One, Hal's valor is heroic in proportion. The Lord of Westmoreland urges the wounded Prince Hal to retire to his tent. Hal replies:

Lead me, my Lord? I do not need your help;
 And God forbid a shallow scratch should drive
 The Prince of Wales from such a field as this
 Where stain'd nobility lies trodden on,
 And rebels' arms triumph in massacres!

1Henry IV, 5.4.9-13

Not only is Hal courageous but he also understands his duties as the heir apparent. Minutes later on the field of battle when his father is in danger of being killed by Douglas, Hal enters and saves his father's life by driving off Douglas. Hal's courage is evident to all, particularly his father.

Thou hast redeem'd thy lost opinion,
 And show'd thou mak'st some tender of my life
 In this fair rescue thou hast brought to me.

1Henry IV, 5.4.48-50

In this same scene Hal confronts and kills Hotspur.

By saving his father's life and killing Percy, Hal has fulfilled the vow made to his father when in Act III the king had questioned his loyalty.

Do not think so; you shall not find it so:
 And God forgive them that so much have sway'd
 Your Majesty's good thoughts away from me!
 I will redeem all this on Percy's head,
 And in the closing of some glorious day
 Be bold to tell you that I am your son:
 When I will wear a garment all of blood
 And stain my favours in a bloody mask,
 Which, wash'd away, shall scour my shame with it.

.
 If not, the end of life cancels all bands;

And I will die a hundred thousand deaths
Ere break the smallest parcel of this vow.

1Henry IV, 3.2.129-137, 157-159

In Henry IV, Part Two, the rebellion continues and, as we have seen, so do Henry's concerns about his son's readiness to assume his role as king. Yet the King should not fear. A key soliloquy, as the King sleeps, shows that he is ready to assume the rigors and restrictions of the office of king. Taking the crown into his hands, he reflects on the burdens of office and his readiness to assume its responsibilities. He addresses his sleeping father:

Thy due from me
Is tears and heavy sorrows of the blood,
Which nature, love, and filial tenderness
Shall, O dear father, pay thee plenteously.
My due from thee is this imperial crown,
Which, as immediate from thy place and blood,
Derives itself to me. (He puts on the crown)
Lo, here it sits,
Which God shall guard; and put the world's whole
strength
Into one giant arm, it shall not force
This lineal honour from me. This from thee
Will I to mine leave, as 'tis left to me.

2Henry IV, 4.5.37-47

Shortly afterwards, Hal and his father are reconciled; the king dies knowing that his son will rule wisely and well.

In Henry V he is ruling well, much to the amazement of members of the court. In the very first scene, the Archbishop of Canterbury's comment represents the general reaction to the new monarch.

The courses of his youth promis'd it not.

The breath no sooner left his father's body,
 But that his wildness, mortifi'd in him,
 Seem'd to die too; yea, at that very moment
 Consideration like an angel came
 And whipp'd th' offending Adam out of him,
 Leaving his body as a paradise
 T' envelop and contain celestial spirits.
 Never was such a sudden scholar made;
 Never came reformation in a flood
 With such a heady currance, scouring faults;
 Nor never Hydra-headed wilfulness
 So soon did lose his seat, and all at once,
 As in this king.

.
 Hear him debate of commonwealth affairs
 You would say it hath been all in all his study;
 List his discourse of war, and you shall hear
 A fearful battle rend' red you in music;
 Turn him to any cause of policy,
 The Gordian knot of it he will unloose,
 Familiar as his garter; that, when he speaks,
 The air, a charter'd libertine, is still
 And the mute wonder lurketh in men's ears
 To steal his sweet and honey'd sentences;
 So that the art and practice part of life
 Must be the mistress to this theoric:
 Which is a wonder how his Grace should glean it,
 Since his addiction was to courses vain,
 His companies unletter'd, rude, and shallow,
 His hours fill'd up with riots, banquets, sports,
 And never noted in him any study,
 Any retirement, any sequestration,
 From open haunts, and popularity.

Henry V, 1.1.23-36; 41-59

The promised transformation has taken place; no more the
 playboy prince, Hal has taken charge of his kingdom.

Following his father's advice:

Be it thy course to busy giddy minds
 With foreign quarrels,

2Henry IV, 4.5.214-215

Henry V lays claim to certain lands in France.

The French do not take Henry seriously: his reputation for profligacy is well-known in France. The Dauphin sends him tennis balls, suggesting that Henry might be better suited to playing tennis than laying claims in foreign lands.

In a subsequent scene, the Dauphin, while urging war against the English, indicates there is no need to worry about defeat because the country lacks a sound leader.

For, my good liege, she (England) is so idly king'd
Her sceptre so fantastically borne
By a vain, giddy, shallow, humorous youth
That fear attends her not.

Henry V, 2.4.26-29

Not all the French are misled by the reputation of the wayward Prince become king. The Constable of France warns:

You are too much mistaken in this king:
Question your grace the late ambassadors
With what great state he heard their embassy,
How well supplied with noble counselors
How modest in exception, and withal
How terrible in constant resolution
And you shall find his vanities forespent
Were but the outside of the Roman Brutus
Covering discretion with a coat of folly
As gardeners do with ordure hide those roots
That shall first spring and be most delicate

Henry V, 2.4.30-40

Unfortunately for the French, the Constable is correct. Henry V is not the ill-famed Prince Hal. Henry handles decisively the plot hatched by the Earl of Cambridge, Lord Scroop and Sir Thomas Grey, launches the invasion of France, directs the siege and ultimate capture

of Harfleur, inspires the troops at Agincourt with his eloquence, and negotiates the peace and his own marriage. Henry is the visionary, eloquent, popular, decisive, and effective leader. "This star of England"⁵ rules supreme.

C. GETZELS AND GUBA'S NOMOTHETIC AND IDIOGRAPHIC DIMENSIONS OF SOCIAL BEHAVIOR

Clearly Prince Hal, and then later Henry V, surprised many with his ability to lead. His father, upset with Hal's cavorting with Falstaff and Poin and his neglect of court life, expects a disastrous reign. Hotspur and the rebellious Percys doubt his courage. The Dauphin and the French assume that he wastes his time in frivolous activities such as tennis rather than affairs of state. Obviously, Hal's behavior is not what was expected of the Prince of Wales, the heir to the throne. Hal is not living up to their role-expectations.

In Chapter III, Getzels and Guba's Nomothetic and Idiographic Dimensions of Social Behavior were discussed as a conceptual framework for examining leaders in conflict. They identify three types of conflict: Role-personality Conflicts, Role Conflicts, and Personality Conflicts.⁶

⁵Henry V, Epilogue.6

⁶Getzels and Guba, "Social Behavior and the Administrative Process," op. cit., p. 431-32.

When the person performs up to the expectations of the role, Getzels and Guba say that he has adjusted to the role; when the person fulfills all his needs, they say he is integrated. The successful leader should be both adjusted and integrated, so that he may by one act fulfill both the nomothetic, or institutional, requirements, and the idiographic, or personal requirements.⁷ Although at first Hal does not seem to live up to the role expectations of his father and others, Henry V is a successful leader because he does fulfill the institutional requirements and, at the same time, satisfies his own needs for successful personal intergration.

What is portrayed in the plays is an apparent **role-personality conflict**. "Role-personality conflict occurs when there is a discrepancy between the pattern of expectations attached to a given role and the pattern of need-dispositions characteristic of the incumbent of the role."⁸ In the mind of Henry IV and others, there seem to be clear expectations for the role of Prince of Wales as well as that of monarch.

As seen in Chapter III, the roles within institutions are crucial, for they are the "structural elements defining

⁷Getzels and Guba, Ibid., p. 421.

⁸Ibid.

the behavior of the role incumbents or actors."⁹ Getzels and Guba make several generalizations about the nature of roles.

First, roles represent positions, offices, or statuses within the institution. Everyone in the plays agrees that Prince of Wales (heir apparent) and king are defined positions.

Second, roles are defined in terms of role expectations; that is, each role has normative rights and duties. When the actor puts these rights and duties into effect, then he is performing his/her role. In Chapter IV, an analysis was made of two particular aspects of role-expectations for an English king, The Divine Right of Kings and The King's Two Bodies. In this chapter, two other sources of expectations are examined. Machiavelli's The Prince and the writings of Desiderius Erasmus, specifically, The Education of a Christian Prince and In Praise of Folly. Both of these writers' works were known to Shakespeare and his audience and form a background for the expectations for Hal set forth in the play.¹⁰

⁹Ibid., p. 426.

¹⁰Wyndham Lewis, The Lion and the Fox (New York: Barnes and Noble, Inc., 1964) and Russell Fraser, Young Shakespeare (New York: Columbia University Press, 1966).

Third, roles are **institutional givens**; that is, they are the paradigms or blue prints of what should be done without reference to the particular individuals who assume the roles. Certainly Henry IV has in his mind a paradigm of what ought to be done by a monarch. The analysis in Chapter IV demonstrated Richard II's inability to live up to this paradigm (his violation of the laws of inheritance, his not protecting the rights of the nobles) that brought about his downfall. In the *Henriad*, although his early conduct causes some concern, Hal ultimately embodies the model king.

Fourth, the behaviors associated with a role may be thought as lying along a **continuum from "required" to "prohibited."** Certain expectations are crucial, and the appropriate behavior absolutely required. Other behaviors are absolutely forbidden. Between these two extremes lie behaviors that would be recommended or mildly disapproved but permissible. As Henry IV assesses his son's misadventures, he deems much of what Hal does as far from the required (his absence from court) and mostly prohibited (consorting with charlatans). As the plays progress, however, Hal shuns his Falstaff and performs the compulsory courageous military behavior, challenging France's right to lands claimed by the English, leading a major, victorious military campaign, and diplomatically resolving an international conflict by his marriage to Katherine.

Lastly, roles are **complementary**; that is, the roles are interdependent in that each role derives its meaning from other related roles in the institution. Getzels and Guba use the example of roles for a sergeant and a private or teacher and student; their roles cannot be defined or implemented except in relation to each other.¹¹ Hal is involved in several complementary roles: he is son to his father; he is Prince of Wales to the King; he is (in Henry V) king to his subjects.

Two sources offer a definition of role-expectations for Henry V. A large body of evidence exists that Shakespeare was familiar with the writings of both Desiderius Erasmus and Machiavelli. Both of these sources had an impact on the role-expectations.

In his book The Lion and the Fox: The Role of the Hero in the Plays of Shakespeare, Wyndham Lewis discusses the influence of Machiavelli on Elizabethan Drama:

The master figure of Elizabethan drama is Machiavelli. He was only known through the French of Gentillet, if that: but he was the great character of supreme intrigue that, however taken, was at the back of every Tudor mind. Elizabethan drama--"the first terror-stricken meeting of renaissance"--was more terrified of Machiavelli than of anybody.¹²

¹¹Getzels and Guba, "Social Behavior," op. cit., p. 427.

¹²Lewis, op. cit., p. 64.

Although widely know, Machiavelli's vision of leadership was not widely respected; on the contrary, Machiavelli's vision of duplicity and cunning terrified some.

Mr. Edward Meyer has catalogued three hundred and ninety-five references to Machiavelli in Elizabethan literature. As to his influence in England, Dr. Grosart wrote: "I have suggested to the biographer of the renowned Machiavelli (Professor Villari of Florence) that an odd chapter might be written on the scare his name was for long in England: so much so that he came to be regarded as an incarnation of the Evil One himself."¹³

Lewis says that the "typical Elizabeth Machiavel"¹⁴ was Iago, a man of great duplicity and hate.

In following him (Othello), I follow myself;
Heaven is my judge, not I for love and duty,
But seeming so, for my peculiar end;
For when my outward action doth demonstrate
The native act and figure of my heart
In compliment extern, 'tis not long after
But I will wear my heart upon my sleeve
For daws to peck at: I am not what I am.

Othello, 1.1.58-65

Hal, if we believe his soliloquy in Henry IV, Part One, Act I, scene ii, lines 218-240, is pretending, but will later reveal his true self. Hal is not what he seems to Falstaff and to his companions in reveling; he tricks them time and time again; yet the deception is not of a malicious nature like Iago's.

¹³Ibid., p. 65-66.

¹⁴Ibid., p. 66.

In The Prince in Chapter XVIII entitled "In what Mode princes Ought to Keep the Faith," Machiavelli comments that one sees by experience, in our times that those princes who have done great things have kept little account of faith, and have also known with cunning how to go round the brains of men; and in the end they have surpassed those who have founded themselves on loyalty.

You ought to know, then, that there are two kinds of fighting: one with laws, the other with force. The first one is proper to man; the second to beast; but because the first proves many times to be insufficient, one must needs resort to the second. Therefore it is necessary for a prince to know well how to use the beast and man. This part has been covertly taught to princes by the ancient writers, who wrote that Achilles and many other ancient princes were given to the care of Chiron the centaur, so that he might look after them under his discipline. . . .

Since a prince must of necessity know well how to use the beast, he ought of the beasts to pick the fox and the lion; for the lion cannot defend himself from wolves. One needs, then, to be fox to know snares, and lion to terrify wolves.¹⁵

Hal is both the fox and the lion.

Hal is the fox in deceiving Falstaff, his father, Hotspur, the Percys, the other rebels, the Dauphin and the French nobles, in his dealings with Scroop and the other conspirators. Hal is the lion in driving Douglas from his father, slaying Hotspur, managing the siege at Harfleur, and leading the charge at Agincourt. The plays become then the gradual revelation that there really is no role-personality

¹⁵Machiavelli, The Prince, op. cit., p. 107-08.

conflict. During the course of the Henriad, Hal demonstrates that he is both fox and lion.

Hal is also wise. He is the owl in his dealings with the Chief Justice and the Archbishop of Canterbury, his negotiating for the resolution of the French conflict and his own marriage.

Lewis warns us though of how Shakespeare has used Machiavelli:

Whereas Machiavelli was the hypnotized advocate of a specific contemporary type of active life; and as Moliere was--in a different way---its adversary and critic; Shakespeare was neither the one nor the other. He was, if anything, the adversary of life itself, and his works a beautifully impersonal outpouring of fury, bitter reflection, invective and complaint.¹⁶

The writings of Desiderius Erasmus offer us other insights into the role-expectations for Hal. In several works Erasmus presents a picture of the ideal prince. One of them is found in the Praise of Folly.

Whoever did but truly weigh with himself how great a burden lies upon his shoulders that would truly discharge the duty of a Prince . . . would consider that he that takes a Scepter in his hand should manage the Publik, not his Private Interest; study nothing but the common good; and not in the least go contrary to those Laws whereof himself is both the Author and Exactor: that he is to take an account of the good or evil administration of all his magistrates and subordinate Officers; that, though he is but one, all men's Eyes are upon him and in his power it is, either like a good Planet to give life and safety to mankind by his harmless influence, or like a fatal comet to send mischief and destruction: that the vices of other men

¹⁶Lewis, op. cit., p. 160.

are not alike felt, nor so generally communicated; and that a Prince stands in that place that his least diviation from the Rule of Honest and Honour reaches farther than himself, and opens a gap to many men's ruine.¹⁷

The ideal prince realizes the heavy burden of office, puts his public responsibilities ahead of his private interest (he dismisses Falstaff), obeys the laws (maintains the Chief Justice), knows his subjects (mingles with this men at Agincourt to get a sense of their needs), and is a model of all goodness. The description seems to have become a check list for the portrayal of Henry.

Erasmus in The Education of a Christian Prince praises the wise and good monarch:

There is nothing in life better than a wise and good monarch; there is no greater scourge than a foolish or a wicked one. The corruption of an evil prince spreads more swiftly and widely than the scourge of any pestilence. In the same proportion a wholesome life on the part of the prince is, without question, the quickest and shortest way to improve public morals. The common people imitate nothing with more pleasure than what they see their prince do. Under a gambler, gambling is rife; under a warrior, everyone is embroiled; under an epicure, all disport in wasteful luxury; under a debauche, license is rampant; under a cruel tyrant, everyone brings accusations and false witness.¹⁸

Henry IV overthrew a foolish monarch, and espying his son's behavior he fears a successor who will be both foolish

¹⁷Desiderius Erasmus, The Education of a Christian Prince, op. cit., p.12.

¹⁸Ibid., p. 156-7.

and wicked. Hal's predilection for the company of Falstaff and his cronies and for the excesses of their life style makes the king anxious about the kingdom (cf. 1Henry IV, 4.4.54-66 and 4.5.120-138).

Lester Born in his introduction surveys the works of Erasmus to develop a list of the qualities necessary for the good prince.

Among the various qualities necessary for the good prince are wisdom and integrity, continence and clemency, devotion to his people, self-restraint, interest in truth and liberty, freedom from the vices of cruelty and pride, and the careful avoidance of flatterers. The prince should be like God in his manners and qualities. He should learn from association with wise men. The prince should realize that it is his vices of pompous display and extravagant banquets, games, gambling and other forms of amusement that waste the funds of the treasury. He should know, too, that his best defense against his enemies lies in the loyalty and love of his people. One of the best ways for the prince to come to know his people (and to be known in turn), and as a result to have an intimate knowledge of the places and conditions with which he will have to deal, is to travel throughout his realm. Foreign travel should not be indulged in, because affairs at home are not satisfactorily administered when the prince is away.¹⁹

Hal demonstrates virtue after virtue. His travels with Falstaff and Poins make him at ease with his own common people, so that on the eve of the battle at Agincourt, he can mingle freely with his men, albeit in disguise. (One cannot image Richard II or Henry IV mingling with the masses.)

¹⁹Ibid., p. 15.

Hal's inadequate preparation for kingship is also the king's concern. Erasmus discourses at length on the need for a systematic and carefully monitored education.

Some princes exercise themselves greatly over the proper care of a beautiful horse, or a bird, or a dog, yet consider it a matter of no importance to whom they entrust the training of their son. . . . That whole crowd of wantons, hard drinkers, filthy-tongued fellows, especially flatterers, must be kept far from his sight and hearing while his mind is not yet fortified with precepts to the contrary. Since the natures of so many men are inclined toward the ways of evil, there is no nature so happily born that it cannot be corrupted by wrong training. What do you expect except a great fund of evil in a prince, who, regardless of his native character (and a long line of ancestors does not necessarily furnish a mind, as it does a kingdom), is beset from his very cradle by the most inane opinions; is raised in a circle of senseless women; grows to boyhood among naughty girls, abandoned playfellows, and the most abject flatterers, among buffoons, and mimes, drinkers and gamesters, and worse than stupid and worthless creators of wanton pleasures? In the company of all these he hears nothing, learns nothing, absorbs nothing except pleasures, amusements, arrogance, haughtiness, greed, petulance, and tyranny--and from this school he will soon progress to the government of his kingdom! . . . To what end except tyranny do they devote themselves as men, who as boys played at nothing except as tyrants?²⁰

Erasmus challenges the teacher to portray a paragon of virtue as a model for the prince to imitate:

Let the teacher paint a sort of celestial creature, more like to a divine being than a mortal: complete in all the virtues born for the common good; yea, sent by the God above to help the affairs of mortals by looking out and caring for everyone and everything; to whom no concern is of longer standing or more dear than the state; who has more than a paternal spirit toward everyone; who holds the life of each individual dearer than his own; who works and strives night and day for

²⁰Ibid., p. 142-43.

just one end--to be the best he can for everyone; with whom rewards are ready for all good men and pardon for the wicked, if only they will reform--for so much does he want to be of real help to his people, without thought of recompense, that if necessary he would not hesitate to look out for their welfare at great risk to himself; who considers his wealth to lie in the advantages of his country; who is ever on the watch so that everyone else may sleep deeply; who grants no leisure to himself so that he may spend his life in the peace of his country; who worries himself with continual cares so that his subjects may have peace and quiet. Upon the moral qualities of this one man alone depends the felicity of the state. Let the tutor point this out as the picture of a true prince!²¹

Hal's cavorting with Falstaff and riffraff is the mirror version of the education that Erasmus espouses for the prince. Reading the passages and remembering the escapades of Hal, one might think that Shakespeare mocks Erasmus's careful educational process. Yet Shakespeare seems to take as his paradigm Erasmus' portrayal of the perfect prince as his model for Henry V, the perfect monarch. Hal, in spite of his association with Falstaff and Poins and the others, becomes the model monarch.

Looking at the paradigm presented by Erasmus, one sees that Henry V marvelously fulfills the nomothetic dimension even at the cost sometimes of his own personal needs. When he assumes the kingship, he realizes that his association with Falstaff must come to an end. The demands of the role dictate that he sever the friendship. Again, a quotation from Erasmus is appropriate:

²¹Ibid., p. 162-3.

After you have once dedicated yourself to the state, you are no longer free to live according to your own ways. You must keep up and preserve the character which you have assumed.²²

In Henry IV, Part Two, Act V, Scene v, having assumed the kingship, Hal severs his ties with Falstaff:

I know thee not, old man, fall to thy prayers.
 How ill white hairs become a fool and jester!
 I have long dreamt of such a kind of man,
 So surfeit-swell'd, so old and so profane;
 But, being awak'd, I do despise my dream.
 Make less the body hence, and more thy grace;
 Leave gormandizing; know the grave doth gape
 For thee thrice wider than for other men.
 Reply not to me with a fool-born jest.
 Presume not that I am the thing I was;
 For God doth know, so shall the world perceive,
 That I have turn'd away my former self;
 So will I those that kept me company.
 When thou dost hear I am as I have been,
 Approach me, and thou shalt be as thou wast,
 The tutor, and the feeder of my riots.
 Till then, I banish thee, on pain of death,
 As I have done the rest of my misleaders,
 Not to come near our person by ten mile.

Henry IV, 5.5.51-69

The role of king precludes Henry V's continuing his association with the rogue Falstaff. Softening the exile with promise of support, Henry V does that which Hal did not do, cuts himself off from his "tutor."

Getzels and Guba's idiographic dimension looks at the role incumbent as an actor who assumes the demands of a role not as "robots programmed by institutional expectations"²³

²²Ibid., p. 182.

²³Getzels, Lapham, and Campbell, Educational Administration, op. cit., p. 65.

but as individual human beings.

Roles are filled by flesh-and-blood individuals, no two of whom are quite alike. Each individual stamps the role he occupies with the unique style of his own pattern of expressive behavior.²⁴

Henry V's courage, decisiveness, eloquence, frenetic energy, and tenacity on the idiographic dimension interact with the expectations determined in the nomothetic dimension. In the transactional dimension, Henry V's personality maximizes his ability to fulfill his role as king.

Erasmus in The Education of a Christian Prince

asserts:

If you can be at the same time a prince and a good man, you will be discharging a handsome service. If you cannot, then yield the (chance to be) Prince, rather than become a wicked man merely to enjoy it. It is quite possible to find a good man who would not make a good prince; but there can be no good prince who is not also a good man.²⁵

Henry V is the good man who assumed the role of king and became the "star of England."²⁶

²⁴Ibid., p. 65-66.

²⁵Erasmus, op. cit., p. 189.

²⁶Henry V. Epilogue.6

D. HERSEY AND BLANCHARD'S THEORY OF SITUATIONAL LEADERSHIP

As seen earlier in Chapter III, Hersey and Blanchard's theory of Situational Leadership is based on the interplay among three variables: the amount of guidance and direction that a leader gives (task behavior); the amount of socio-emotional support a leader supplies (relationship behavior); and the readiness level that the followers exhibit in performing a specific task, function, objective (maturity level).²⁷

Situational Leadership not only suggests the high probability leadership styles for various maturity levels, but it also indicates the probability of success of the other style configurations if the leader is unable to use the desired style.

Key to the understanding of this model is the definition of follower's readiness or "maturity," that is, "the ability and willingness of people to take responsibility for directing their own behavior."²⁸ For the follower it is "the capacity to set high but attainable goals (achievement-motivation), willingness and the ability

²⁷Hersey and Blanchard, Management, p. 150.

²⁸Ibid., p. 151.

take responsibility, and education and/or experience of an individual or group."²⁹

Depending on the task, people may have varying degrees of maturity. The maturity of followers is a matter of degree and the figure in the appendix divides the maturity continuum below the leadership model into four levels: low (M1), low to moderate (M2), moderate to high (M3), and high (M4).

The appropriate leadership style in any given situation for each of the four levels of maturity includes the right combination of task behavior (giving direction, setting goals, defining roles) and relationship behavior (providing support, "psychological strokes," and facilitating behaviors).

The successful situational leader will assess the maturity level of followers and behave as the model prescribes. Implicit in the Hersey and Blanchard model is the idea that the leaders should help followers grow in maturity as far as they are able and willing to go. The style of leadership itself should foster maturation through increased responsibility and satisfaction.

²⁹Gates, Hersey, Blanchard, "Diagnosing," op. cit., p. 349.

v is the model situational leader. He knows his whether archbishops, peers of the realm, captains, footsoldiers. Depending on the situation, he his style of leadership to deal with the maturity of his followers. He consults with the archbishops, their advice; for the common soldiers in the heat of le, there are direct and specific orders.

"Telling" is for low maturity, that is, individuals who, both unable and unwilling (M1) to take responsibility to do something, are neither competent nor confident. They need a directive style (S1) that provides clear, specific direction and supervision. This style involves high task behavior and low relationship behavior.

The clearest example of Henry's acting in the telling mode (S1) is his banishment of Falstaff. Falstaff is prepared to continue his love of revelry, but now in the court with his friend who is now king. Henry knows that Falstaff is unable and unwilling to be a sage counsellor to the king. Falstaff represents the forces of misrule and passion. If Henry's monarchy is to survive, Falstaff must be banished. Decisive action is demanded. It is not a time for discussion, explanations, soliciting of support. Sentimentalists may find this scene to be too clinically cold; but if one reflects on the significance of the task (maintenance of his role as monarch) and the maturity lev

of Falstaff, a low relationship style of leadership is necessary. Just as an S1 style of leadership is not only appropriate but necessary for a principal during a fire drill or for a commander under fire in the field, so also Henry's behavior is the most effective way of handling this situation.

Before the battle at Agincourt, Henry before a mixed audience of common soldiers and nobles uses his eloquence to address the needs of two different audiences. Facing overwhelming odds of five to one, Henry has to rally his troop for victory. Some are inexperienced soldiers, some knights. Some are eager for honour and glory; others are apprehensive of the death that may be their recompense. It is this mixed audience of M2's and M3's that Henry addresses in his famous Crispian speech.

"Selling" is for low to moderate maturity, that is, people who are unable but willing (M2) to take responsibility and are confident but lack skills at this time. Thus, a "selling" style (S2) provides directive behavior because of the individuals' lack of ability, but also supportive behavior to reinforce their willingness and enthusiasm seems to be the most appropriate. This style involves high task behavior and high relationship behavior. On the field of battle many are eager to prove themselves, but feel inadequately trained or prepared. They need

direction and also support. Henry holds out the image of all his fellow soldiers as brothers and gentlemen. This battle will be the most significant moment in the history of their time. They will have been there, participated in this most momentous event, and demonstrated their manhood.

Many on the field of battle are able fighters, but the threat of destruction by a force superior in number causes grave insecurity. Hersey and Blanchard speak of "participating" as being for moderate to high maturity, that is, individuals at this level of maturity are able but unwilling (M3) to do what the leader wants. A lack of confidence in their ability to perform or their insecurity is often the cause of their unwillingness. If, however, they are competent but unwilling, their reluctance to perform is more a motivational problem than a security problem. A supportive, non-directive, "participating" style (S3) has the highest probability of being effective with individuals at this maturity level. By the end of his speech, Henry has created a mythic bond among all of the men; they march as brothers engaged in the most noble of quests.

This day is call'd the feast of Crispian.
He that outlives this day and comes safe home
Will stand a tip-toe when this day is named,
And rouse him at the name of Crispian.
He that shall see this day, and live old age,
Will yearly on the vigil feast his neighbours,
And say, "To-morrow is Saint Crispian."
Then will he strip his sleeve and show his scars,

And say, "These wounds I had on Crispin's Day."
 Old men forget; yet all shall be forgot
 But he'll remember with advantages
 What feats he did that day. Then shall our names,
 Familiar in his mouth as household words,
 Harry the King, Bedford, and Exeter,
 Warwick and Talbot, Salisbury and Gloucester,
 Be in their flowing cups freshly rememb'ed.
 This story shall the good man teach his son;
 And Crispin Crispian shall ne'er go by,
 From this day to the ending of the world,
 But we in it shall be remembered,
 We few, we happy few, we band of brothers,
 For he to-day that sheds his blood with me
 Shall be my brother; be he ne'er so vile,
 This day shall gentle his condition;
 And gentlemen in England now a-bed
 Shall think themselves accurs'd they were not here,
 And hold their manhoods cheap whiles any speaks
 That fought with us upon St. Crispin's day.

Henry V, 4.3.46-75

This rhetorical masterpiece reflects Henry at his eloquent best as a leader who inspires his followers with a sense of pride, shared mission, and brotherhood.

The last mode of leadership Hersey and Blanchard list is delegating. "Delegating" is for high maturity. People at this maturity level are both able, willing, and confident to take responsibility. A low profile "delegating" (S4) style, providing little direction or support, has the highest probability of being effective with individuals at this maturity level. This style involves low relationship behavior and low task behavior.³⁰ Henry operates at this level when empowering the Archbishop of Canterbury to make

³⁰Hersey and Blanchard, Management, p. 1.

the case for his rule of territory claimed by the French. He empowers the archbishop and his associates to act and then stands back to watch.

Henry V does make an impressive example of the situational leader.

F. LESSONS IN LEADERSHIP

PRETENDING CAN BE DANGEROUS

Kurt Vonnegut's novel Mother Night begins with this aphorism: "Be careful what you pretend to be, for that is what you may become." The novel deals with an American member of the OSS during World War II acting as a double agent. Howard Campbell goes to Germany and finds an elite cadre of American supporters of Adolph Hitler. By the end of the war, all Americans who know that he was a double agent are dead, and he is tried by the Israelis as a war criminal. As he awaits his execution, he concludes that the line between pretending and being long ago had become blurred. Even he is not sure where his loyalties lie.

There is a danger in Hal's ploy of pretending to be a rogue. Habits are formed through association and repetition. Years of consorting with Falstaff, Poins and the others might eventually dull his sense of who he really is: he might become who he pretended to be. Luckily for Hal,

his father's death and his ascension to the throne cause him to ostracize Falstaff and his companions.

Consider also the possibility of a reigning king looking at his miscreant son and deciding that the welfare of his kingdom is paramount. A good king might decide that the preservation of the Body Politic is more important than the preservation of his son, who is part of his Personal Body. The miscreant must not be allowed to succeed him. Accidents can be arranged. History is filled with heirs who mysteriously die.

In any modern organization, any executive in line for promotion would be foolish to use the ploy that Hal adopts.

So when this loose behavior I throw off

My reformation, glitt'ring o'er my fault,
Shall show more goodly and attract more eyes.

Henry IV, 1.2.231, 235-36

The ambitious executive should know that such behavior may be allowed only in plays. In real life, pretending can endanger his/her career plans.

GROWTH AND INTEGRATION THROUGH ROLE CHANGE

Prince Hal was not what he appeared to be; as a matter of fact, he consciously cloaked his true personality at the outset of the Henriad. Who he is and what he is capable of doing emerge slowly in the action of Henry IV, Part One and Henry IV, Part Two, but an even more decisive, energetic,

authoritative, and charismatic Henry walks the stage in Henry V.

The interaction between role and personality can be energizing. Weak second-in-commands on assuming office can undergo a transformation. Submissive assistant principals can be dynamic and effective educational leaders once they assume the office of principal.

Harry Truman, a little known, and less respected senator from Missouri, becomes vice-president to a legendary president. Upon the death of FDR, Harry Truman began his own legend. It is as if the synergy between role and personality causes a transformation. People sometimes rise to fill the expectations of the role.

There is the story of the deadlocked papal conclave that elected a mild mannered Giovanni Roncalli as an "interim" pope. His reign as John XXIII revolutionized the Roman Catholic Church in the twentieth century. There is another story of a deadlocked conclave that elected a cardinal so weakened by illness that he had to be helped to the throne. Once crowned, Leo XIII ruled vigorously for over twenty-five years. Appearances are not always the reality.

"Reputation is not personality"³¹ is a good caveat. Those who are charged with selecting managers, executives, and positional leaders must search beyond reputation to find the intrinsic character of individuals before they assume positions of authority and power. Surface judgments can lead to disaster.

³¹Getzels, Lapham, Campbell, Educational Administration, p. 68.

CHAPTER VI

CORIOLANUS

THE DESPISING AND DESPISED RULER

"He's a very dog to the commonalty."
Coriolanus, 1.1.29

A. SUMMARY OF THE PLAYS

The action of the play begins in 494 B.C. Rome is in a time of crisis. There are food shortages, there is talk of sedition, and the hostile Volscies are threatening Rome in its time of instability.

Caius Marcius, a proud Roman general, performs wonders of valor in a war against the Volscians, and captures the town of Corioli, thus receiving the surname Coriolanus. On his return to Rome, the patricians of Rome propose that he be named consul, but his arrogant and outspoken contempt of the Roman common people whom he treats as rabble makes him unpopular with this fickle mob. The tribunes of the people taunt him until he insults the mob

and makes treasonous statements. He is tried and, although some want him executed, banished from Rome.

Coriolanus then goes to the Volscian general Aufidius who has been his arch rival for years. Aufidius greets him with delight, and they become allies. Coriolanus then leads the Volscians against Rome to effect his revenge. When he reaches the walls of the city, the Romans, to save their city from destruction, send as emissaries Coriolanus' old friends. When they fail to move him, Volumnia, his strong-willed and out-spoken mother, Virgilia, his meek wife, and his son come to ask him to spare the city. Coriolanus yields to the eloquence of his mother, realizing that by doing so he is probably signing his own death warrant.

After making a treaty that is favorable to the Volscians but spares Rome from destruction, Coriolanus returns to Antium. Here Aufidius accuses him of betraying the Volscians, and, with the assistance of some conspirators, publicly kills Coriolanus.

B. THE CHARACTER OF CAIUS MARCIUS CORIOLANUS

Caius Marcius (Coriolanus) came from an old and distinguished patrician family of Rome. According to Plutarch, who was Shakespeare's major source for information

about Coriolanus, he was a descendant of Ancus Marcius, the fourth king of Rome.¹

North's translation of Plutarch's Lives of the Noble Grecians and Romans, Shakespeare's source for the play, gives us an insight into the character of Coriolanus:

For this Martius naturall wit and great harte dyd marvelously sturre up his corage, to doe and attempt noble actes. But on the other side for lacke of education, he was so chollericke and impacient, that he would yeld to no living creature: which made him churlishe, uncivill, and altogether unfit for any mans conversation. Yet men marveling much at his constancy, that he was never overcome with pleasure, nor money, and howe he would endure easely all manner of paynes and travaillles: thereupon they well liked and commended his stowtness and temperancie. But for all that, they could not be acquainted with him, as one cittizen useth to be with another in the cittie. His behaviour was so unpleasaunt to them, by reason of a certaine insolent and sterne manner he had, which bicause it was to lordly, was disliked. And to saye truely, the greatest benefit that learning bringeth men unto, is this: that it teacheth men that be rude and rough of nature, by compasse and rule of reason, to be civill and curteous, and to like better the meane state, then the higher. Now in those dayes, valliantnes was honoured in Rome above all other vertues: which they called Virtus, by the name of vertue selfe, as including in that generall name, all other speciall vertues besides. So that Virtus in the Latin, was asmuche as valliantnes. But Martius being more inclined to the warres, then any other gentleman of the time: beganne from his Childehood to geve him selfe to handle weapons, and daylie dyd exercise him selfe therein.²

¹Asimov, op. cit., Vol. 1, p. 215.

²Bullough, Narrative and Dramatic Sources of Shakespeare, p. 506.

Coriolanus is "too lordly," too conscious of his aristocratic heritage, too conscious of his own courage.

In his book, Shakespeare and Society, Terence Eagleton cites two basic themes in the play:

One is the psychological dilemma created by a domineering mother, who in order to find vicarious gratification of her own subconscious ambitions forces her son into a tragic choice. The other is the political dilemma of a brilliant military leader who is thus forced, against his own nature and temperament into a position of governmental leadership for which he is hopelessly unqualified.³

The analysis in this chapter looks at the latter of these two themes, Coriolanus' problematic situation: called to leadership but being by personality unsuited for leadership (his public arrogance contrasts sharply with his his totally submissive posture before an infinitely domineering mother). As Isaac Asimov remarks:

That is his (Marcius's) tragedy: the tragedy of his personality. What he might have gained, and ought to have gained for the better qualities within himself, he threw away by his perpetual anger and willfulness. . . . In Antony and Cleopatra Shakespeare shows us a flawed hero, Mark Antony, who sacrificed honor and worldly ambition to love and to sexual passion. In Coriolanus he shows us the reverse, a hero who served only military honor and who allowed nothing to stand in his way.⁴

In many of Shakespeare's plays the main characters are dynamic characters; that is, the characters change

³Terence Eagleton, Shakespeare and Society, New York: Schocken Books, 1967, p. 100.

⁴Asimov, op. cit., p. 216.

during the course of the play. Richard II, although deposed comes to a better understanding of himself as a human being not simply as a king; Macbeth goes from ambitious thane to a pathological murderer; playful Prince Hal grows into the politically astute Henry V. Unfortunately for Coriolanus, he is a static character; that is, his personality is the same at the end of the play as it was in the beginning.

Coriolanus is Shakespeare's mirror image of what an effective leader should be. Coriolanus cannot imagine the changes taking place in the social architecture of Roman. Locked into antique notions of class privilege and power, he cannot envision a Rome with citizens who are not from the patrician families. His speeches are rhetorical dynamite. Rather than using the techniques of persuasion to bring about agreement and acceptance, his vitriolic invective stingingly divides people.

Coriolanus is a man of action, but he does not like to follow orders nor does he lead others. At the gates of Corioli, his temerarious dash into the city endangers his life, and the diatribe he unleashes against his men gains neither their loyalty nor their respect. Only reluctantly do they follow this foolhardy man.

Coriolanus fails most of the time. He refuses to do what is necessary to win the support of the common people of

Rome; he abandons family and friends to join the enemy; then he betrays his new found allies by sparing the city of Rome.

The character of Coriolanus, as described by others in the play as well as seen in his own words and actions demonstrates that Coriolanus is the despised and despising leader, the antithesis of the Shakespearean leader.

Perhaps no character in Shakespeare has a less auspicious introduction. As the mutinous citizens of Rome gather, complaining of shortages of food and the high prices being charged by the patricians, their first thoughts are of Caius Marcius (soon to be called Coriolanus). Their comments drip with venom:

First, you know Caius Marcius is chief enemy to the people.

Let us kill him, and we'll have corn at our own price.
Coriolanus, 1.1.6-7, 9-10

In this, the opening scene of the play, the citizens have two charges against him: his attitude toward the common people and his motivation for his valorous actions:

. . . he's a very dog to the commonalty.
Coriolanus, 1.1.29

Coriolanus is pitiless as a dog with the common people. His appreciation and understanding of them is absolutely nil. Time and time again, he unashamedly manifests his utter disdain for the rabble.

When one of the citizens asks "Consider you what services he has done for his country?"⁵ another responds by saying that "he pays himself with being proud."⁶ Everyone knows that he acts not for the safety of the people of Rome, but for his own ego gratification. The same citizen of Rome suggests that he really acts for "his mother."

I say unto you, what he hath done famously, he did it to that end. Though soft-conscienc'd men can be content to say it was for his country, he did it to please his mother and to be partly proud, which he is, even to the altitude of his virtue.

Coriolanus, 1.1.35-39

Coriolanus' arrogance is even greater than his contempt for the masses. Time and time again throughout the play citizens, tribunes, and even his friends will refer to his arrogance.

In Coriolanus' very first appearance in the play, he confirms both his scorn for the masses and his arrogance:

What's the matter, you dissentious rogues,
That, rubbing the poor itch of your opinion,
Make yourself scabs?

.
He that will give good words to thee will flatter
Beneath abhorring. What would you have, you curs,
That like nor peace nor war? The one affrights you,
The other makes you proud. He that trusts to you,
Where he should find you lions, finds you hares;
Where foxes, geese. You are no surer, no,
Than is the coal of fire upon the ice,
Or hailstone in the sun. Your virtue is
To make him worthy whose offence subdues him,
And curse that justice did it. Who deserves greatness

⁵Coriolanus, 1.1.30

⁶Coriolanus, 1.1.34

Deserves your hate; and your affections are
 A sick man's appetite, who desires most that
 Which would increase his evil. He that depends
 Upon your favours swims with fins of lead
 And hews down oaks with rushes. Hang ye! Trust ye?
 With every minute you do change a mind,
 And call him noble that was now your hate,
 Him vile that was your garland. What's the matter
 That in these several places of the city
 You cry against the noble Senate, who,
 Under the gods, keep you in awe, which else
 Would feed on one another?

Coriolanus, 1.1.168-170; 171-192

In twenty-two lines, Coriolanus has accused them of having self-caused and skin-deep grievances, of being filthy (scabs), of being unsatisfied in wartime or peace, of being fickle and untrustworthy. This sneering, snarling dog intimidates the citizens. In this very same scene, when word arrives of the Volsces' impending attack and Marcius is called into service, he continues to mock them, suggesting that the plebeians come along:

The Volsces have much corn; take these rats thither
 To gnaw their garners. Worshipful mutiners,
 Your valour puts well forth; pray, follow.

Coriolanus, 1.1.253-255

In the play, the mob is fickle, cowardly, and untrustworthy. This portrayal of the mob is discussed at length by Brents Stirling in his book The Populace in Shakespeare⁷ and Mungo W. MacCallum in his book Shakespeare's Roman Plays⁸. They both agree that this

⁷Brents Stirling, op. cit., p. 40-63.

⁸Mungo W. MacCallum, op. cit., p. 484-548.

characterization of the mob as presented in Coriolanus is a stridently less favorable portrayal than that presented in Shakespeare's source Plutarch. MacCallum suggests this change in portrayal indicates ideological snobbery; Stirling suggests this change was made for heighten the dramatic effect of the conflict between the classes. Even if the mob is fickle, cowardly, and untrustworthy, the articulation of Coriolanus' own venomous polemic only serves to alienate.

By the end of the very first scene, Caius Marcius has established his role as the despised and despising military leader.

As despicable as he is, Marcius still has his mother's love. Perhaps it is because Marcius is her own creation, that she loves him so. In scene 3, Volumnia, Marcius' mother, comforts Virgilia, Marcius' wife. She recounts how

When yet he was but tender-bodied and the only son of my womb

.
 To a cruel war I sent him; from whence he returned , his brows bound with oak. I tell thee, daughter, I sprang not more in joy at first hearing he was a man-child than now in first seeing he had proved himself a man.

Coriolanus, 1.3.5-6; 14-18

When Virgilia protests that Marcius might have been killed in battle, the strong-willed Volumnia replies:

Hear me profess sincerely: had I a dozen sons, each in my love alike and none less dear than thine and my good Marcius, I had rather had eleven die nobly for their country than one voluptuously surfeit out of action.

Coriolanus, 1.3.23-27

Volumnia is a mother who values her son's valor more than his life. When Virgilia reacts to Volumnia's mention of a "bloody brow," she says that "it more becomes a man than gilt his trophy."⁹

Their conversation is interrupted by Valeria, Virgilia's friend, who recounts what she has seen Marcius' son doing:

O' my word, the father's son. I'll swear, 'tis a very pretty boy. O' my troth, I look'd upon him o' Wednesday half an hour together; has such a confirm'd countenance. I saw him run after a gilded butterfly; and when he caught it, he let it go again; and after it again; and over and over he comes, and up again; catch'd it again; or whether his fall enrag'd him. or how 'twas, he did so set his teeth and tear it. O, I warrant, how he mammocked (tore to pieces) it.

Coriolanus, 1.3.62-71

Volumnia's only comment is "One on's father's moods."¹⁰ Like father like son. It is not hard to imagine the young Marcius as a child tormenting butterflies.

Marcius defeats the Volsces at Corioli and is proclaimed Coriolanus by Cominius the Consul of Rome. It seems that the Consulship of Rome will be his if only he follow the prescribed customs.

However, to achieve the goal, Coriolanus must get the vote of the people, and the way in which this was done was to flatter and cajole them, very much as in our own time. In early Roman times, it was customary for a candidate for the consulate to dress humbly, speak

⁹Coriolanus, 1.3.42-43

¹⁰Coriolanus, 1.3.72

softly, and show scars won in battle. He did so in an unadorned white toga (hence our word "candidate" from the Latin word for "dressed in white").¹¹

In a panegyric delivered before the Roman Senate, Cominius begins the process by outlining Coriolanus' numerous achievements:

I shall lack voice; the deeds of Coriolanus
Should not be utter'd feebly. It is held
That valour is the chiefest virtue and
Most dignifies the haver; if it be,
The man I speak of cannot in the world
Be singly counterpois'd. At sixteen years,
When Tarquin made a head for Rome, he fought
Beyond the mark of others. Our then dictator,
Whom with all praise I point at, saw him fight,
When with his Amazonian chin he drove
The bristled lips before him. He bestride
An o'er press'd Roman, and i' th' consul's view
Slew three opposers. Tarquin's self he met,
And struck him on his knee. In that day's feats
When he might act the woman in the scene,
He prov'd best man i' th' field, and for his meed
Was brow-bound with the oak. His pupil age
Man-ent'red thus, he waxed like a sea,
And in the front of seventeen battles since
He lurch'd all swords of the garland. For this last,
Before and in Corioli, let me say
I cannot speak him home. He stopp'd the fliers,
And by his rare example made the coward
Turn terror into sport; as weeds before
A vessel under sail, so men obey'd
And fell below his stem. His sword, death's stamp,
Where it did mark, it took; from face to foot
He was a thing of blood, whose every motion
Was tim'd with dying cries. Alone he ent'red
The mortal gates of the city, which he painted
With shunless destiny; aidless came off,
And with a sudden reinforcement struck
Corioli like a planet; now all's his.

Coriolanus, 2.2.86-118

¹¹ Asimov, op.cit., p. 232.

This is the Caius Marcius of virtus, the outstanding warrior and victor in seventeen battles.

To become Consul all Coriolanus must do is gain the acceptance of the citizens by appearing as a candidate in the forum. Coriolanus asks that this part of the process be waived.

I do beseech you,
 Let me o'erleap that custom; for I cannot
 Put on the gown, stand naked and entreat them
 For my wounds' sake to give their suffrage. Please you
 That I may pass this doing.

Coriolanus, 2.2.139-43

Grudgingly Coriolanus dons the gown of humility and goes to the forum. Fulfilling the bare minimum, he does ask for the consulship and seems to have gained the assent of the citizens. Later as the citizens discuss his behavior, the tribunes turn the fickle citizens against Coriolanus, citing his mockery of them and his failure to show his wounds.

When he is confronted with the citizens' withdrawal of their support, an enraged Coriolanus suggests that the power should be taken away from the people by force if necessary; he has uttered treason. The tribunes want him executed, but Menenius pleads for Coriolanus:

Consider this: he has been bred i' the wars
 Since 'a could draw a sword, and is ill school'd
 In bolted language; meal and bran together
 He throws without distinction.

Coriolanus, 3.1.320-23

Discussing his intemperate and ill-advised behavior, Coriolanus tells his mother:

Why did you wish me milder? Would you have me
False to my nature? Rather say I play
The man I am.

Coriolanus, 3.2.14-16

Coriolanus is what he is; he is too proud to bend. When Coriolanus asks the citizens in the forum "your price o' th' consulship,"¹¹ one of them responds: "The price is to ask it kindly."¹² Kind asking is not Coriolanus' strong suit.

When he is banished rather than executed, an unrepentant and arrogant Coriolanus lashes out at all in Rome, Senators and citizens alike:

You common cry of curs! whose breath I hate
As reek o' th' rotten fens, whose loves I prize
As the dead carcasses of unburied men
That do corrupt my air, I banish you!
And here remain with your uncertainty!
Let every feeble rumour shake your hearts!
Your enemies, with nodding of their plumes,
Fan you into despair! Have the power still
To banish your defenders, till at length
Your ignorance, which finds not till it feels
Making (not) reservation of yourselves,
Still your own foes, deliver you as most
Abated captives to some nation
That won you without blows! Despising,
For you, the city, thus I turn my back;
There is a world elsewhere.

Coriolanus, 3.3.119-134

¹²Coriolanus, 2.3.80

¹³Coriolanus, 2.3.81

The world that Coriolanus seeks is that of the Volsces and his archrival Aufidius. Coriolanus and Aufidius lead the Volsces on Rome, easily defeating all that are in their path. The defenseless Romans beg Coriolanus for mercy. Intransigent to all pleas, he scorns both Cominius the Consul and Menenius, his former friends and supporters.

It is only to his mother's pleas that Coriolanus responds. He spares the city. When he returns to the Volsces with news of a treaty, he is accused of treason by Aufidius, and he is killed.

C. GETZELS AND GUBA'S NOMOTHETIC AND IDIOGRAPHIC DIMENSIONS OF SOCIAL BEHAVIOR

As explained in Chapter III, Getzels and Guba's Nomothetic and Idiographic Dimensions of Social Behavior offer a conceptual framework for understanding the type of conflict that is portrayed in Shakespeare's Coriolanus. They identify three types of conflict: Role-personality Conflicts, Role Conflicts, and Personality Conflicts.¹⁴

When the individual performs up to the expectations of the role, Getzels and Guba say that he has adjusted to the role; when the individual fulfills all his needs, they say he is integrated. The individual should be both

¹⁴ Getzels and Guba, "Social Behavior and the Administrative Process," op. cit., p. 431-32.

adjusted and integrated, so that he may by one act fulfill both the nomothetic, or institutional, requirements, and the idiographic, or personal requirements.¹⁴ As is obvious from even a cursory reading of Coriolanus, Caius Marcius Coriolanus is not "adjusted" nor is he "integrated." Coriolanus cannot or will not meet the expectations that the people of Rome have for a consul, and Coriolanus, as an individual, is far from satisfied with himself and his world.

The Roman Republic of Coriolanus was relatively new; yet several key concepts were held by the people of that time and are reflected in the writings of Plutarch, the source for the play, as well as in the play itself.

. . .there are certain cardinal conceptions clearly grasped and firmly held, which must be assumed as the fundamental principles of the Roman republican State. These were, on the one hand, the sovereignty of the people (populus Romanus) as the sole ultimate source of right, privilege, and authority, and on the other, the 'power of command' (imperium) vested by its decree in the magistrates.

The imperium of the magistrate, the tenure of which was limited to one year, was in theory one and indivisible, military, judicial, and executive . . .¹⁶

The holders of this imperium were the consuls,

¹⁵Ibid., p. 421.

¹⁶H. Stuart Jones, "Administration," in Bailey, The Legacy of Rome, op. cit., p.94-95.

appointed by the whole people (plebeians) in assembly from whom they received their imperium and ratified by the senate. Consuls held office for one year. The creation of consuls introduced a new notion:

the curious principle of 'collegiality' which runs through the history of Roman magistracy--the principle of colleagues in office who have the power of vetoing each others' proposals; positive action therefore depends upon colleagues acting in concert.¹⁷

Rome was not a classless society. Two groups, the patricians and the plebs, often in conflict as seen in the play, shared power.

In primitive communities aristocracies spring from economic distinctions and fortify themselves by an appeal to religion, and this was so at Rome, where a limited group of families monopolized social and political privileges, and above all that of representing the Roman State in its strictly regulated transactions with the gods. The members of this group were the patricii, and the struggle which they waged with the unprivileged majority fills the first two centuries of Republican history.¹⁸

In the opening scene of the play we see the tension that exists between the classes. The hungry people, armed with bats and clubs, are about to attack the patricians who seem to have cornered the grain market. Attempting to placate them, Menenius defends the patricians, blames the gods for the grain shortages, and offers the

¹⁷Barrows, The Romans, op. cit., p. 46.

¹⁸Jones, op. cit., p. 97.

image of a body with each of its parts serving a function:

I tell you, friends, most charitable care
 Have the patricians of you. For your wants,
 Your suffering in this dearth, you may as well
 Strike at the heaven with your staves as lift them
 Against the Roman state, whose course will on
 The way it takes, cracking ten thousand curbs
 Of more strong link asunder than can ever
 Appear in your impediment. For the dearth,
 The gods, not the patricians, make it, and
 Your knees to them, not arms, must help. Alack,
 You are transported by calamity
 Thither where more attends you, and you slander
 The helms o' the state, who care for you like fathers
 When you curse them as enemies.

.
 There was a time when all the body's members
 Rebell'd against the belly, thus accus'd it:
 That only like a gulf it did remain
 I' th' midst o' th' body, idle and unactive,
 Still cupboarding the viand, never bearing
 Like labour with the rest, where th' other instruments
 Did see and hear, devise, instruct, walk, feel
 And, mutually participate, did minister
 Unto the appetite and affection common
 Of the whole body. The belly answer'd

.
 True is it, my incorporate friends," quoth he
 "That I receive the general food at first
 Which you do live upon; and fit it is
 Because I am the store-house and the shop
 Of the whole body. But if you do remember
 I send it through the rivers of your blood,
 Even to the court, the heart, to th' seat o' th' brain;
 And, through the cranks and offices of man,
 The strongest nerves and small inferior veins
 From me receive that natural competency
 Whereby they live.

Coriolanus, 1.1.66-79, 99-108, 134-144

Menenius sees the state as a functioning organism with individual parts interacting, supporting, and nurturing each other. This is not the notion that Coriolanus has. Coriolanus sees any shift of power from the patricians to the plebeians as a threat.

Menenius and Coriolanus see civil conflict quite differently; Menenius sees Rome as an organic society whose health depends on mutual interaction between patricians and plebeians; this is the significance of his fable of the belly in Act I Scene i. He envisages a living, dynamic reciprocity of act and passive function as the ideal relationship between rulers and ruled; the belly is passive, yet sends out what it receives to the members; the limbs and organs are active in the sense of performing actions, but are passively dependent for their life on the belly. This relation comes alive when Coriolanus is called on to stand before the people and solicit their voices: the rulers must win the active sanction of those they will rule, and the people refuse to be submissive to any ruler whose role they have not personally authenticated by questioning and decision. Coriolanus himself envisages no reciprocity; he sees this mutual interrelationship of plebeians and patricians as circular, destructive, and self-defeating.¹⁹

This discrepancy between what Coriolanus perceives as his role and the expectations of the people and the patricians of the state leads to the conflict in the play. Menenius and the plebeians envision the state as a synergy, a cooperative action, and the leader one element that must interact with all the other elements. Coriolanus envisions the state as a hierarchy, a rank ordered world with patricians at the top, having power by right of economics religion, and tradition.¹⁹

Getzels and Guba identify **Role-personality conflict** as a discrepancy between the pattern of expectations attached to a given role and the pattern of

¹⁹Eagleton, Shakespeare and Society, p. 103-4.

²⁰Jones, op. cit., p. 97.

need-dispositions characteristic of the incumbent of the role.²¹ Clearly this is the conflict that confronts us in Coriolanus.

Coriolanus, the arrogant patrician, feels that the other patricians are betraying their class by giving too much power to the plebians.

He (Coriolanus) sees the granting of power to the people both as starting a self-consuming process in them--increasing their appetite in proportion to what they get--and as a self-defeating act on the part of the patricians: in appeasing the plebeians the patricians are preparing their own downfall. The main image of self-defeating action in the play is Coriolanus himself. . . . the more blood he sheds, the stronger he grows; the more he acts, the greater his appetite for action becomes. He is warmed by his own work both physically, and in the sense of being warmed to further work, further expenditure of energy. He feeds off his own blood, and is therefore completely self-sufficient, drawing his life only from himself. It is the realization that Coriolanus acts for himself, not primarily for the state, which makes the first citizen suspicious of him in the opening scene of the play.²²

Coriolanus' personality will not let him meet the expectations for a sage consul receiving power from others and accountable to them. In an article by Getzels and Thelen, the authors make two points of definition about personality:

1. The concept of personality, like institution or role, has been given a variety of meanings. But for our purposes, personality may be defined as the dynamic organization within the individual of those

²¹ Getzels and Guba, "Social Behavior," op. cit., p. 421.

²²Eagleton, op. cit., p. 101-2.

need-dispositions that govern his unique reactions to the environment and, we might add, in present model to the expectation of the environment.

2. The central analytic elements of personality are the need-dispositions, which we can define with Parsons and Shils as "individual tendencies to orient and act with respect to objects in certain manners and to expect certain consequences from these actions."²³

Coriolanus' pride is so extreme, his disdain for the masses so intense, he cannot assume a role that demands that he seek the approval of others.

...But his contempt for the people is, ironically, part of his own self-consuming quality: he rejects the idea that his own actions need any verification outside themselves.

In the light of this, the real meaning of Coriolanus's 'pride' becomes clear. His pride, like Achilles's in Troilus and Cressida, is a self-creation without reference to society, a self-conferment of value, and it is because it rejects the need for social verification, the evaluations of others, that it is enclosed and therefore self-consuming. Coriolanus is a man of massive integrity, wholly authentic; but his authenticity consists in keeping himself clear of the defining evaluations of his society, preserving a personal wholeness which social communication and responsibility can, to him, only dilute. He is fully alive in the process of acting, most himself when on the battlefield; to return from there to the city is to return from the pleasure of self-definition to the irrelevancies of public response and demand. His personal actions grow out of his control and raise complex social consequences which he can ignore but not finally evade, which threaten his private wholeness.²⁴

²³Getzels and Thelen, "The Classroom as a Social System," The National Society for the Study of Education, Chicago: University of Chicago Press, 1960, p. 68.

²⁴Eagleton, op. cit., p. 104-5.

On the nomothetic level, the role expectations then are for a wise, collegial administrator, not a tyrant; on the idiographic level, Coriolanus needs recognition, not approbation; wants power, not shared authority. He feels that his virtuous actions speak for themselves and that he needs no approbation, especially from the scum of the earth.

For Coriolanus is not Julius Caesar or an Augustus with an intelligent craving for supreme executive power, and neither is he a Tamburlaine, with a blind lust for supreme conquering power. What he yearns for ambitiously is recognition in Rome of his supreme worth as a valorous and entirely trustworthy patrician warrior, and he wants power only as it stands for that recognition. In short, he wants power only so far as it is honor.²⁵

If Coriolanus had lived in the time of the Roman monarchy, he would have been proclaimed king and ruled happily as a tyrant. Unfortunately for him, the social landscape had changed; he was living in the Republic, a relatively experimental form of government still undergoing growing pains. Coriolanus desperately wanted to be Consul, one of the leaders of the Republic; but his notion of the role and the notion held by the people was not the same: he cannot "relate" to the role. Likewise, he did not find "integration" either. As Farnum says:

The deeply flawed Coriolanus, as Shakespeare sees him, is one of the chief reasons why the government headed by the patricians is imperfect, and yet he is also one of the reasons what that government has virtue in it. His

²⁵Willard Farnum, The Tragic Frontier, op. cit., p. 237)

pride is patrician pride grown to a self-contradictory greatness that makes it at times a monstrous liability and at other times a magnificent asset to the state. It forces him to set himself off from other men as better than they--so far off, indeed, that he lacks understanding of humanity and cannot make any truly unselfish contributions to the public weal; but though it keeps him at all times from knowing what true self-sacrifice for the state can be like, it paradoxically drives him to give himself to the state completely, and heroically, in time of war.²⁶

Like Richard II, Coriolanus is the wrong man attempting to do the wrong job.

D. HERSEY AND BLANCHARD'S THEORY OF SITUATIONAL LEADERSHIP

As presented in earlier chapters, Hersey and Blanchard's theory of Situational Leadership is based on the interplay among three variables: the amount of guidance and direction that a leader gives (task behavior); amount of socio-emotional support a leader supplies (relationship behavior); and the readiness level that the followers exhibit in performing a specific task, function, objective (maturity level).²⁷

Situational Leadership not only suggests the high probability leadership styles for various maturity levels, but it also indicates the probability of success of the

²⁶Ibid., p 236-237.

²⁷Hersey and Blanchard, Management, op. cit., p. 150.)

other style configurations if the leader is unable to use the desired style. "According to Situational Leadership, there is not one best way to influence people."²⁸ If we look at Coriolanus and his behavior, we discover there is, however, a worst way. Coriolanus is extreme; he has an extremely high task orientation, negative relationship behaviors, and absolute disregard to the maturity level of the plebeians, the patricians, and even Audifius. Variation of style is impossible for Coriolanus. He has only one style: coercive invective.

Key to the understanding of Hersey and Blanchard's model is the definition of the follower's readiness or "maturity," that is, "the ability and willingness of people to take responsibility for directing their own behavior."²⁹ For the follower it is "as the capacity to set high but attainable goals (achievement-motivation), willingness and ability to take responsibility, and education and/or experience of an individual or group."³⁰

Depending on the task, people may have varying degrees

²⁸Hersey and Blanchard, Management, op. cit., p. 151.

²⁹Ibid.

³⁰Gates, Hersey, Blanchard, "Diagnosing," op. cit., p. 349.

of maturity. The maturity of followers is a matter of degree and the figure divides the maturity continuum below the leadership model into four levels: low (M1), low to moderate (M2), moderate to high (M3), and high (M4).

For Coriolanus there are only two levels, the patricians, born to leadership, and the scum, spawned for following.

Yet with neither group does he work well; he is a loner.

When at the end of the play Aufidius taunts him about his conquest, he betrays his profoundly egotistical isolation:

If you have writ your annals true, 'tis there
That, like an eagle in a dove cote, I
Flutter'd your Volscians in Corioli;
Alone, I did it.

Coriolanus, 5.6.114-117

For Hersey and Blanchard, the appropriate leadership style in any given situation for each of the four levels of maturity includes the right combination of task behavior (giving direction, setting goals, defining roles) and relationship behavior (providing support, "psychological strokes," and facilitating behaviors).

The successful situational leader will assess the maturity level of followers and behave as the model prescribes. Implicit in the Hersey and Blanchard model is the idea that the leader should help followers grow in maturity as far as they are able and willing to go. Coriolanus resents any attempts by the people to emerge and share economic and political power.

Coriolanus is the antithesis of the type of leadership or management style described by Hersey and Blanchard. Coriolanus' behavior and comments reflect what Elton Mayo called the "Rabble Hypothesis."³¹

In 1924, efficiency experts designed a research program for the Western Electric Company, Hawthorne works, at Cicero, Illinois. The research project was to study the effects of illumination on productivity. The experts had assumed that increases in illumination would result in higher output. The output from the test group increased as anticipated; however, the output from the control group also increased without any increase in illumination.

Elton Mayo and his associates from Harvard's Graduate School of Business were called in to help in an expanded program of experiments. What Mayo discovered was that changes in productivity were not caused by changes in plant and physical working conditions. Rather, human issues affected the productivity. Attention lavished on the workers during the experiment made them feel an important part of the company; the workers became a cohesive team. The workers developed feelings of affiliation, competence, and achievement; they worked harder than they ever had before.

³¹Hersey and Blanchard, Management, op. cit., p. 45-47.

Mayo indicted the entire society for treating human beings as insensitive machines concerned only with economic self-interest. He pointed out that work in American industry meant humiliation: workers felt unimportant, confused, and isolated, victims of their own environment.

According to Mayo, too many managers in American business assumed that society consisted of a mob or unorganized individuals whose only concern was self-interest and self-preservation. They wanted to do as little work as possible for the greatest economic reward. Mayo called this the "Rabble Hypothesis."

Remember some of Coriolanus' taunts to the plebeians:

What's the matter, you dissentious rogues,
That, rubbing the poor itch of your opinion,
Make yourselves scabs.

Coriolanus, 1.1.168-170

You common cry of curs! whose breath I hate
As reek o' th' rotten fens, whose loves I prize
As the dead carcasses of unburied men
That do corrupt my air.

Coriolanus, 3.3.119-122

Coriolanus loathes the people. It is impossible for him to consider even the possibility of sharing power, participating with or delegating to these people.

Coriolanus is given only to telling.

He sees the granting of power to the people both as starting a self-consuming process in them--increasing their appetite in proportion to what they get--and as a self-defeating act on the part of the patricians: in appeasing the plebeians the patricians are preparing

their own downfall.³²

Coriolanus is good only at telling and the people are willing only to listen to his commands when there is an immediate and pressing danger such as an imminent attack by the Volsces. Even in battle he prefers to attack alone; his rash behavior actually has him entrapped in the enemy city for a time. Coriolanus is no Henry V, a man who respects and accompanies his men into battle. Farnum in his book Shakespeare's Tragic Frontier says that Coriolanus was not even a good general.

His service under Cominius proves that he is a great soldier, not that he is a great general. In warfare he is an invincible champion, an inspiring example of what one brave man can do with a sword, rather than a wise and skillful leader of men. On the battlefield, pride leads him to show the very finest of his noble qualities, but, as one might expect, it tends to cut him off from those around him even while it makes him win their praises. In Shakespeare's eyes, Coriolanus is the complete opposite of that happy warrior Henry V in his attitude toward the mass of common soldiers. He can curse them effectively and shame them effectively, for he never commands them to do anything that he himself cannot and will not do better than they, but never in the least does he make himself one of them, as Henry does when says to his men before the Battle of Agincourt:

For he today that sheds his blood with me
Shall be my brother; be he ne'er so vile
This day shall gentle his condition.

Henry V, 4.3.61-63

Gentle the condition of the common file? It is flattery, demagogic flattery, for a general to use such words, Coriolanus would say. His faith is firm that only "our gentlemen" are brave and that common soldiers

³²Eagleton, op. cit., p. 101.

are always ready to run "from rascals worse than they."
(Coriolanus, 1.4.42-44)

It is typical of him that he performs prodigies of valor to enter the gates of Corioli, and then, because he is not followed by his men, who of course have no love for him and think him foolhardy, has to perform more prodigies of valor to get out to the city again and shame the Romans into making a victorious assault upon it.³³

Contrast Henry V's speech at Agincourt, with this diatribe Marcius delivers before the gates of Corioli. Here is Henry's peroration:

This day is call'd the feast of Crispian.
He that outlives this day and comes safe home
Will stand a tip-toe when this day is named,
And rouse him at the name of Crispian.
He that shall live this day, and see old age,
Will yearly on the vigil feast his neighbours,
And say, "To-morrow is Saint Crispian."
Then will he strip his sleeve and show his scars,
And say, "These wounds I had on Crispin's Day."
Old men forget; yet all shall be forgot,
But he'll remember with advantages
What feats he did that day. Then shall our names,
Familiar in his mouth as household words,
Harry the King, Bedford, and Exeter,
Warwick and Talbot, Salisbury and Gloucester,
Be in their flowing cups freshly rememb'ed.
This story shall the good man teach his son;
And Crispin Crispian shall ne'er go by,
From this day to the ending of the world,
But we in it shall be remembered,
We few, we happy few, we band of brothers,
For he to-day that sheds his blood with me
Shall be my brother; be he ne'er so vile,
This day shall gentle his condition;
And gentlemen in England now a-bed
Shall think themselves accurs'd they were not here,
And hold their manhoods cheap whiles any speaks
That fought with us upon St. Crispin's day.
Henry V, 4.3.39-66

³³Farnum, op. cit., p. 238-9.

Here is Coriolanus' diatribe:

All the contagion of the south light on you
 You shames of Rome! you herd of--Boils and plagues
 Plaster you o'er, that you may be abhorr'd
 Farther than seen, and one infect another
 Against the wind a mile! You souls of geese,
 That bear the shapes of men, how have you run
 From slaves that apes would beat! Pluto and hell!
 All hurt behind! Backs red, and faces pale
 With flight and agued fear! Mend and charge home
 Or, by the fires of heaven, I'll leave the foe
 And make my wars on you. Look to't; come on!
 If you'll stand fast, we'll beat them to their wives,
 As they us to our trenches followed.

Coriolanus, 1.4.30-42

In Coriolanus' polemic there is no talk of brotherhood, no camaraderie, no common quest, no call to love of country. His taunts and invectives merely alienate the troops: he enters Corioli alone as the men mark his "fool-hardiness."³⁴

Coriolanus is temperamentally incapable of admitting any relational aspects to leadership. Unable to respect his followers and even his fellow patricians, he is doomed to failure as a leader. His unbridled pride precludes any possibility for successful leadership.

In Coriolanus, Shakespeare finds within a deeply flawed yet noble human character the only tragic mystery that really matters, just as he does in Antony and Cleopatra. . . . The hero does not merely stand at the center of the tragedy, he is the tragedy. He brings no one down with him in his fall, and his character is entirely sufficient to explain his fall. No supernatural forces are shown to be at work against him.

The tragic flaw of Coriolanus is pride, as we are told

³⁴Coriolanus, 1.4.46

by other characters in the play again and again. The paradox of Coriolanus is that in his pride or closely connected with it, there is not only everything bad but also everything good by which he comes to be subject for Shakespearean tragedy.³⁵

As the play ends, Aufidius offers a last comment on the now dead Coriolanus:

Take him up.
 Help, three o' th' chiefest soldiers; I'll be one.
 Beat thou the drum, that it speak mournfully;
 Trail your steel pikes. Though in this city he
 Hath widow'd and unchilded many a one,
 Which to this hour bewail the injury,
 Yet he shall have a noble memory.

Coriolanus, 5.6.149-153

"Noble memory"? Coriolanus' nobility is that of the single-minded soldier who suffers wound upon wound to acquire a sense of virtus. As Willard Farnum concludes:

Coriolanus, then, can be thought of as greatly noble, and a chorus of Volscians urges us at the end of the tragedy to remember him thus. . . He is monstrously deficient as a human being, and his deficiency is the more unfortunate because it tends not to foster pity for him but to destroy any that we might give him. . . Coriolanus, the fanatical lover of himself who never knows disillusionment, whose pride is so great that his spiritual self-sufficiency is never shaken, repels pity at any time, and when he does not inspire admiration, he is apt to inspire such detestation as to leave no room for pity.³⁶

And so is laid to rest the despised and despising leader, the man most unsuited to lead. James E. Phillips in his introduction to Coriolanus has said

³⁵Ibid, p. 207.

³⁶Ibid., p. 263.

In no respect, political or personal, is Coriolanus portrayed by Shakespeare as qualified to assume the function of the "kingly-crowned head" in the body politic as these functions were set forth in the Renaissance either by the idealistic followers of Erasmus's Education of a Christian Prince, or by the realistic followers of Niccolo Machiavelli's The Prince; or, for that matter, by anyone in anyway wise in the ways of political leadership.³⁷

F. LESSONS IN LEADERSHIP

TASKMASTERS BEWARE

Coriolanus is the ultimate taskmaster. He has won battle after battle and has the scars to prove it. His style of leadership, high S1, is sometimes not only useful but absolutely necessary. He is a "Joe Clark," the type of principal a superintendent hires to turn around a school that is "at risk." He is the type of superintendent a board of education will hire to turn around (if not turn upside down) a school district. He is the commander who is hired to "clean up" a police force. He is the executive, whether of Eastern Airlines or Northwest Orient Airlines, who takes on the unions and keeps the planes flying at any cost. He is the person who tramples on human beings, their sensitivities, and their feelings of self-worth to get "the job" done.

There is a lesson for such taskmasters in

³⁷James E. Phillips, "Introduction", Twentieth Century Interpretations of Coriolanus, (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1970), p. 11.

Shakespeare's Coriolanus. Once the Volsces are conquered at Corioli, the people do not really need this arrogant scornful martinet; once the treaty is signed with the Romans, Aufidius and the Volsces kill Coriolanus.

Institutions may at times need taskmasters; but once the job is done, taskmasters are expendable. Society needs a General Patton to win a war; once the war is over, he is scheduled for retirement and isolation.

ACTION IS ELOQUENCE, BUT SILENCE IS GOLDEN

When Volumnia is trying to convince her son to return to the Forum to seek the approbation of the people of Rome, she says:

for in such business,
Action is eloquence, and the eyes of th' ignorant
More learned than the ears.

Coriolanus, 3.2.75-77

She is right, of course. Actions do speak louder than words. The problem with her son is that he does not know that silence can also be eloquent. If ever there was a man betrayed by what he says, it is Coriolanus. Prudence, circumspection, caution, diplomacy, finesse, tact are not attributes of Coriolanus. In spite of warnings from Cominius, Menenius, and his mother, he cannot control his tongue. Time and time again, he gives way to vituperative railing against not only the plebeians but even his colleagues. He would say that he is only being truthful,

but it is always and only his truth, and a truth that is as caustic as it is self-serving.

The Latin axiom agere sequitur esse (action follows being) applies. Immature (he is in Aufidius' word a "boy,"³⁸ and arrogant, Coriolanus, by his actions and speech, demonstrates his limitations as a leader and as a human being.

The successful leader in the real world, as well as in the world of Shakespeare, measures his words carefully. As Plutarch said:

And to saye truely, the greatest benefit that learning bringeth men unto, is this: that it teacheth men that be rude and rough of nature, by compasse and rule of reason, to be civill and curteous, and to like better the meane state, than the higher.³⁹

³⁸Coriolanus, 5.6.101

³⁹Bullough, op. cit., Plutarch's Life of Coriolanus, p. 506.

CHAPTER VII

MARK ANTONY

PUBLIC LIFE AND PRIVATE LUST

The triple pillar of the world transform'd
Into a strumpet's fool.

Antony and Cleopatra 1.1.12-13

A. SUMMARY OF THE PLAYS

Mark Antony appears in two of Shakespeare's plays: Julius Caesar and Antony and Cleopatra. In Julius Caesar, a young and athletic Antony is taking part in the Lupercalian sports. He is devoted to Caesar and trusted by Caesar. As the conspirators plot the assassination of Julius Caesar, Brutus consistently misjudges Antony's character and ability; Brutus perceives him as frivolous and sportive.

After Caesar's assassination, Antony convinces Brutus of his friendship, so that he can deliver the funeral oration for Caesar. Using a handful of effective rhetorical devices Antony rouses the mob into a frenzy and sets them off to burn the houses of the conspirators. Antony, Lepidus, and Octavius meet to consolidate their hold on Rome

and draw up a list of those enemies of the state who are to be killed. At the battle of Philippi, he, with Octavius and Lepidus, defeats the conspirators. Antony has become one of the most powerful men in the empire.

The story of Antony's tragic love for Cleopatra begins long before the action of the play Antony and Cleopatra. After Marcus Brutus and the other assassins of Julius Caesar have been defeated at Philippi, the victors--Mark Antony, Octavius, and Lepidus--form the triumvirate in 43 B.C. They divide the Roman Empire into three parts: Octavius Caesar rules Italy and the western and northern provinces; Lepidus rules over Africa with the exception of Egypt; Mark Antony rules Egypt and all the conquered territories east of the Adriatic.

While preparing for war against the Parthians, Antony summons Cleopatra to answer accusations that she had helped Brutus and Cassius in their war against the Triumvirate. At the meeting he becomes infatuated with Cleopatra, follows her back to Alexandria, turning aside from all his state administrative responsibilities, his own wife Fulvia's war against Octavius in Italy, and the preparations for the campaign against the Parthians.

Antony and Cleopatra begins in Alexandria with Antony, the great soldier and noble leader, hopelessly

enthralled by the beauty of the Egyptian Queen Cleopatra and immersed in the inane and frivolous sensuality of the Egyptian court. When Antony's wife Fulvia dies and when political tensions between Octavius Caesar and him are at the breaking point, Antony returns to Rome. As a means of cementing relations with Octavius, Antony marries Octavia, Octavius's sister; this marriage makes Cleopatra insanely jealous.

The reconciliation with Octavius does not last, and Antony leaves Octavia and returns to Egypt and Cleopatra. At the battle at Actium, Antony is forced to retreat to Alexandria pursued by Caesar's legions when Cleopatra and her navy desert him in battle. The defeat at Actium causes several generals and much of his army to desert him. When Antony's request for a truce is denied by Octavius, Antony decides to fight to the death even though Enobarbus, Antony's closest friend and subordinate, has deserted to Octavius.

The next day, Antony is successful in a battle on land. Flushed with this success, he decides to fight Octavius on the sea again. His navy deserts him and surrenders to Octavius without a fight. Militarily defeated and emotionally drained, he accuses Cleopatra of betraying him, and he threatens to kill her. Hearing the false report

that Cleopatra is dead, he falls upon his sword, but does not die immediately. He is carried to the monument where Cleopatra has taken refuge, and he dies in her arms.

Cleopatra is captured by Octavius who wants her alive. She, however, commits suicide by allowing an asp to bite her.

Octavius, in a romantic gesture, orders that the two lovers be buried together.

B. THE CHARACTER OF MARK ANTONY

In 1678 John Dryden wrote his own version of the tale of Antony and Cleopatra and entitled it: All for Love; or the World Well Lost. The title of his play is an appropriate epitaph for the life of Marcus Antonius, better known to us as Mark Antony, one of the most powerful men of his age, brought to ruin by his infatuation with Cleopatra.

Mark Antony has many, but not all, of the attributes of the effective Shakespearean leader.

Mark Antony was a man of imagination. Along with Julius Caesar and Octavius Caesar, he saw the tremendous potential for an empire to rival that of Alexander's. He envisioned a Roman state not limited to the Italian peninsula but extending throughout Europe and girding the Mediterranean Sea.

Mark Antony's eloquence changed the course of history. As the conspirators hoped to continue their plot to assume power, Mark Antony's rhetorical prowess in composing and delivering the funeral oration over Julius Caesar's body aroused the masses against the conspirators and led to the ascendancy of the triumvirate.

Mark Antony held the respect and admiration of the people of Rome and his own soldiers. As he finishes the funeral oration, the people of Rome, are awed by his eloquence, and cry

Peace, ho! hear Antony, most noble Antony.

Julius Caesar, 3.2.239

In his battles with the other members of the triumvirate, only when the situation is clearly hopeless, do his soldiers abandon him. The lines they utter ring with respect and love.

Yet Mark Antony fails to be a successful leader. His physical attraction to Cleopatra clouds his plans and implementation of plans.

Why should he follow?
The itch of his affection should not then
Have nick'd his captainship?

Antony and Cleopatra, 3.13.10-12

"The itch of his affection" for Cleopatra saps his energies so that as a leader he is ultimately ineffective.

Mark Antony was born in 83 B.C. and would have been about thirty-eight when the action of the the play Julius

Caesar opens. He was related to Julius Caesar, had joined him in Gaul, and remained ever faithful to him. In 49 B.C., he was tribune and supported Caesar's march on Rome. While Caesar was in Greece and Egypt fighting a civil war, Antony administered Rome.

In the two plays of Shakespeare, Julius Caesar and Mark Antony, we see a dynamic and inspirational leader, a man of unflagging loyalty, a successful military strategist, who loses his empire and his life "all for love." As Terence Eagleton says:

Antony, like Coriolanus, is confronted with a choice between personal self-fulfillment and social responsibility, and he chooses self-fulfillment; but unlike Coriolanus, he approaches the choice with full, tragic consciousness of his condition, and chooses with an element of gratuitousness.¹

Willard Farnham in his book Shakespeare's Tragic Frontier notes the same tension between his ability to lead and his willingness to sacrifice all for love.

Shakespeare's Antony is born to lead men and to make crowns and coronets wear his livery. It is part of his tragedy that, though he has a luxuriant personal force which seem irresistible, he is not equal to the task of crushing a less opulent great spirit like Octavius and winning the rulership of the entire world.²

Or as Isaac Asimov asserts about Caius Marcius (Coriolanus):

That is his (Marcius's) tragedy: the tragedy of his

¹Terence Eagleton, Shakespeare and Society, op. cit., p. 125-26.

²Willard Farnham, Shakespeare's Tragic Frontier, op. cit., p.174.

personality. What he might have gained, and ought to have gained for the better qualities within himself, he threw away by his perpetual anger and willfulness.

In Antony and Cleopatra, Shakespeare shows us a flawed hero, Mark Antony, who sacrificed honor and worldly ambition to love and to sexual passion.³

This tension between the position to which Antony was called (a position for which his politically acute imagination, his passionate eloquence, and his intense popularity are essential prerequisites) and his own personal needs, which seem to militate against his fulfilling his responsibilities and duties is the focus for the analysis. Mark Antony with all his strengths and weaknesses is revealed to us in these plays.

Antony appears in Julius Caesar as a loyal follower of Caesar, a cunning and eloquent leader, and a successful military strategist.

In the second scene of the play, Antony, as one of the runners, has promised to touch Calpurnia as he runs by

Forget not, in your speed, Antonius,
To touch Calpurnia; for our elders say,
The barren, touched in this holy chase,
Shall shake off this sterile curse.

Julius Caesar, 1.2.6-9

Ever loyal to Caesar, Antony shows his notion of a follower's response to a leader.

I shall remember:
When Caesar says, "Do this," it is perform'd.

Julius Caesar, 1.2.9-10

³ Isaac Asimov, op. cit., p. 216.

Antony is the dutiful follower; and because of this, Caesar trusts him. It is Antony who thrice offers Caesar the Crown; it is Antony with whom Caesar discusses his distrust of Cassius:

Let me have men about me that are fat,
Sleek-headed men and such as sleep o' nights.
Yond Cassius has a lean and hungry look;
He thinks too much; such men are dangerous.

Julius Caesar, 1.2.192-5

When the conspirators plot, they spare Antony from execution thinking that, without Caesar, he will be harmless:

For Antony is but a limb of Caesar.

.
As for Mark Antony, think not of him;
For he can do no more than Caesar's arm
When Caesar's head is off.

Julius Caesar, 2.1.165,181-3

When Cassius objects that Antony's love for Caesar makes Antony a threat, Brutus replies:

Alas, good Cassius, do not think of him.
If he love Caesar, all that he can do
Is to himself--take thought and die for Caesar;
And that were much he should, for he is given
To sports, to wildness, and much company.

Julius Caesar, 2.1.185-9

Brutus sees Antony in much the same way that Henry IV saw Prince Hal: sportive, wanton, and too social.

Cunningly, Antony ingratiates himself with the conspirators and gets their permission to deliver the funeral oration. The funeral oration, a model of rhetorical excellence, sways the mob so that it turns on the conspirators. His eloquence has turned the tide of history.

Brutus and Cassius are forced to flee the city, and Antony allies himself with Octavius and Lepidus.

In the final act of the play, Antony plans the military strategy at Philippi that leads to the rout of Brutus and Cassius' army.

Julius Caesar ends with Mark Antony triumphant.

Although he has lost his best friend Caesar, his eloquence has swayed the people of Rome to rise up against the conspirators, his political astuteness has allied him with Octavius and Lepidus, and his military acumen has destroyed Brutus and Cassius. Antony is at the pinnacle of his success.

What a sorry sight awaits the audience as Antony and Cleopatra begins. As Antony and Cleopatra and their entourage enter the stage, Philo, a friend of Antony, sneers:

Look where they come!
Take but good note, and you shall see in him
The triple pillar of the world transform'd
Into a strumpet's fool.

Antony and Cleopatra 1.1.10-13

Antony, one of the three most powerful men in the "civilized" world, has been reduced by this whore into a fawning love-sick puppy. Because of his infatuation with Cleopatra, he neglects his wife, his duty to country and his men, and, in the process, is destroyed.

Eight years have passed since the victory at Philippi. Antony is not what he once was. Even his closest friends comment on the change.

Nay but this dotage of our general's
O'erflows the measure. Those his goodly eyes,
That o'er the files and musters of the war
Have glow'd like plated Mars, now bend, now turn
The office and devotion of their view
Upon a tawny front; his captain's heart
Which in the scuffles of great fights hath burst
The buckles on his breast, reneges all temper
And is become the bellows and the fan
To cool a gipsy's lust.

Antony and Cleopatra, 1.1.1-10

The Antony who in battle was comparable to the god of war is now a toy for a dark-complexioned gypsy.

The other members of the triumvirate also have their opinions of Antony and his vices. Lepidus tends to be more understanding, suggesting that his faults cannot overshadow his goodness and that the flaws are innate not acquired.

I must not think there are
Evils enow to darken all his goodness.
His faults, in him seem as the spots of heaven,
More fiery by night's blackness; hereditary,
Rather than purchas'd; what he cannot change,
Than what he chooses.

Antony and Cleopatra, 1.4.10-15

Octavius is less sympathetic to the carousing of Antony. He acerbicly comments on Antony's antics:

You are too indulgent. Let us grant it is not
Amiss to tumble on the bed of Ptolemy;
To give a kingdom for a mirth; to sit
And keep the turn of tippling with a slave;
To reel the streets at noon, and stand the buffet
With knaves that smell of sweat: say this becomes him,--
As his composure must be rare indeed
Whom these things cannot blemish,--yet must Antony

No way excuse his foils, when we do bear
 So great weight in his lightness. If he fill'd
 His vacancy with his voluptuousness
 Full surfeits and the dryness of his bones
 Call on him for't; but to confound such time
 That drums him from his sport and speaks as loud
 As his own state and ours, 'tis to be chid
 As we rate boys who, being mature in knowledge
 Pawn their experience to their present pleasure,
 And so rebel in judgment.

Antony and Cleopatra, 1.4.16-33

Although he does not object to Antony's hedonistic and promiscuous behavior, Octavius does object that it interferes with the affairs of state. Octavius articulates a variation on the theme: What one does on one's own time is no concern of management; but what one does on company time does concern management. Antony's "voluptuousness" is not limited to his free time, his "vacancy." Antony is acting like a spoiled child sacrificing all for pleasure.

News of his wife's death and the political turmoil in Rome rouse the "old Antony."

These strong Egyptian fetters I must break
 Or lose myself in dotage.

Antony and Cleopatra, 1.2.120-1

Leaving Cleopatra, he returns to Rome and once again demonstrates his political astuteness. He forges anew his alliance with Octavius by marrying Octavia, Octavius' sister. Though he marries Octavia, his desire for Cleopatra is undiminished.

I will to Egypt
 And though I make this marriage for my peace,
 I' th' East my pleasure lies.

Antony and Cleopatra 2.3.38-40

Although this marriage was to be the bond of friendship between Octavius and Antony, it is ultimately the source of friction. As Enobarbus says:

He will to his Egyptian dish again. Then shall the sighs of Octavia blow the fire up in Caesar; and, as I said before, that which is the strength of their amity shall prove the immediate author of their variance. Antony will use his affection where it is; he married but his occasion here.

Antony and Cleopatra 2.6.134-39

His mere presence in Rome is enough to make the rebellious Pompey sue for peace. Yet prior to his arrival, Pompey sums up his view of Antony. He sees Antony as a formidable military adversary who neglects his duties because of lust.

Menas, I did not think
This amorous surfeiter would have donn'd his helm
For such a petty war. His soldiership
Is twice the other twain; but let us rear
The higher our opinion, that our stirring
Can from the lap of Egypt's widow pluck
The ne'er lust wearied Antony.

Antony and Cleopatra 2.1.32-38

Once back in Egypt, having returned to his "Egyptian dish," Antony openly defies Octavius. He and Cleopatra appear enthroned together; he has publicly recognized Caesarion (son of Julius Caesar and Cleopatra); he has bestowed absolute power in Egypt and neighboring lands on Cleopatra; he has proclaimed his sons as "the kings of kings"⁴ and set them up as rulers of vast lands; and finally, he has allied himself with numerous kings. All of these displays of power incense Octavius, who resolves to

⁴Antony and Cleopatra, 3.6.13

wage war with Antony.

He hath given his empire
Up to a whore.

Antony and Cleopatra 3.6.66-67

In spite of warnings from his advisors, Antony engages Octavius in a naval battle at Actium and is soundly defeated. In the heat of battle, the Antoniad, the flagship of the Egyptians carrying Cleopatra, flees, and Antony follows suit.

She once being loof'd
The noble ruin of her magic, Antony,
Claps on his sea-wing, and, like a doting mallard
Leaving the fight in height, flies after her.
I never saw an action of such same;
Experience, manhood, honour, ne'er before
Did violate so itself.

Antony and Cleopatra, 3.10.18-24

When Cleopatra asks Enobarbus whose fault the defeat was, he replies:

Antony only, that would make his will
Lord or his reason. What though you fled
From that great face of war, whose several ranges
Frighted each other? Why should he follow?
The itch of his affection should not then
Have nick'd his captainship, at such a point,
When half to half the world oppos'd, he being
The meered question. 'Twas a shame no less
Than was his loss, to course your flying flags
And leave his navy gazing.

Antony and Cleopatra, 3.13.3-12

Even Antony admits that his love for Cleopatra controls his life.

Egypt, thou knew'st too well
My heart was to thy rudder tied by th' strings,
And thou shouldst tow me after. O'er my spirit
Thy full supremacy thou knew'st, and that
Thy beck might from the bidding of the gods
Command me.

Antony and Cleopatra, 3.11.55-60

Enobarbus reflects that Antony was a soldier, and he should not have allowed the "itch of affection" to cloud his judgment as a military leader. He should have known better. As Enobarbus sees the degree to which Antony is distracted by Cleopatra, he considers abandoning him.

Mine honesty and I begin to square.
 The loyalty well held to fools does make
 Our faith mere folly; yet he that can endure
 To follow with allegiance a fall'n lord
 Does conquer him that did his master conquer
 And earns a place i' th' story.

Antony and Cleopatra, 3.13.41-46

As Antony continues to rail against his adversaries:

The next time I do fight
 I'll make Death love me; for I will contend
 Even with his pestilent scythe.

Antony and Cleopatra 3.13.192-4

Enobarbus makes his decision.

Now he'll outstare the lightning. To be furious
 Is to be frightened out of fear; and in that mood
 The dove will peck the estridge; and I see still
 A diminution in our captain's brain
 Restores his heart. When valour preys on reason,
 It eats the sword it fights with. I will seek
 Some way to leave him.

Antony and Cleopatra, 3.13.195-201

Deserted by his friends and advisors, Antony plays out the final tragedy. Thinking that Cleopatra has killed herself, he attempts to commit suicide but only mortally wounds himself. He has himself carried to Cleopatra. As he dies in Cleopatra's presence, he pleads to be remembered for his former nobility.

The miserable change now at my end
 Lament nor sorrow at; but please your thoughts
 In feeding them with those my former fortunes
 Wherein I liv'd, the greatest prince o' th' world,

The noblest; and do now not basely die,
 Not cowardly put off my helmet to
 My countryman, a Roman by a Roman
 Valiantly vanquish'd.

Antony and Cleopatra, 4.15.51-8

Antony was wrong. He may have been the "greatest prince o' th' world, the noblest," but he was not "a Roman by a Roman/Valiantly vanquished." "The fan to cool a gipsy's lust," "the strumpet's fool" had allowed a strumpet, a gypsy, to distract him from his responsibilities and thus vanquish him.

Yet in another sense, Antony is right: he is "a Roman by a Roman/Valiantly vanquished." Antony is destroyed, but not by the Roman Octavius; Antony is destroyed by his own love-blinded actions.

C. GETZELS AND GUBA'S NOMOTHETIC AND IDIOGRAPHIC DIMENSIONS OF SOCIAL BEHAVIOR

As described in earlier chapters, Getzels and Guba's Nomothetic and Idiographic Dimensions of Social Behavior offer a conceptual framework for understanding the type of conflict that is presented in Shakespeare's portrayal of Antony in both Julius Caesar and Antony and Cleopatra. Getzels and Guba identify three types of conflict: Role-personality Conflicts, Role Conflicts, and Personality Conflicts.⁵

⁵Getzels and Guba, "Social Behavior and the Administrative Process, op. cit., p. 431-32

When the individual performs up to the expectations of the role, Getzels and Guba say that he has adjusted to the role; when the individual fulfills all his needs, they say he is integrated. The individual should be both adjusted and integrated, so that he may by one act fulfill both the nomothetic, or institutional, requirements, and the idiographic, or personal requirements.⁶ Mark Antony at time, particularly in Julius Caesar is an effective leader; he fulfills the expectations of the role and, at the same times satisfies his needs. He is the effective politician and military leader.

Antony is the faithful follower of Julius Caesar. As tribune he had been instrumental in Caesar's rise to power. When Caesar is assassinated, he assumes the role as defender of the spirit of Caesar. Using his rhetorical skills, he turns the people against the conspirators. Using his political skills, he forges with Octavius and Lepidus a political alliance that rules the world. Along with Octavius, he defeats the conspirators at the battle of Philippi.

However, in Antony and Cleopatra a **personality conflict** is evident. Antony's personal need for a loving

⁶Ibid., p. 421.

relationship with Cleopatra conflicts with his fulfilling the demands of his role as a member of the triumvirate and as a military general. **Personality conflicts** occur as a "function of opposing needs and disposition within the personality of the role incumbent."⁷ Because the individual cannot maintain a stable relation with a given role, or because he habitually misperceives the expectations placed upon him, the individual is at odds with the institution.

No matter what the situation, the role is, in a sense, detached by the individual from its institutional context and function and is used to work out personal and private needs and dispositions, however inappropriate they may be to the goals of the system as a whole.⁸

Antony's inability to control his lust for Cleopatra puts him at odds with his fellow triumvirs.

Antony's character is a central problem in the plays.

The essential definition of this strange and many-sided personage may be given summarily as a noble nature destitute of any moral sense. Is nobility of nature, it may be asked, compatible with an absence of moral principle? It may appear strange to place the two terms in such close juxtaposition, but the state of things thus implied is of only too real occurrence.

There are men who are passionately affected by everything that is beautiful--fine forms, fine sentiments, fine actions, fine characters, excite their enthusiastic admiration. . . . These men are capable of enthusiasm for fine traits of virtue, not because it is virtuous but because it is fine; they themselves would be capable of acts having all the appearance of virtue--they could be magnificent, generous, chivalrous,

⁷Ibid., p. 432.

⁸Ibid., p. 432.

even heroic,--but all the time it would be nothing but a brilliant falsehood, for their conduct has no moral principle for its basis, and is determined by an attraction which charms their imagination, and not by the idea of duty ruling in their conscience. Beside the morality enforced by duty, nothing is commoner or better known than that dictated by self-interest or by pleasure; but there yet remains another system of ethics, which is less studied and has, too, fewer disciples than these, and it is of the aesthetic morality, as it may be called that Antony is the type.⁹

Time and time again we see this lack of moral sense. He uses deception in order to get the conspirators to allow him to speak at Caesar's funeral.

Therefore I took your hands, but was, indeed,
Swayed from the point, by looking down on Caesar.
Friends am I with you all and love you all,
Upon this hope, that you shall give me reasons
Why and wherein Caesar was dangerous.

.
That's all I seek;

And am, moreover, sitor that I may
Produce his body to the market-place
And in the pulpit, as becomes a friend,
Speak in the order of his funeral.

Julius Caesar, 3.1.218-22, 227-30

As the members of the triumvirate mark men for death, he allows his sister's son to be marked for death--"with a spot I damn him."¹⁰ In marriage, too, he seems to lack a moral sense. He is unfaithful to his wife; and upon her death, he remarries for political purposes knowing that he will return to Cleopatra. His attraction to "fine forms" clouds his judgment.

⁹Stapfer, Shakespeare and Classical Antiquity, p. 380.

¹⁰Julius Caesar, 4.1.6

Antony allows his love for Cleopatra to vitiate his role as military leader.

The inability of Antony and Cleopatra to separate their public and private roles makes one complication lead to another in their lives. A threat to their love give them cause to doubt their political authority (this is particularly true in Cleopatra's case). By the same token, a threat to their political authority gives them cause to doubt their love (this is particularly true in Antony's case). For them, insecurity in one area of life quickly spreads to another, an inescapable consequence of their attempt to make their love the whole of their lives, a whole that turns out to have the shape of a vicious circle.¹¹

Julian Markel in his work The Pillar of the World, articulates well the problem.

The play is built upon the opposition of public and private values. However we name them, love or honour, lust or empire--we know from the moment of Philo's opening speech that the issue before us is the form in which this opposition is to be resolved. It is usually said that Mark Antony is confronted by a choice between the values represented by Cleopatra and those represented by Octavius Caesar; and that however inadequate either value may be, he resolves this conflict by choosing Cleopatra and giving up the world.¹²

As a member of the triumvirate, as a military and political leader, he has responsibilities to the other members of the triumvirate, his soldiers and the Roman people. His dalliance with Cleopatra causes him to turn on

¹¹Cantor, Shakespeare's Rome, op. cit. , p. 196.

¹²Julian Markels, The Pillar of the World, (Columbus, Ohio: Ohio State University Press, 1968), p. 8-9.

Octavius and Lepidus, rashly endanger his soldiers, and betray the Roman people. He has allowed his personal life to destroy his effectiveness as a leader.

Markel, looking at Antony not as a leader but as a romantic hero, sees his death as an apotheosis.

. . .I shall argue in this book that Mark Antony is disciplined in the distinctive vision of the play wherein he is challenged either to choose between the opposed values represented by Cleopatra and Octavius or not to choose between them; and that instead of choosing, he resolves the conflict by striving equally toward both values and rhythmically making each one a measure and condition of the other. The result of his effort is that instead of becoming more "effeminate" as in North's Plutarch, Shakespeare's Antony grows larger in manhood until he can encompass both Rome and Egypt, affirming the values that both have taught him until both are fulfilled. Then his death comes, not as dissolution but as transcendence, a sign of his having approached as close to immortality as a poet may dare to imagine by becoming everything that it was in him to be. That I think is why the lovers' deaths produce a feeling of exaltation that so many critics find unique in Shakespeare.¹³

As a romantic hero in a play, Antony and his life and death may "produce a feeling of exaltation," but as a leader, his antics drive his men to despair.

The greater cantle of the world is lost
With very ignorance; we have kiss'd away
Kingdoms and provinces.

Antony and Cleopatra 3.10.6-8

Clearly Antony does not live up to the expectations of political and military leader. His lust for Cleopatra

¹³Ibid, p. 9.

precludes his performance of duties expected in both capacities. To satisfy his carnality, he sacrifices "kingdoms and provinces" and the right to rule.

D. HERSEY AND BLANCHARD'S THEORY OF SITUATIONAL LEADERSHIP

As seen in earlier chapters, Hersey and Blanchard's theory of Situational Leadership is based on the interplay among three variables: the amount of guidance and direction that a leader gives (task behavior); the amount of socio-emotional support a leader supplies (relationship behavior); and the readiness level that the followers exhibit in performing a specific task, function, objective (maturity level)¹⁴

One of the three most powerful men on earth, Antony commands the respect and admiration of his followers. Although his lieutenants and soldiers resent his infatuation with Cleopatra, they remain with him in Egypt waiting to continue the campaign against the Parthians. As the play Antony and Cleopatra begins, the gradual erosion of the confidence the men have in Antony as their leader is evident.

Philo:

Sir, sometimes, when he is not Antony,

¹⁴Hersey and Blanchard, Management, op. cit., p. 150.

He comes too short of that great property
Which still should go with Antony.

Demetrius:

I am full sorry
That he approves the common liar, who
Thus speaks of him at Rome, but I will hope
Of better deeds to-morrow.

Antony and Cleopatra 1.1.57-62

Antony's friends wait for the return of the Antony of yore
and hope for a "better deeds" in the future.

As Antony prepares for the first of the three
engagements against Octavius at Actium, he ignores the
warning of a soldier that Antony's strength is not on the
sea.

O noble emperor, do not fight by sea;
Trust not to rotten planks! Do you misdoubt
This sword and these my wounds? Let th' Egyptians
And the Phoenicians go a-ducking; we
Have us'd to conquer, standing on the earth,
And fighting foot to foot.

Antony and Cleopatra 3.7.62-67

Antony ignores the good counsel. Canidius, Antony's
lieutenant, knows that Antony's action is not based on his
usual military acumen; a woman has distracted him, and they
all have become her subjects.

his (Antony's) whole action grows
Not in the power on't. So our leader's led
And we are women's men.

Antony and Cleopatra 3.7.69-71

When the sea battle is lost, scandalized by the
retreat of Antony, Canidius deserts Antony.

Our fortune on the sea is out of breath
And sinks most lamentably. Had our general
Been what he knew himself, it had gone well,
O, he has given example for our flight,

Most grossly, by his own!

.

To Caesar will I render
My legions and my horse. Six kings already
Show me the way of yielding.

Antony and Cleopatra 3.10.25-29, 33-35

Yet while others desert Antony, Enobarbus, against his
better judgment, remains.

I'll yet follow
The wounded chance of Antony, though my reason
Sits in the wind against me.

Antony and Cleopatra 3.10.35-37

In the next scene, a chastened and repentant Antony
offers his men a shipload of gold and the opportunity to
make peace with Octavius.

Hark! the lands bids me tread no more upon 't;
It is asham'd to bear me! Friends, come hither.
I am so lated in the world, that I
Have lost my way forever. I have a ship
Laden with gold; take that, divide it; fly,
And make your peace with Caesar.

Antony and Cleopatra, 3.11.1-6

All of his men refuse this offer and remain with him
in his defeat. Antony, touched by their loyalty, reflects on
his own cowardice and again urges them to save themselves.

I have fled myself, and have instructed cowards
To run and show their shoulders. Friends, be gone;
I have myself resolv'd upon a course
Which has no need of you; be gone.
My treasure's in the harbour; take it. O,
I follow'd that I blush to look upon.
My very hairs do mutiny; for the white
Reprove the brown for rashness, and they them
For fear and doting. Friends, be gone; you shall
Have letters from me to some friends that will
Sweep your way for you. Pray you, look not sad,
Nor make replies of loathness. Take the hint
Which my despair proclaims; let that be left
Which leaves itself. To the sea-side straightway;
I will possess you of that ship and treasure.
Leave me, I pray, a little; pray you now,
Nay, do so; for, indeed, I have lost command,

Therefore I pray you. I'll see you by and by.
Antony and Cleopatra, 3.11.7-24.

Still his men remain loyal. What makes these men remain loyal to Antony even when they face defeat? What is it that makes them desert him, when they finally do, with reluctance, regret and shame? The answers to both questions tell us much about Antony's style of leadership. Much of Antony's behavior doesn't seem to warrant such loyalty from his followers.

Once his attraction to Cleopatra seduces him, he does not keep his mind on business. He was on his way to subdue the Parthians when he met Cleopatra. Instead of acting like Mars, the god of war, he has become an instrument for satiating her carnality.

Nay but this dotage of our general's
 O'erflows the measure. Those his goodly eyes,
 That o'er the files and musters of the war
 Have glow'd like plated Mars, now bend, now turn
 The office and devotion of their view
 Upon a tawny front; his captain's heart,
 Which in the scuffles of great fights hath burst
 The buckles on his breast, reneges all temper
 And is become the bellows and the fan
 To cool a gipsy's lust.

Antony and Cleopatra, 1.1.1-10

Political problems mount in Rome, and it is only his wife's death that causes him to leave Alexandria and return to sort out things. Yet this is a short-lived commitment to state issues. He returns to Cleopatra, and rouses the ire of Octavius.

The most stunning example of his dereliction of duty is that of his ship's leaving the battle to follow Cleopatra's ship. As the fleet retreats led by Antony following Cleopatra's ship, Canidius, a lieutenant general to Antony, remarks to Enobarbus:

Our fortune on the sea is out of breath
 And sinks most lamentably. Had our general
 Been what he knew himself, it had gone well.
 O (he) has given example for our flight,
 Most grossly, by his own.

Antony and Cleopatra, 3.10.25-29

Candius is disturbed by a leader who models retreat for his followers.

Enobarbus knows who is the blame for the naval defeat. It is Antony. Enobarbus can understand someone's being scared by the terrors of war; what he cannot understand is how he can allow his affection to cloud his judgment at this most crucial moment.

What though you fled
 From that great face of war, whose several ranges
 Frighted each other? Why should he follow?
 The itch of his affection should not then
 Have nick'd his captainship, at such a point,
 When half to half the world oppos'd, he being
 The mered question. 'Twas a shame no less
 Than his loss, to course your flying flags
 And leave his navy gazing.

Antony and Cleopatra 3.13.4-12

As the fleet retreats, Scarus, a friend of Antony, comments on the magnitude of the loss.

The greater cantle of the world is lost
 With very ignorance; we have kiss'd away

kingdoms and provinces.

Antony and Cleopatra, 3.10.6-8

A key element in assessing the maturity level of followers is motivation. Hersey and Blanchard explore various theories that give insight into the maturity level of followers. They adopt as one means of classifying high strength motives Maslow's hierarchy of needs. They look to Herzberg's hygiene factors and motivators as a way of describing goals that tend to satisfy Maslow's hierarchy of needs. Both of these theories offer great insight into Mark Antony's followers.

Both these frameworks can be integrated in Situational Leadership in terms of their relation to various maturity levels and the appropriate style that have a high probability of satisfying these needs or providing the corresponding goals.¹⁵

Hersey and Blanchard are quick to point out:

that the relationship of theories (Maslow and Herzberg) to maturity levels in Situational Leadership are not necessarily absolute, direct correlations: they are integrative bench marks for practitioners to use in attempting to make better decisions for managing human resources.¹⁶

Abraham Maslow in Motivation and Personality describes a five-tiered hierarchy of needs: physiological, safety (security), social (affiliation), esteem, and self-actualization.

¹⁵Hersey and Blanchard, Management of Organizational Behavior, op. cit., p. 295-296.

¹⁶Ibid.

The physiological needs are at the very bottom of the hierarchy because they have highest strength until they are satisfied in some degree. These needs are the basic items necessary for the sustenance of human life: food, clothing, shelter.

The safety or security need is fundamentally self-preservation: freedom from the fear of physical danger and the deprivation of basic physiological needs. In addition to present concerns, this need focuses on the future. The need looks to a guarantee of job security and personal safety.

The social need or affiliation grows out of the social nature of man. People as social entities need a sense of belonging to a group, a sense of being accepted by the group.

The esteem need is the need for the recognition and respect of others. Satisfaction of these esteem needs can produce feelings of self-confidence, prestige, power and control.

Self-actualization is the need to maximize one's potential, whatever that may be. A musician must play music, a poet must write, a soldier must fight, a general must win battles, a professor must teach. As Maslow

expresses it, "What a man can be, he must be."¹⁷

How is it that Antony was able to command such loyalty from his lieutenants and soldiers? The answer to that questions lies in an analysis of Antony's use of motivators that correspond to the level of maturity of this followers. Antony has satisfied the needs of his followers. With his soldiers, as was the custom, he shared the plunder from the wars. When defeat seems inevitable, he offers a ship load of treasure.

I have a ship
Laden with gold; take that, divide it; fly.
Antony and Cleopatra, 3.11.4-5

His concern for their future and security makes him offer them the opportunity to leave his service; he even offers to give them letters to his friends that will ease the transition.

Friends, be gone; you shall
Have letters from me to some friends that will
Sweep your way for you. Pray you, look not sad,
Antony and Cleopatra, 3.11.15-17

Antony has satisfied his followers' needs for affiliation, their sense of belonging, and esteem. Coriolanus addresses the people of Rome as "scabs"; Antony addresses his followers as friends, his "hearts." His

¹⁷Hersey and Blanchard, op. cit., p. 28.

followers are not the rabble or a mob; they are a well-trained, well-paid, elite band of men out to conquer the world. As Antony and his men prepare for battle, he calls them to a meal, a last supper.

Well, my good fellows, wait on me tonight.
 Scant not my cups; and make as much of me
 As when mine empire was your fellow too,
 And suffer'd my command.

.
Tend me tonight;
 May be it is the period of you duty:
 Haply you shall not see me more; or if,
 A mangled shadow; perchance to-morrow
 You'll serve another master. I look on you
 As one that takes his leave. Mine honest friends,
 I turn you not away; but, like a master
 Married to your good service, stay till death.
 Tend me tonight two hours, I ask no more,
 And the gods yield you for't.

Antony and Cleopatra, 4.2.20-23,24-33

Antony talks to his men as friends who may, because of the vagaries of war, soon serve another master. Moved to tears by his comments, Enobarbus objects:

What mean you, sir,
 To give them this discomfort? Look, they weep;
 And I, an ass, am onion-ey'd. For shame,
 Transform us not to women.

Antony and Cleopatra, 4.2.33-36

Antony responds that he did not mean to dishearten them on the eve of battle. Touched by their loyalty, he recommits himself to leading them to victory.

Ho, ho, ho!
 Now the witch take me, if I meant it thus!
 Grace grow where those drops fall! My hearty friends,
 You take me in too dolorous a sense;
 For I spake to you for your comfort, did desire you
 To burn this night with torches. Know, my hearts,
 I hope well of to-morrow, and will lead you

Where rather I'll expect victorious life
 Than death and honour. Let's to supper, come,
 And drown consideration.

Antony and Cleopatra, 4.2.36-45

The last supper is a virile love feast, an agape. Antony and his men are bound together by a deep and reciprocal affection. This scene with its camaraderie is reminiscent of Henry V's fraternization with his troops on the eve of the battle of Agincourt. (Henry V, however, was in disguise as he walked amid the troops on the eve of battle; Antony here is another soldier preparing to face the possibility of death.)

In Maslow's hierarchy, the higher strength needs (physiological and safety) must be satisfied before others--social, esteem, and self-actualization--can be addressed. A person starving to death is not concerned with social acceptance or recognition. "Esteem and self-actualization seem to become more important as people mature."^{1e}

The figure in Appendix B-III plots the styles that tend to be appropriate for working with people motivated by the various high strength needs described by Maslow. S1 and S2 (telling and selling) are more appropriate for physiological, security, and social needs; S3 and S4

^{1e}Hersey and Blanchard, Management, op. cit., p. 56.

(participating and delegating) are more appropriate for social, esteem, and self-actualization needs.¹⁹

Antony satisfies both higher strength needs as well as lower strength needs. By his offer of a ship of gold, the opportunity to leave, and his fraternization with his men, he satisfies physiological, security, and social needs. By his respect for them and his willingness to allow them to make their own decisions, he satisfies esteem and self-actualization needs.

Frederick Herzberg's motivation-hygiene theory adds another dimension to Maslow's hierarchy. (The figure in the Appendix B-III reflects the relationship among the motivators and hygiene factors, levels of maturity, and leadership styles.) Herzberg in his studies concluded that there are two types of needs that are essential and independent of each other and affect behavior in different ways.

Herzberg called the first category of needs hygiene or maintenance factors: hygiene because they describe people's environment and serve the primary function of preventing job dissatisfaction; maintenance because they are never completely satisfied--they have to continue to be maintained. He called the second category of needs motivators since they seemed to be effective in motivating people to superior performance.²⁰

¹⁹Ibid., p. 296.

²⁰Ibid., p. 57.

Herzberg's studies concluded that hygiene factors produced no growth in worker output; they only prevented losses in worker performance. His study also concluded that motivators seemed capable of having a positive effect on job satisfaction, often resulting in an increase in one's total output.²¹

MOTIVATORS

Achievement
 Recognition for accomplishment
 Challenging work
 Increased responsibility
 Growth and development

HYGIENE FACTORS

Policies and administration
 Supervision
 Working Conditions
 Interpersonal relations
 Money, status, security

These two theories can be most helpful in choosing the proper motivational strategy to achieve the goal.

Thus, in a motivating situation, if you know what are the high strength needs (Maslow) of the individuals you want to influence, then you should be able to determine what goals (Herzberg) you could provide in the environment to motivate those individuals. At the same time, if you know what goals these people want to satisfy, you can predict what their high strength needs are. That is possible because it has been found that money and benefits tend to satisfy need at the physiological and security levels; interpersonal relations and supervision are examples of hygiene factors that tend to satisfy social needs; increased responsibility, challenging work, and growth and development are motivators that tend to satisfy needs at the esteem and self-actualization levels.

We feel that the physiological, safety, social and part of the esteem needs are all hygiene factors. The esteem needs are divided because there are some distinct differences between status per se and recognition. Status tends to be a function of the position one occupies. One may have gained this position through competence and achievement. It is earned and granted by

²¹Ibid., p. 57-58.

others. Consequently, status is classified with physiological, safety, and social needs as a hygiene factor, while recognition is classified with esteem as a motivator.²²

Hersey and Blanchard apply the categories of Situational Leadership to many other current theories dealing with leadership and management: e.g., Management Style and Human Nature (McGregor's Theory X and Theory Y, Argyris' A and B behavior patterns, Schein's four assumptions),²³ Berne and Harris' Transactional Analysis,²⁴ Power Bases,²⁵ Problem Ownership (Thomas Gordon, William Oncken, and Donald L. Wass),²⁶ Organizational Growth (Larry E. Greiner),²⁷ and Change Theory.²⁸ One could use each of these theories in analyzing the situation not only of Mark Antony but also the other Shakespearean leaders. The analysis here of Maslow's and Herzberg's Theories as they apply to Mark Antony seems most appropriate because the correlations is so clear.

²²Ibid. p. 60.

²³Ibid., p. 297-301.

²⁴Ibid., p. 301-2.

²⁵Ibid., p.303-4.

²⁶Ibid., p.305-6.

²⁷Ibid., p. 306.

²⁸Ibid., p. 307-8.

²⁹Ibid., p. 296-7.

Antony maintains hygiene factors and motivates his lieutenants and followers for much of the play; it is his inability to maintain the hygiene factors and to offer motivation that brings about his downfall.

The chart in Appendix B-III indicates that for the Herzberg theory, leadership styles S1, S2, and S3 would satisfy hygiene factors; S3 and S4 would facilitate the occurrence of the motivators.²⁹

Antony, by treating his followers with love and respect, is operating at levels S3 and S4. He is concerned about their personal safety, their wealth, their future, but treatment of them as fellows in a dangerous but noble exploit commands their respect and affection so that deserting him seems nearly unthinkable.

Yet they do desert Antony. They desert him when it is clear that because he is so distracted by passion (lust for Cleopatra and anger at Octavius), he cannot win and ensure their safety and that their continuing to remain endangers their lives. As Enobarbus puts it:

Now he'll outstare the lightning. To be furious
Is to be frighted out of fear; and in that mood
The dove will peck the estridge; and I see still
A diminution in our captain's brain
Restores his heart. When valour preys on reason,
It eats the sword it fights with. I will seek
Some way to leave him.

Antony and Cleopatra, 3.13.195-201

When Enobarbus deserts him for Octavius, Antony understands and sends Enobarbus' treasure after him, and blames himself (as he should) for his departure.

Go, Eros, send his treasure after; do it;
 Detain no jot, I charge thee. Write to him--
 I will subscribe--gentle adieu and greetings;
 Say that I wish he never finds more cause
 To change a master. O, my fortunes have
 Corrupted honest men! Dispatch.--Enobarbus!

Antony and Cleopatra, 4.5.12-17

At his best, Antony knew how to command the respect, loyalty, and allegiance of his followers. If anything, the action of the play demonstrates the power of a leader's motivating relationship behaviors with followers. If followers experience a sense of fellowship with their leader, if they have the respect and affection of their leader, and if they are involved in a "self-actualizing" experience, they will remain committed and loyal even if events threaten their lives and safety. Only when the leader clearly demonstrates that his decisions and behavior can not be successful, will then the followers desert their leader.

F. LESSONS IN LEADERSHIP

COMMUNICATE WITH SUBORDINATES

Better than anyone else Enobarbus from the outset of the play seems to know what will happen. One might suspect that this is merely a dramatic function--foreshadowing--

employed by Shakespeare. It is more. Enobarbus stands back and objectively assesses the situation. What he sees can only lead to disaster. Early in the play Enobarbus foresees the outcome of the play.

He will to his Egyptian dish again. Then shall the sighs of Octavia blow the fire up in Caesar; and as I said before, that which is the strength of their amity shall prove the immediate author of their variance. Antony will use his affection where it is; he married but his occasion here.

Antony and Cleopatra, 2.6.134-139

Time and time again, he tries to warn Antony, but Antony ignores him. As Antony prepares for battle at Actium, Enobarbus advises against a sea battle.

Your ships are not well-mann'd,
Your mariners are muleters, reapers, people
Ingross'd by swift impress. In Caesar's fleet
Are those that often have 'gainst Pompey fought.
Their ships are yare; yours, heavy. No disgrace
Shall fall you for refusing him at sea,
Being prepar'd for land.

Antony and Cleopatra 3.7.35-41

Communication--open and two-way--between leader and followers in this play is not what it should be. One of the tragedies of the play is that often the insights that Enobarbus has about the dangers of Cleopatra's influence--the inevitability of conflict with Octavius, the anger-clouded rashness of Antony--are not shared with Antony but with other subordinates in the play. Antony (and Cleopatra too), however, have not created a climate in which followers disagree too openly with the leader. If Enobarus

had spoken candidly to Antony and if Antony had listened, Antony might have been saved from ultimate ruin.

LOVE MAY MAKE A ROMANTIC HERO, BUT IT DOES NOT NECESSARILY MAKE A PERSON AN EFFECTIVE LEADER.

Mark Antony is one of the great romantic tragic heroes of Shakespeare, yet his greatness as a tragic figure grows out of his failure as a public leader. It is the tension between the obligations of public responsibility and personal lust that ultimately destroys Mark Antony. Because Antony, "the triple pillar the world," sacrifices power and life itself for the love of Cleopatra, we pity him. He is the portrait of the man who sacrifices everything for the love of the woman he loves. Yet one can be uncomfortable about his sacrifice.

Mr. Bernard Shaw in the preface to his Three Plays for Puritans, a volume which includes his Caesar and Cleopatra, says with Shavian seriousness: "Shakespeare's (sic) Antony and Cleopatra must needs be as intolerable to the Puritan as it is vaguely distressing to the ordinary healthy citizen, because, after giving a faithful picture of the soldier broken down by debauchery, and the typical wanton in whose arms such men perish, Shakespeare (sic) finally strains all his huge command of rhetoric and stage pathos to give a theatrical sublimity to the wretched end of the business, and to persuade the foolish spectators that the world was well lost by the twain."³⁰

The student of leadership is uncomfortable with the talented and capable leader who abandons his duty and his

³⁰George Bernard Shaw cited in Farnham, op. cit., p 178.

responsibilities for the woman he loves. Most people can fall in love and still fulfill the demands of their career. Yet this conflict happens in real life. Edward Prince of Wales, the uncrowned Edward VIII, gave up his throne for Wallis Simpson. Presidential candidates have dropped out of contention when their sexual peccadilloes are made known.

In his "Preface for All for Love, Dryden says

The crimes of love which they both committed, were not occasion'd by any necessity, or fatal ignorance, but were wholly voluntary; since our passions are, or ought to be, within our power.³¹

Truly, Antony was a man who did not control his passions and thereby lost the respect of his men and his efficacy as a leader.

The student of leadership would do well to read and heed the lessons of Mark Antony, a man whose public life was destroyed by his personal passions.

³¹Montague Summers, editor, Dryden, The Dramatic Works, Volume IV (New York: Gordian Press, 1968), p. 181.

CHAPTER VIII

KING LEAR: THE GERIATRIC LEADER

An aged man is but a paltry thing,
A tattered Coat upon a stick, unless
Soul clap its hands and sing . . .

William Butler Yeats, "Sailing to Byzantium"

Pray do not mock me:
I am a very foolish fond old man,
Fourscore and upward, not an hour more nor less;
And to deal plainly,
I fear I am not in my perfect mind.

King Lear 4.7.59-63

A. SUMMARY OF THE PLAY

In a pre-Christian time, sometime before Arthur ruled in England, Lear is King of Britain. He is a strong and sensitive man of eighty who, because of his long years of ruling, is accustomed to absolute obedience and devotion. Lear has three daughters: Goneril, wife of the Duke of Albany; Regan, wife of the Duke of Cornwall; and Cordelia, for whom the King of France and the Duke of Burgundy are suitors.

Lear wants to divide his kingdom among his three daughters. Before apportioning the kingdom, he asks each daughter for her expressions of affection for him. Both

Goneril and Regan cajole the king with their extreme but insincere expressions of love and affection. Cordelia, being as strong-willed as her father and disgusted with this sycophantic drivel, says she loves him according to her duty as a daughter, no more, no less. It is clear that Cordelia is Lear's favorite and that he had intended to spend his retirement with her but, enraged at her reply, Lear divides Cordelia's portion between her sisters Goneril and Regan, with the condition that he and 100 knights shall be entertained by the daughters in turn.

When it is apparent that Cordelia has no dowry, the Duke of Burgundy withdraws his suit; the King of France, however, marries her even without a dowry. Lear agrees to the marriage, but sends Cordelia off without a blessing.

When the Earl of Kent tries to reason with Lear about Cordelia, he is banished under pain of death.

There is a subplot in the play involving the Earl of Gloucester and his two sons: kind, loyal, but naive Edgar and the witty, calculating and illegitimate Edmund. Edmund, by means of deception, convinces his father that Edgar is plotting against him. Gloucester promises Edmund the inheritance. Edgar, on Edmund's advice, goes into hiding and disguises himself as a Tom of Bedlam, a mad beggar.

Goneril and Regan conspire to make their father and his knights unwelcome at both their castles and literally

have him cast out into a storm.

Lear's only comfort is that Kent, now disguised, has returned from banishment and is faithfully serving Lear. Lear's court jester, the Fool, tries to cheer the King up with his quips and riddles, while at the same time reproaching Lear for the mistake he has made in dividing the kingdom.

Gloucester shows pity for the King; when he is suspected of helping the French who have landed in England, Cornwall puts out Gloucester's eyes. Still in disguise, Gloucester's son Edgar cares for his father until his father's death.

Lear, raging in the storm at the ingratitude of human kind and the ill-treatment he has received, goes mad. Kent takes Lear to Dover to meet with Cordelia, who has landed with the French forces.

In Dover Lear and Cordelia are re-united, but the English forces under the command of Albany and Edmund defeat the French, and Lear and Cordelia are imprisoned.

Meanwhile Regan and Goneril have become enamored of Edmund. Angered by the rivalry, Goneril poisons Regan and then commits suicide.

On Edmund's order, Cordelia is hanged. Edmund's treachery is uncovered by Edgar; and Edmund is killed by Edgar in trial by combat.

Lear kills the man who hanged Cordelia and, holding her precious corpse in his arms, broken-hearted, dies. Albany, who has not helped Goneril in her cruelty toward Lear, becomes king.

B. THE CHARACTER OF KING LEAR

In Mark Antony's character, the domination of lust destroys his successful career as a military and political leader. In Lear's character, the anger of an old and stubborn man destroys his long and successful career as king.

Lear, at the outset of the play is a leader well advanced in years but whose rule has been successful. The kingdom is at peace; he has inspired the loyalty of his knights and his friend Kent. Foreign nobles are seeking the hand of his daughter Cordelia and the political advantage that would come from such a marriage. Lear is willingly about to retire from public service, not forced to abdicate as a failure as was Richard II, but revered and honored as a wise and successful monarch.

In Lear are all the elements of the Shakespearean leader. Lear's imagination allows him to see that it is

time to retire and that a careful plan for the apportionment of the land is in order. Even when cast out by his daughters, his eloquence can arouse anger, beg for forgiveness, and calm the anxious. His popularity with his knights and Kent is evident. His final plan for the kingdom is only the last in a lifetime of active service for his people. After that life of service, it is unfortunate that Lear lapses into an irrational rage in his old age, a rage that debilitates his reason so that he destroys his kingdom, his most beloved daughter Cordelia, and himself.

The original Lear was a mythic god in Celtic mythology. He was the god of the sea. The best known story about this mythic god involved his four children who were turned into swans by a wicked stepmother.

About 1135, Lear, as an historical figure not a god, appears in Geoffrey of Monmouth's Historia Regum Britanniae. It is in this work that the legend of the ungrateful children of Lear can be found.

In 1577 Raphael Holinshed published Chronicles of England, Scotland and Ireland. Included in this work was his version of the legend from Geoffrey of Monmouth. According to Holinshed's version of the events, Lear reigned at the time when Joash was King of Judah or about 800 B.C. It is from Holinshed supposedly that Shakespeare formulated

his play.¹

Lear, an absolute monarch, who wants to give up the burdens of his office and to avoid conflict after his death decides to divide his kingdom among his daughters. King Lear is the tragedy of a man whose uncontrollable anger and need for public protestations of love cloud his judgment and set him on a course for personal destruction. Lear's need to be loved allows his flattering daughters to deceive him; his anger blinds him so that he does not recognize the people that really love him.

As the play begins Lear explains his plan.

Know that we have divided
In three our kingdom; and 'tis our fast intent
To shake all cares and business from our age
Conferring them on younger strengths, while we
Unburden'd crawl toward death.

King Lear, 1.1.38-42

As part of his plan, he asks his daughters, "Which of you shall we say doth love us most?"² Both Goneril and Regan insincerely and meretriciously protest their love for Lear. Cordelia alone balks at the plan.

I love your Majesty
According to my bond; no more nor less.

King Lear, 1.1.94-95

Cordelia loves her father as a dutiful daughter; that should

¹Asimov, op. cit., p. 3-4.

²King Lear, 1.1.52

be enough. Lear, who is accustomed to being flattered, protests that she should watch her tongue. Like Richard II, he feels that he was "not born to sue, but to command."³

How, how, Cordelia! Mend your speech a little,
Lest you may mar your fortunes.

King Lear, 1.1.96-97

Cordelia continues to refuse to make a spectacle of her love; she will not stoop to use the hyperbole employed by her sisters.

Good my lord,
You have begot me, bred me, lov'd me: I
Return those duties back as are right fit;
Obey you, love, you, and most honour you.
Why have my sister husbands, if they say
They love you all? Haply, when I shall wed,
That lord whose hand must take my plight shall carry
Half my love with him, half my care and duty.
Sure I shall never marry like my sisters
To love my father all.

King Lear, 1.1.96-105

Furious at her refusal to make profuse and public avowals of her love, Lear disowns her.

Let it be so; thy truth, then be thy dower!
For, by the sacred radiance of the sun,
The mysteries of Hecate and the night;
By all the operation of the orbs
From whom we do exist and cease to be;
Here I disclaim all my paternal care,
Propinquity and property of blood,
And as a stranger to my heart and me
Hold thee from this for ever. The barbarous Scythian,
Or he that makes his generation messes
To gorge his appetite, shall to my bosom
Be as well neighbour'd, piti'd, and reliev'd,
As thou my sometime daughter.

King Lear, 1.1.110-122

³Richard II, 1.1.196

Kent protests; and, in his wrath, Lear banishes him.

Hear me, recreant!
 On thine allegiance, hear me!
 That thou hast sought to make us break our vows,
 Which we durst never yet, and with strain'd pride
 To come betwixt our sentence and our power.
 Which nor our nature nor our place can bear,
 Our potency made good, take thy reward.
 Five days we do allot thee, for provision
 To shield thee from disasters of the world;
 And on the sixth to turn thy hated back
 Upon our kingdom. If, on the tenth day following,
 Thy banish'd trunk be found in our dominions,
 The moment is thy death.

King Lear, 1.1.169-181

As the scene ends, Lear has exiled Kent, banished and disinherited Cordelia, changed his original plan for the division of the kingdom, and angered the King of France all in a pique of rage.

After Lear has left, Goneril and Regan comment on their father's behavior.

Goneril: You see how full of changes his age is; the observation we have made of it hath not been little. He always lov'd our sister most; and with what poor judgment he hath now cast her off appears too grossly.

Regan: 'Tis the infirmity of his age; yet he hath ever but slenderly known himself.

Goneril: The best and the soundest of his time hath been but rash; then must we look from his age to receive not alone the imperfections of long-engrafted condition, but therewithal the unruly waywardness that infirm and choleric years bring with them.

King Lear, 1.1.290-300

To his daughters, this anger is not new; it is an imperfection that has become worse with age. In Lily

Campbell's Shakespeare's Tragic Heroes, she identifies this wrath as the central issue in the play.

King Lear as the tragedy of wrath, then, was planned as a tragedy of old age. In Lear and Gloucester Shakespeare represented old men bestowing benefits unjustly, led by flattery to give unwisely, led by anger to withhold unjustly and to seek revenge for imagined slights. Both the evil and the folly of their anger are brought out. The evil lay in their inflicting evil on others. The folly lay in the evil they brought upon themselves. Even Kent, the friend and loyal follower, is led in anger to go beyond the command of reason in his treatment of Oswald and hence to bring further misfortune on the King. Cornwall is killed in an angry fight with his sergeant, but the servant is also killed for his righteous anger. The whole is a welter of passion. But the picture is relieved by Cordelia, who cannot be moved by passion; by Edgar, who acts as reason dictates even in the guise of a madman; and by Albany, who at the last is the calm arbiter of the "gor'd state."⁴

Lear's anger rages again when Goneril insults his retainers and cuts in half the number of knights that attend him.

Hear, Nature! hear, dear goddess, hear!
Suspend thy purpose, if thou didst intend
To make this creature fruitful!
Into her womb convey sterility!
Dry up in her the organs of increase,
And from her derogate body never spring
A babe to honour her! If she must teem,
Create her child of spleen, that it may live
And be a thwart disnatur'd torment to her!
Let it stamp wrinkles in her brow of youth,
With cadent tears fret channels in her cheeks,
Turn all her mother's pains and benefits
To laughter and contempt, that she may feel
How sharper than a serpent's tooth it is
To have a thankless child!

King Lear, 1.4.297-311

⁴Lily B. Campbell, Shakespeare's Tragic Heroes: Slaves of Passion, op. cit., p. 207.

Rejected by Goneril, Lear seeks refuge at Regan's castle only to be turned away. When Regan refuses to accept him and his men, Lear has difficulty controlling his rage.

I prithee, daughter, do not make me mad;
 I will not trouble thee, my child; farewell!
 We'll no more meet; no more see one another.
 But yet thou art my flesh, my blood, my daughter;
 Or rather a disease that's in my flesh,
 Which I must needs call mine; thou art a boil,
 A plague-sore, an embossed carbuncle
 In my corrupted blood. But I'll not chide thee;
 Let shame come when it will, I do not call it.
 I do not bid the thunder-bearer shoot,
 Nor tell tales of thee to high-judging Jove.
 Mend when thou canst; be better at thy leisure.

King Lear, 2.4.221-232

Caught between his two daughters who attempt to take away the last of his knights, saying he has no need of them, Lear erupts again.

O, reason not the need! Our basest beggars
 Are in the poorest things superfluous.
 Allow not nature more than nature needs,
 Man's life is cheap as beast's. Thou art a lady;
 If only to go warm were gorgeous,
 Why, nature needs not what thou gorgeous wear'st
 Which scarcely keeps thee warm. But, for true need,--
 You heavens, give me that patience, patience I need!
 You see me here, you gods, a poor old man,
 As full of grief as age; wretched in both!
 If it be you that stir these daughters' hearts
 Against their father, fool me not so much
 To bear it tamely; touch me with noble anger,
 And let not women's weapons, water-drops,
 Stain my man's cheeks! No, you unnatural hags,
 I will have such revenges on you both
 That all the world shall--I will do such things,--
 What they are, yet I know not; but they shall be
 The Terrors of the earth. You think I'll weep:
 No, I'll not weep.

I have full cause of weeping; but this heart
 Shall break into a hundred thousand flaws
 Or ere I'll weep. O, Fool. I shall go mad!

King Lear, 2.4.266-289

King Lear is a drama about a man of passion, but is also about a man who even in his advanced years does not know all that he should know. He does not know his daughters, he does not know his friends, and he does not know himself.

That King Lear is a play much concerned with the need for the process of self-discovery is suggested by many of its lines. Most important are Regan's coldly intelligent analysis of her father's irrational behavior, "yet he hath ever but slenderly known himself" (I,i.296-297), and Lear's grand question--perhaps the most important one in literature, if not in life--"Who is it that can tell me who I am?" (I, iv, 250). A few friends and enemies can help to tell him, but he must fundamentally learn for himself. "I would learn that," he continues---sarcastically at this point, and with the dramatic irony that he does not understand the full requirements of the curriculum in which he is enrolling.⁵

Who is Lear? To many he is a fool. Goneril characterizes her father as an idle old man in his second childhood.

Idle old man
That still would manage those authorities
That he hath given away! Now, by my life,
Old fools are babes again, and must be us'd
With checks as flatteries, when they are seen
abus'd.

King Lear, 1:3:16-20

The Fool taunts Lear because of the folly of his actions.

⁵Paul A. Jorgensen, Lear's Self-Discovery (Berkeley: University of California Press, 1967), p. 1.

Lear: Dost thou call me fool, boy?

Fool: All thy other titles thou hast given away;
that thou wast born with.

King Lear, 1:4:162-64

It is only late in the play that Lear comes to recognize his foolishness of his actions and his limitation.

Pray do not mock me:
I am a very foolish fond old man,
Fourscore and upward, not an hour more nor less;
And to deal plainly,
I fear I am not in my perfect mind.

King Lear 4.7.59-63

In an ordinary man, such foolishness, such unrestrained anger, such impetuosity would be reprehensible; in a king they breed personal and public disasters. It is not that Lear is senile. Many during the course of the play attest to his wisdom and strength, and even at the end of the play, Albany is willing to let Lear rule again.

For us, we will resign
During the life of this old Majesty,
To him our absolute power.

Lear, 5.3.297-300

Lear having set out to ease the transfer of power at his death has destroyed his family, brought about civil disorder, and involved his country in a war. In King Lear, personal flaws--anger and ignorance, exaggerated in old age--lead to foolish and disastrous public policy.

C. GETZELS AND GUBA'S NOMOTHETIC AND IDIOGRAPHIC DIMENSIONS OF SOCIAL BEHAVIOR

As seen before in previous chapters, Getzels and Guba's Nomothetic and Idiographic Dimensions of Social Behavior offer a conceptual framework for understanding the type of conflict that is portrayed in Shakespeare's portrayal of Lear.

What is portrayed in the play is an apparent role-personality conflict. "Role-personality conflict occurs when there is a discrepancy between the pattern of expectations attached to a given role and the pattern of need-dispositions characteristic of the incumbent of the role."⁶

After many years of reigning Lear is about to retire from a role for which he has set the standard. All indications in the play are that he has been a model monarch. As a matter of fact, his planned division of the kingdom seems to grow out of a deep concern for the welfare of the state as much as his desire to unburden himself of the cares and duties of office.

Know that we have divided
In three our kingdom; and 'tis our fast intent
To shake all cares and business from our age
Conferring them on younger strengths, while we
Unburden'd crawl toward death. Our son of Cornwall

⁶Getzels and Guba, "Social Behavior," op. cit., p. 431.

And you, our no less loving son of Albany,
 We have this hour a constant will to publish
 Our daughters' several dowers, that future strife
 May be prevented now.

King Lear, 1.1.38-46

This opening scene demonstrates Lear's desire to avoid the type of civil disorder that could erupt upon his death.

The whole action of the play springs from the opening scene, and many people have found it incredible that the King should divide his kingdom between his three daughters according to their competitive protestations of love. But this is not the situation at all. The King had no male heir; and Shakespeare's audience would have been well aware of the dangers in this situation, and would have applauded Lear's purpose in dividing the kingdom: "that future strife may be prevented now." The plan was skillful: the Scottish north was to be separated from the Cornish south by a midland kingdom, where Lear, still retaining "the name and all the additions to a king," would spend the rest of his days with his beloved Cordelia, and, while he yet lived and was still King, the new tri-partite divisions of the realm would settle down peacefully to its new status. It is clear from the opening lines of the play that the details of the scheme have already been decided upon and made known, and that Lear has been scrupulous in apportioning the northern and southern territories. The midland is "more opulent" by its nature, and is without a duke since Cordelia is unmarried, but it will be the abode of the King himself.⁷

For all his care to avoid civil unrest, it is King Lear's unkingly actions in this first scene that demonstrates his flaw as a leader.

The opening scene is not a competition of filial love but a ritual of state, a ceremony in which the new form of government will be officially instituted. The King sees the occasion as a happy one, not as a sad and solemn one, and this is made the more so by the presence

⁷Philip Burton, The Sole Voice: Character Portraits from Shakespeare, (New York: Dial Press, 1970), p. 337.

of two suitors for Cordelia's hand, one noble and one royal, the Duke of Burgundy and the King of France, who were traditional enemies. (It seems clear that Lear favors Burgundy. To give the King of France any claim to the throne of England would be dangerous. Indeed, he does invade England at the end of the play.) The King asks his daughters for a public declaration of their love for him in much the same spirit that an adult says to a child before handing over a lollipop which he is going to give anyway, "Tell me how much you love me." But this hides a fairly universal need: it is not enough to be loved; we must be told how much we are loved.⁸

In this scene, Lear's need to be loved and to have that love proclaimed precipitates his fall from royal demeanor. His demand for expressions of love allows him to be deceived by the flattery of Regan and Goneril. When Cordelia refuses to massage his ego with protestations of her love, his rage sets him on a course that destroys all his daughters, causes the French to invade his country, and makes him lose his mind and ultimately his life.

As stated in Chapter III, roles within institutions are crucial, for they are the "structural elements defining the behavior of the role incumbents or actors."⁹ Getzels and Guba make several generalizations about the nature of roles.

First, roles represent positions, offices, or

⁸Ibid.

⁹Getzels and Guba, "Social Behavior," op. cit., p. 426.

statuses within the institution. Everyone in the play acknowledges that there is a king ruling in England. The role is clearly defined: the king mandates; subjects obey.

Second, roles are defined in terms of role expectations; that is, each role has normative rights and duties. When the actor puts these rights and duties into effect, then he is performing his/her role. In Chapter IV, the two particular aspects of role-expectations for an English king, *The Divine Right of Kings* and *The King's Two Bodies*, were explained in detail. In Chapter V, two other sources of expectations were explored: Machiavelli's The Prince and the writings of Desiderius Erasmus, namely, The Education of a Christian Prince and In Praise of Folly. Both of these writers' works were known to Shakespeare and his audience and form a background for the expectations of rulers in Shakespeare's plays. In this chapter, those sources are re-examined as they apply to Lear.

Third, roles are institutional givens; that is, they are the paradigms or blue prints of what should be done without reference to the particular individuals who assume the roles. Certainly Henry Bolingbroke has in his mind a paradigm of what ought to be done by a monarch; Richard II's inability to live up to this paradigm (his violation of the laws of inheritance, his not protecting the rights of the

nobles) brought about his downfall. In the *Henriad*, although his early conduct causes some concern, Hal ultimately embodies the model king. Lear has a clear notion of what a king ought to do, but his unbridled anger causes him to make unwise decisions.

Fourth, the behaviors associated with a role may be thought as lying along a continuum from "required" to "prohibited." Certain expectations are crucial, and the appropriate behavior absolutely required. Other behaviors are absolutely forbidden. Between these two extremes lie behaviors that would be recommended, mildly disapproved but permissible. No one questions Lear's decision to divide the kingdom; Kent does challenge Lear's angry banishment of Cordelia.

Lastly, roles are complementary; that is, the roles are interdependent in that each role derives its meaning from other related roles in the institution. Getzels and Guba use the example of roles for a sergeant and a private or teacher and student; their roles cannot be defined or implemented except in relation to each other.¹⁰ Lear is king to his subjects and also father to his daughters. Each of these roles is a complementary one.

¹⁰Ibid., p. 427.

As shown in earlier chapters, the writings of both Desiderius Erasmus and Machiavelli had an impact on the role-expectations.

Machiavelli uses the images of the lion and the fox to characterize the effective leader. In The Prince in Chapter XVIII, entitled "In what Mode Princes Ought to Keep the Faith," Machiavelli comments that

one sees by experience, in our times that those princes who have done great things have kept little account of faith, and have also known with cunning how to go round the brains of men; and in the end they have surpassed those who have founded themselves on loyalty.

You ought to know, then, that there are two kinds of fighting: one with laws, the other with force. The first one is proper to man; the second to beast; but because the first proves many times to be insufficient, one must needs resort to the second. Therefore it is necessary for a prince to know well how to use the beast and man. This part has been covertly taught to princes by the ancient writers, who wrote that Achilles and many other ancient princes were given to the care of Chiron the centaur, so that he might look after them under his discipline. . . .

Since a prince must of necessity know well how to use the beast, he ought of the beasts to pick the fox and the lion; for the lion cannot defend himself from snares, and the fox cannot defend himself from wolves. One needs, then, to be fox to know snares, and lion to terrify wolves.¹¹

In her book The Animal-Lore of Shakespeare's Time, Emma Phipson points out that that the lion was often used in art, especially religious art, as a symbol of strength,

¹¹Machiavelli, The Prince, op. cit., p. 107-8.

courage, and nobility. From the earliest times, English kings claimed it as an appropriate emblem in heraldry.¹²

Shakespeare time and time again employs this image of the lion. When Richard II's queen attempts to rouse him to take action against his usurpers, she uses the image of a dying lion that continues to fight.

The lion dying thrusteth forth his paw,
And wounds the earth, if nothing else, with rage
To be o'erpower'd and wilt thou, pupil-like,
Take thy correction mildly, kiss the rod,
And fawn on rage with base humility,
Which art a lion and the king of beasts?

Richard II, 5.1.29-34

Lear is the lion roaring his commands at Cordelia and Kent; later, wounded by the treachery of Goneril and Regan, he roars passionate invectives at them. Although in the play, he is a maimed lion, he once was the awe-inspiring leonine figure.

Ay, every inch a king!
When I do stare, see how the subject quakes.

King Lear, 4.6.109-10

"The fox has always been considered the personification of craft and cunning."¹³ In Shakespeare's Venus and Adonis, Venus tries to stop Adonis from chasing a boar.

But if thou needs wilt hunt, be ruled by me;
Uncouple at the the timorous flying hare,
Or at the fox which lives by subtlety.

Venus and Adonis 673-675

¹²Emma Phipson, The Animal-Lore Of Shakespeare's Time, (London: Kegan Paul, Trench & Company, 1883), p. 18.

¹³Ibid., p. 62.

Lear's original plan for the division of his kingdom, as pointed out earlier in this chapter, was a masterfully subtle political stratagem. By careful apportioning of the territories, he had hoped to preserve peace within the kingdom during his retirement and after his death.

The writings of Desiderius Erasmus offer other insights into the role-expectations for Lear. In several works Erasmus presents a picture of the ideal prince. One of them is found in the Praise of Folly.

Whoever did but truly weight with himself how great a burden lies upon his shoulders that would truly discharge the duty of a Prince. . . would consider that he that takes a Scepter in his hand should manage the Publik, not his Private Interest; study nothing but the common good; and not in the least go contrary to those Laws whereof himself is both the Author and Exactor: that he is to take an account of the good or evil administration of all his magistrates and subordinate Officers; that, though he is but one, all men's Eyes are upon him and in his power it is, either like a good Planet to give life and safety to mankind by his harmless influence, or like a fatal comet to send mischief and destruction: that the vices of other men are not alike felt, nor so generally communicated; and that a Prince stands in that place that his least deviation from the Rule of Honesty and Honour reaches farther than himself, and opens a gap to many men's ruine.¹⁴

In making his plans for the division of the kingdom, clearly Lear is operating for the "publik interest." However, in demanding avowals of love from his daughters, he

¹⁴Desiderius Erasmus, cited in the introduction to The Education of a Christian Prince translated with an introduction by Lester K. Born, p.12.

is operating for his own "private interests." The effective leader cannot put his own needs above those needs of the institution that he serves. The peace and tranquillity of Lear's land should have meant more to him than his need for ego gratification.

The effects of his misalignment of priorities is disastrous. As Erasmus points out, flaws in private individuals have little influence on the world at large; but because a ruler has such power and influence, "deviation from the Rule of Honesty and Honour reaches farther than himself, and opens a gap to many men's ruine."¹⁵

Erasmus in The Education of a Christian Prince, in discussing the wise and good monarch in contrast to the foolish and wicked one, makes the same point again.

There is nothing in life better than a wise and good monarch; there is no greater scourge than a foolish or a wicked one. The corruption of an evil prince spreads more swiftly and widely than the scourge of any pestilence. In the same proportion a wholesome life on the part of the prince is, without question, the quickest and shortest way to improve public morals. The common people imitate nothing with more pleasure than what they see their prince do. Under a gambler, gambling is rife; under a warrior, everyone is embroiled; under an epicure, all disport in wasteful luxury; under a debauchee, license is rampant; under a cruel tyrant, everyone brings accusations and false witness.¹⁶

¹⁵Ibid.

¹⁶Ibid., p. 156-7.

Lear's actions make him a corruptive force within his kingdom. His anger seems to act as a model for others in the play. Calm reason is replaced with unbridled wrath.

Even Kent, the friend and loyal follower, is led in anger to go beyond the command of reason in his treatment of Oswald and hence to bring further misfortune on the King. Cornwall is killed in an angry fight with his servant, but the servant is also killed for his righteous anger. The whole is a welter of passion.¹⁷

Lester Born in his introduction to Erasmus' The Education of a Christian Prince surveys the works of Erasmus to develop a list of the qualities necessary for the good prince.

Among the various qualities necessary for the good prince are wisdom and integrity, continence and clemency, devotion to his people, self-restraint, interest in truth and liberty, freedom from the vices of cruelty and pride, and the careful avoidance of flatterers. The prince should be like God in his manners and qualities. He should learn from association with wise men. The prince should realize that it is his vices of pompous display and extravagant banquets, games, gambling and other forms of amusement that waste the funds of the treasury. He should know, too, that his best defense against his enemies lies in the loyalty and love of his people. One of the best ways for the prince to come to know his people (and to be known in turn), and as a result to have an intimate knowledge of the places and conditions with which he will have to deal, is to travel throughout his realm. Foreign travel should not be indulged in, because affairs at home are not satisfactorily administered when the prince is away.¹⁸

¹⁷Lily Campbell, Shakespeare's Tragic Heroes, op. cit., p. 207.

¹⁸ Lester Born, op. cit., p. 15.

In many ways, Lear fails to assume the elements of this defined role as leader. His action at the beginning of the play encourages and rewards the insincere flattery of Goneril and Regan. His angry and arrogant rejection of Cordelia's sincere but understated love is cruel. When addressing Goneril (although the sentiment applies to all his daughters), Lear says:

How sharper than a serpent's tooth it is
To have a thankless child!

King Lear, 1.4.310-1

Yet a father's rejection of his loving child must have been just as sharp a hurt for Cordelia.

Here I disclaim all my paternal care,
Propinquity and property of blood,
And as a stranger to my heart and me
Hold thee from this for ever. The barbarous Scythian,
Or he that makes his generation messes
To gorge his appetite, shall to my bosom
Be as well neighbour'd piti'd, and reliev'd,
As thou my sometime daughter.

King Lear, 1.1.115-122

Or even more stinging must have been the comment

Better thou
Hadst not been born than not t' have pleas'd me better.
King Lear, 1.1.236-7

"He should know, too, that his best defense against his enemies lies in the loyalty and love of his people."¹⁹
The loyalty of Kent, his wise counselor and friend, is

¹⁹Ibid.

limitless. As Lear disowns Cordelia, Kent professes his loyalty and tries to stop Lear from making the mistake of alienating those who truly love him, those who are truly loyal to him. Kent's loyalty, Lear's "best defense against his enemies," is rewarded with banishment under pain of death. Once again, Lear's operating from the idiographic level of his own personality conflicts with the nomothetic dimension of role definition.

Erasmus offers us other aspects of the role definition as he challenges the teacher to portray a paragon of virtue as a model for the prince to imitate.

Let the teacher paint a sort of celestial creature, more like to a divine being than a mortal: complete in all the virtues born for the common good; yea, sent by the God above to help the affairs of mortals by looking out and caring for everyone and everything; to whom no concern is of longer standing or more dear than the state; who has more than a paternal spirit toward everyone; who holds the life of each individual dearer than his own; who works and strives night and day for just one end--to be the best he can for everyone; with whom rewards are ready for all good men and pardon for the wicked, if only they will reform--for so much does he want to be of real help to his people, without thought of recompense, that if necessary he would not hesitate to look out for their welfare at great risk to himself; who considers his wealth to lie in the advantages of his country; who is ever on the watch so that everyone else may sleep deeply; who grants no leisure to himself so that he may spend his life in the peace of his country; who worries himself with continual cares so that his subjects may have peace and quiet. Upon the moral qualities of this one man alone depends the felicity of the state. Let the tutor point this out as the picture of a true prince!²⁰

²⁰Ibid., p. 162-3.

Lear's "paternal spirit" is evident in his original plan for his state; but once he is angered by Cordelia's refusal to be part of this vain public display, he rewards the wicked and punishes the good.

The king is the one who should assume the cares and responsibilities of office to shield his subjects from the cares and concerns of office. Yet Lear plans on giving up that regal responsibility. What is the explanation for this violation of the code of conduct for a monarch? One explanation is old age. The feeble and the old are more subject to anger than are others,²¹ and the particular aspect of the problem of age which concerned Shakespeare at this time would seem to have been that which was treated by Plutarch under the title Whether an aged Man Ought to Manage publike affaires.²²

Specifically Plutarch wrote:

But forasmuch as men ordinarily alledge many causes and pretenses for to colour and cover their sloth & want of courage to undertake the business and affaires of State, & among others, as the very last, and as one would say, that which is of the sacred line & race, they tender unto us old age, & suppose they have found now one sufficient argument to dull or turne backe the edge, and to coole the heat of seeking honor thereby, in bearing us in hand & saying: That there is a certain convenient & meet end limited, not only to the

²¹Aristotle, Rhetorica 1378a, 31-34 cited in Lily Campbell, op. cit., p. 182.

²²Plutarch, as cited in Lily Campbell, op. cit., p. 182.

revolution of yeares, proper for combats and games of prooffe, but also for publike affaires and dealing of state.²³

Commenting on Plutarch, Campbell continues

Such an attitude, Plutarch affirms, is really the result of sloth and voluptuousness. In reality the aged man should give his experience and wisdom to the state, and he is being led by "sloth & want of courage" or by voluptuousness when he lays down his burdens²⁴

Once again a conflict between the nomothetic and idiographic dimensions is evident, a conflict between role and personality. The role demands continuous service, service unto death. Lear wants to divest himself of the "cares of state."²⁵

Getzels and Guba's model of the Nomothetic and Idiographic Dimensions of Social Behavior gives a conceptual framework for analyzing Lear's failure as a leader. Clearly, the idiographic dimension is in conflict with the nomothetic dimension. Lear's passion conflicts with the expectation for the role of king. His failure to control his passions vitiates his performance as the sage ruler.

Late in the play, Lear, in his madness--"reason in madness,"²⁶ reflects on the person and positional power.

What, art mad? A man may see how this world goes with no eyes. Look with thine ears, see how yond justice

²⁴Ibid.

²⁵King Lear, 1.1.51

²⁶King Lear, 4.6.179

which is the thief? Thou hast seen a farmer's dog bark at a beggar?

.
And the creature run from the cur? There thou mightst behold the great image of authority: a dog's obey'd in office.

King Lear, 4.6.153-8, 161-3

Lear is that "dog" who by the power of his office was obeyed and brought death upon himself and destruction upon his kingdom.

D. HERSHEY AND BLANCHARD'S THEORY OF SITUATIONAL LEADERSHIP

As seen in earlier chapters, Hersey and Blanchard's theory of Situational Leadership is based on the interplay among three variables: the amount of guidance and direction that a leader gives (task behavior); the amount of socio-emotional support a leader supplies (relationship behavior); and the readiness level that the followers exhibit in performing a specific task, function, objective (maturity level).²⁷

Situational Leadership not only suggests the high probability of success for certain leadership styles when used with various maturity levels, but it also indicates the probability of success of the other style configurations if the leader is unable to use the desired style.

²⁷Hersey and Blanchard, Management, op. cit., p. 150.

In earlier chapters, the definition of the follower's readiness or "maturity" was discussed at length.

Maturity is defined in Situational Leadership as the ability and willingness of people to take responsibility for directing their own behavior. These variables of maturity should be considered only in relation to a specific task to be performed, that is to say, an individual or group is not mature or immature in any total sense. All persons tend to be more or less mature in relation to a specific task, function, or objective that a leader is attempting to accomplish through their effort.²⁸

Depending on the task, people may have varying degrees of maturity. The maturity of followers is a matter of degree and the figure divides the maturity continuum below the leadership model into four levels: low (M1), low to moderate (M2), moderate to high (M3), and high (M4).

The appropriate leadership style in any given situation for each of the four levels of maturity includes the right combination of task behavior (giving direction, setting goals, defining roles) and relationship behavior (providing support, "psychological strokes," and facilitating behaviors).

"Telling" is for low maturity. Individuals who are both unable and unwilling (M1) to take responsibility to do something are neither competent nor confident. They need a directive style (S1) that provides clear, specific,

²⁸Ibid., p. 151.

direction and supervision. This style involves high task behavior and low relationship behavior.²⁹ This style (S1) is the style used by Lear through much of the play. As he sets out to retire, he demands protestations of love, he disinherits his daughter, he exiles Kent.

In Richard II, the King treated peers of the realm as if they were at the lowest level of maturity. In this play, Lear makes the same mistake. Lear is about to turn over the responsibility of ruling large sections of the country to his daughters, a leadership task that presumes, as was indicated in the writing of Machiavelli and Erasmus, a high degree of knowledge, skill, and virtue. Yet he treats his daughters as children and his best friend Kent as an enemy. The irony of this situation is that when Goneril and Regan assume power within the kingdom, they treat their father as a child who needs to be disciplined. Regan says

O, sir, you are old;
 Nature in you stands on the very verge
 Of her confine. You should be rul'd and led
 By some discretion that discerns your state
 Better than you yourself.

King Lear, 2.4.148-52

A more appropriate style of leadership for Lear would be "delegating." "Delegating" is for high maturity. People at this maturity level are both able, willing, and confident to take responsibility. A low profile

²⁹Ibid., p. 153

"delegating" (S4) style, providing little direction or support, has the highest probability of being effective with individuals at this maturity level. This style involves low relationship behavior and low task behavior.³⁰

As Lear is about to retire, all indications are that his daughters are willing, able, and confident to assume the responsibilities of office. As a matter of fact, Lear's older daughters, Goneril and Regan, are so eager to assume power that they will flatter and lie to get it. His youngest daughter Cordelia rebels at being forced to partake of this sham.

Unhappy that I am, I cannot heave
My heart into my mouth. I love your Majesty
According to my bond; no more nor less.

King Lear, 1.1.93-5

Cordelia will not play the game that children play; she is an adult, wants to be treated like an adult; and she will act as the adult even though her father is demanding childlike obedience.

The successful situational leader assesses the maturity level of followers and matches the appropriate style of leadership to the maturity level of the followers. One part of Lear must have realized that his daughters were mature and capable women (M4), otherwise his plan for the

³⁰Ibid., p. 151-53.

division of the kingdom is utter folly. But another part of Lear made him lapse into the doting father playfully asking for avowals of affection. Two of his daughters play upon this doting and feed his ego with fulsome protestations of their love and affection. Only one daughter Cordelia acts the adult and for her pain is punished as a recalcitrant child.

Lear's pride and then his anger cloud his judgment so he fails to match his leadership style with the maturity level of his followers.

F. LESSONS IN LEADERSHIP

PASSION AND DECISION-MAKING

Lear offers a perfect paradigm for a decision making process marred by passion, in this case anger. Looking forward to a time of rest and relaxation and hoping to ensure the continued peace and prosperity of his country, Lear carefully apportions the country among his daughters. As mentioned earlier, boundaries were carefully set, political issues carefully balanced. His residence in the central part of the country, the area without a duke to rule it, would separate the other two areas and act as a buffer.

"The best laid schemes o' mice an' men/Gang aft a-gley," said Bobbie Burns, and nowhere is this more true thna when the plans are tainted with passion. Lear's anger

causes him to abandon his well-thought out plan of apportionment and adopt a hastily drawn division. Decision-making processes are predicated on careful deliberations and judgments. The process includes such elements as recognition and definition of the problem, evaluation of scope and seriousness of the problem, data collection, establishment of standards of evaluation, and projections of consequences.

Passions short circuit the process. Evidently, anger clouds the reason and causes the decision maker to make bad decisions. The student of leadership would be well advised to reflect that all passions have the power to cloud reason.

Thomas Rogers writing A Philosophicall Discourse, Entitled, The Anatomie of the minde, in 1576, divided his work into two parts: one of "Perturbations (and discourseth of that parte of the minde of man which is voide of reson)"; and the second of "Morall vertues (so called because it is of that parte of the minde which is endued with reason)". And in this division he expressed the current notion of moral virtue as having to do with the conflict between reason and unreason, the irrational being represented by the passions.³¹

St. Thomas Aquinas listed eleven basic passions: Love and hatred, desire and aversion, joy (or pleasure) and sadness (or grief), hope and despair, courage and fear, and anger. In addition to these basic passions, any number of

³¹Lily Campbell, op. cit., p. 69.

subdivisions was added. For example, there is gluttony or the desire for good, lust or the desire of the flesh, covetousness or the desire for money. Any of these passions can cloud reason.³²

Othello is destroyed by jealousy; Macbeth, by desire; Hamlet, by grief; Romeo and Juliet, by love; Antony, by lust; Richard II, by pleasure; and Lear, by anger.

The student of leadership should remember well the lesson that unchecked passion can destroy.

LOYALTY AND LEADERSHIP

How does one explain Kent in the play? Here is a man who sees a man he loves and respects make a mistake of monumental proportion. When he points out that mistake, he is banished.

Royal Lear,
Whom I have ever honour'd as my king,
Lov'd as my father, as my master follow'd,
As my great patron thought on in my prayers,
.....

Be Kent unmannerly
When Lear is man. What wouldst thou do, old man?
Think'st thou that duty shall have dread to speak
When power to flattery bows? To plainness honour's bound
When majesty falls to folly. Reserve they state;
And in the best consideration check
This hideous rashness. Answer my life my judgement,
Thy youngest daughter does not love thee least;
Nor are those empty-hearted whose low sounds
Reverb no hollowness.

King Lear, 1.1.141-144, 147-156

³²Lily Campbell, Ibid., p. 69.

Yet Kent is loyal. Even when unfairly punished, he returns in disguise to serve the person he loves and respects.

If but as well I other accents borrow,
That can my speech defuse, my good intent
May carry through itself to that full issue
For which I raz'd my likeness. Now banish'd Kent,
If thou cans't serve where thou dost stand condemn'd
So may it come, thy master, whom thou lov'st,
Shall find thee full of labours.

King Lear, 1.4.1-7

It is Kent who runs errands for Lear, stays with him through the storm, brings him back to Cordelia, and, in the end, Kent is with Lear. As Lear dies, Kent says:

Break, heart; I prithee, break!
· · · · ·
Vex not his ghost; O, let him pass! He hates him
That would upon the rack of this tough world
Stretch him out longer.

King Lear, 5.3.312, 313-15

Every leader should be so lucky as to have a colleague like Kent, someone fearless in criticizing and challenging, undaunted by adversity, and loyal to the death.

RETIRE; THEN LEAVE TOWN.

Lear was eighty years old when he retired. But did he really retire? Early in Act I, scene 1, he says

Know that we have divided
In three our kingdom; and 'tis our fast intent
To shake all cares and business from our age,
Conferring them on younger strengths, while we
Unburden'd crawl toward death.

King Lear, 1.1.38-42

Yet his retirement is not complete.

I do invest you jointly with my power,
 Pre-eminence, and all the large effects
 That troop with majesty. Ourself, by monthly course,
 With reservation of an hundred knights
 By you to be sustain'd, shall our abode
 Make with you by due turns. Only we shall retain
 The name, and all th' addition to a king;
 The sway, revenue, execution of the rest,
 Beloved sons, be yours.

King Lear, 1.1.132-140

Lear gives up all the responsibilities of office, but not the title. In addition, he plans on being around with his own team of knights. The lesson for the leader is quite clear. He should retire completely; he should physically remove oneself from the arena, lest some one say to him

My lord, I know not what the the matter is; but, to my judgement, your Highness is not entertain'd with that ceremonious affection as you were wont.

King Lear, 1.4.61-64

Once a leader has given up his power and his authority, his presence is resented by those now in charge. This classic confrontation between the person who has yielded power and the person who has now assumed that power is played out tragically in the scenes of this play.

The lesson is clear: retire; then leave town.

CHAPTER IX

A DISCUSSION OF SHAKESPEAREAN LEADERSHIP

"Leadership" is a word on everyone's lips. The young attack it and the old grow wistful for it. Parents have lost it and police seek it. Experts claim it and artists spurn it, while scholars want it. Philosophers reconcile it (as authority) with liberty and theologians demonstrate its comparability with conscience. If bureaucrats pretend they have it, politicians wish they did. Everyone body agrees that there is less of it than there used to be. The matter now stands as a certain Mr. Wildman thought it stood in 1648: "Leadership hath broken into pieces."¹

This dissertation has looked at five characters in the plays of William Shakespeare. As was stated in Chapter III, Shakespeare did not set out to write his plays with characters whose behavior could serve as models for effective leadership; rather his aims were to entertain, to make money, and to explore some of the ideas of his time. Still his plays are filled with leaders whose behavior challenges as well as reinforces notions about leadership.

This dissertation has used three lenses for focusing the analysis of leadership. The first lens looks to

¹Bennis and Nanus, Leadership, op. cit, p. 1-2.

elements of character that the successful Shakespearean leader has. These elements are not "inherent personal qualities,"² as described by Hersey and Blanchard.

For many years the most common approach to the study of leadership concentrated on leadership traits per se, suggesting that there were certain characteristics, such as physical energy or friendliness, that are essential for effective leadership. These inherent qualities, like intelligence, were felt to be transferable from one situation to another. Since all individuals did not have these qualities, only those who had them would be considered potential leaders. Consequently, this approach seemed to question the value of training individuals to assume leadership positions. . . .

A review of the research literature using this trait approach to leadership has revealed few significant or consistent findings. As Eugene E. Jennings concluded, "Fifty years of study have failed to produce one personality trait or set of qualities that can be used to discriminate leaders and nonleaders."³

Bennis and Nanus, authors of the book Leaders, interviewed ninety successful leaders, "sixty with successful CEO's, all corporate presidents or chairmen of boards, and thirty with outstanding leaders from the public sector,"⁴ and from these interviews they developed four strategies.

. . . for us four major themes slowly developed, four areas of competency, four types of human handling skills, that all ninety of our leaders embodied:
 Strategy I: attention through vision
 Strategy II: meaning through communication

²Hershey and Blanchard, Management, op. cit., p. 82.

³Ibid.

⁴Bennis and Nanus, Leaders, op. cit., p. 20.

Strategy III: trust through positioning

Strategy IV: the deployment of self through (1) positive self regard and (2) the Wallenda factor.

Leadership seems to be the marshalling of skills possessed by a majority but used by a minority. But it's something that can be learned by anyone, taught to everyone, denied to no one.⁵

The author of this dissertation analyzed five leaders in Shakespeare's plays and deduced the five elements of character (call them "strategies," "areas of competency," "human handling skills," or "themes") that are crucial dimensions of leadership: **imagination, eloquence, popularity, activism and tenacity**. The degree to which an individual possesses and actuates all of these elements determines the level of his success as a leader. The dissertation has shown that Henry V possesses all the elements in a high degree and is a model leader. The other characters possess some or all elements in varying degrees and are less successful, if not failed, leaders.

The second lens through which to analyze leadership in the plays of Shakespeare was Getzels and Guba's Transactional Model of the Nomothetic and the Idiographic Dimensions of Social Behavior. Using this model, the student of leadership identifies roles defined by societal expectations and analyses the interaction between the individual personality and the role.

⁵Ibid., p. 26.

As presented in the previous chapters, individuals who did not understand societal expectations (Richard II and Coriolanus) failed as leaders. Individuals who understood the role but whose personality limited their fulfillment of the role (Mark Antony and Lear) failed as leaders. Only Henry V was able to integrate "organizational requirements with individual needs so that both the organization and the individual benefit."⁶

The third lens used for the analysis of leadership behavior in the plays of Shakespeare was Hersey and Blanchard's Theory of Situational Leadership. The individuals who failed to match their style of leadership with the maturity level of their followers failed. When Richard treats the peers of the realm as peons, when Coriolanus rails against the people of Roman calling them "scabs," when Lear treats his daughters to whom he is about to turn over his kingdom like children, they fail. Mark Antony, although he adjusts his style to meet the maturity level of his followers, fails because he does not keep his mind on the task at hand. Henry V alone is able to adjust his styles successfully with an entire range of followers--archbishops, dukes, soldiers.

⁶Francis Griffith, Administrative Theory in Education, (Midland, Michigan: Pendell Publishing Company, 1979), p. 92.

The analysis of characters in the plays of Shakespeare has generated a paradigm for Shakespearean leadership. The application of the theories of Getzels and Guba and Hersey and Blanchard have given new insights into the leadership behavior of the characters and also served to validate these theories in concrete (albeit fictive) situations.

Finally, the analysis of characters was the basis for practical lessons for the student of leadership, a listing of "do's" and "don't's" gleaned from the analysis.

RECOMMENDATIONS AND SUGGESTIONS FOR FURTHER STUDY

OTHER MODELS FROM SHAKESPEARE

This dissertation addresses only five characters from Shakespearean plays. Other characters would be apt candidates for analysis for leadership: Hamlet, Macbeth, Timons of Athens, Othello, Titus Andronicus, Julius Caesar, Richard III, Henry IV, King John, and Henry VIII. Because of the depth of their character and the complexity of their situations, Shakespearean characters make fascinating subjects for this type of analysis.

FICTIVE MODELS

The analysis of characters from fictive works (novels, plays, poems) as a means of gaining insight into theories is a rich and relatively unexplored territory. The student of leadership could apply such theories as Likert's management systems or Argyris' immaturity-maturity continuum to

literary models for greater understanding of the literary characters and also verification and clarification of the theory.

The analysis of literary characters could be useful in areas of knowledge other than leadership theory.

The student of cognitive and moral development could use fictive characters as models to explore the theories of Piaget, Fowler, Kohlberg. At what state of cognitive and moral development are Hamlet and Macbeth functioning? One could trace the cognitive and moral development of Huck Finn, Holden Caulfield, Elizabeth Bennett, Laura Wingfield, Medea, Orestes, or Odysseus.

The student of psychological development could use fictive characters to explore Erickson stages: King Lear and "integrity vs despair"; Hamlet and "intimacy vs isolation"; Othello and "identity confusion vs identity"; Willy Loman and "generativity and self-absorption."

For those who aspire to a humanistic, integrated, and interdisciplinary approach to teaching and learning, the use of literary figures for analysis in the interpretation of theories is a fertile field for exploration.

Models from serious literature offer many lessons, lessons for leadership, learning, and life.

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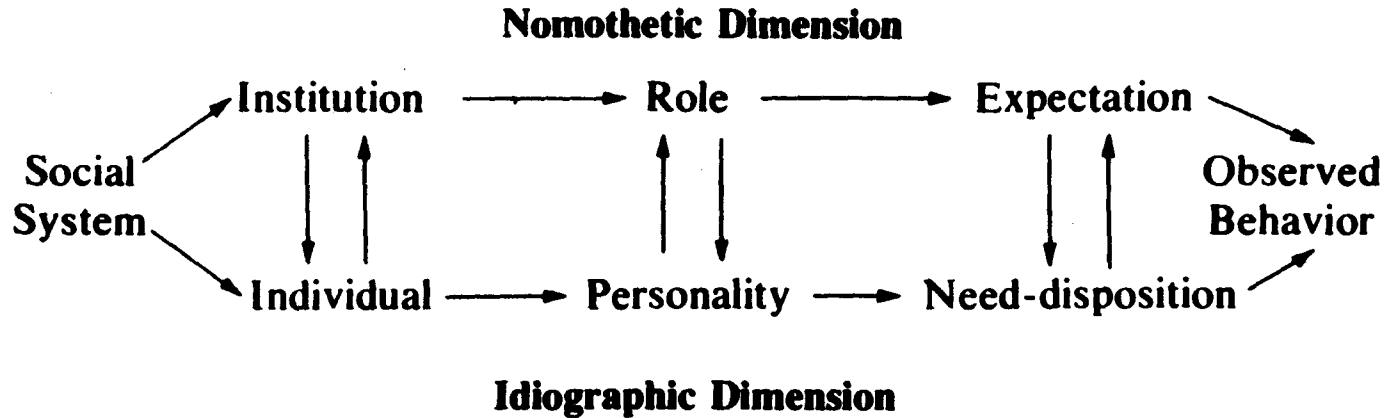
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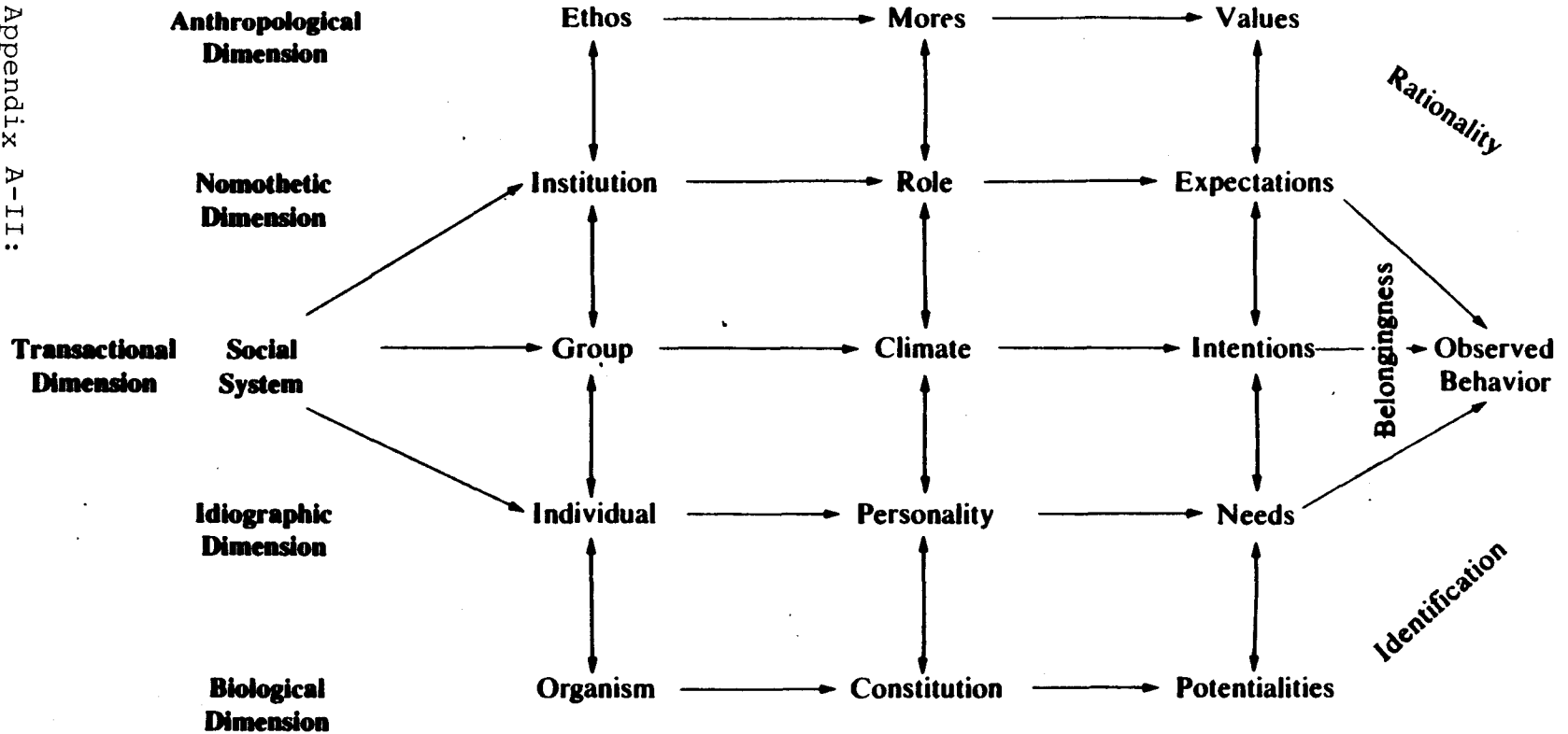
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APPENDIX A



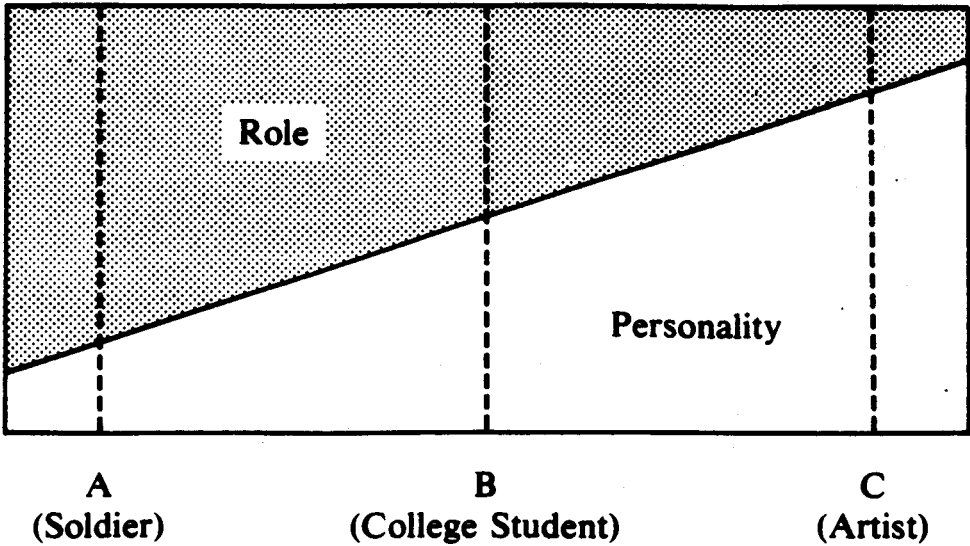
NOMOTHETIC AND IDIOGRAPHIC DIMENSIONS OF SOCIAL BEHAVIOR

Adapted from J. W. Getzels and E. G. Guba, "Social Behavior and the Administrative Process," *School Review*, 65, 1957, p. 429.



GETZELS-GUBA MODEL OF SOCIAL BEHAVIOR

Source: Jacob W. Getzels and Herbert A. Thelen, *The Classroom as a Unique Social System*, 59th Yearbook, National Society for the Study of Education. Nelson B. Henry, Ed., p. 66.



VARYING PROPORTIONS OF ROLE AND PERSONALITY COMPONENTS IN SOCIAL BEHAVIOR

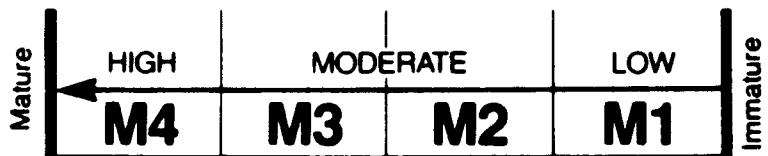
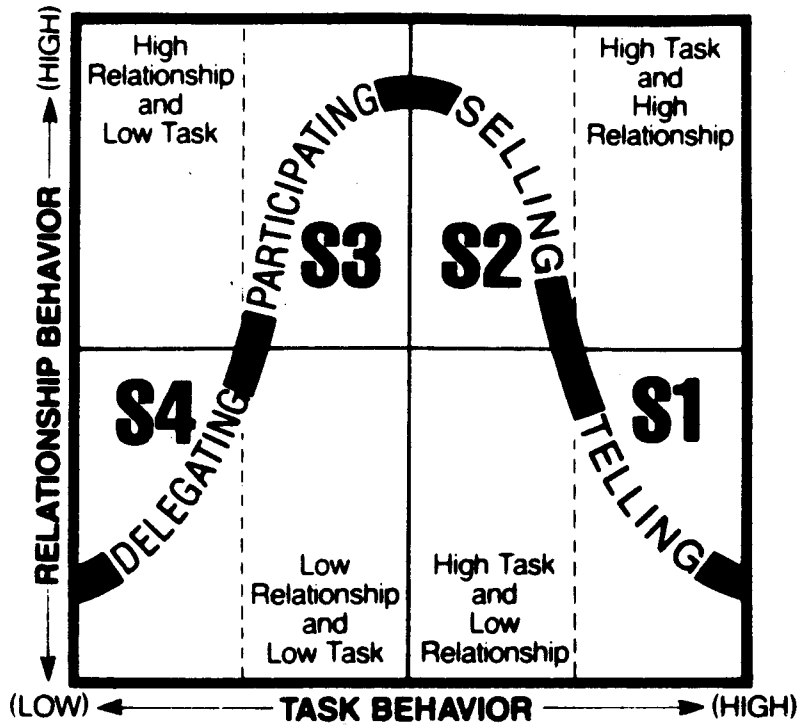
Adapted from J. W. Getzels and E. G. Guba, "Social Behavior and the Administrative Process," *School Review*, 65, 1957, p. 430.

Appendix A-III : Varying Proportions of Role and Personality Components in Social Behavior

As shown in Figure 1, the behavior of a soldier (line A) is largely determined by the requirements of the army; he has little freedom for the expression of his own personality. The nomothetic dimension in this case outweighs the idiographic. On the other hand, an artist's social behavior is determined in large measure by his personality (line C); he has considerable freedom for creative activity because his role imposes few constraints upon him. A college student might range somewhere between the soldier and artist (line B) with respect to institutional restrictions and individual freedom.

APPENDIX B

STYLE OF LEADER

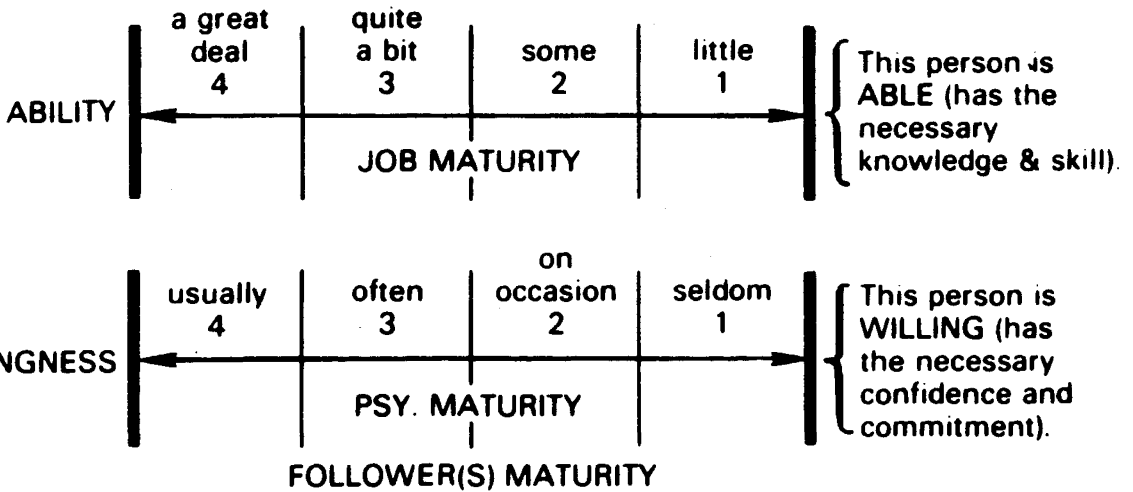
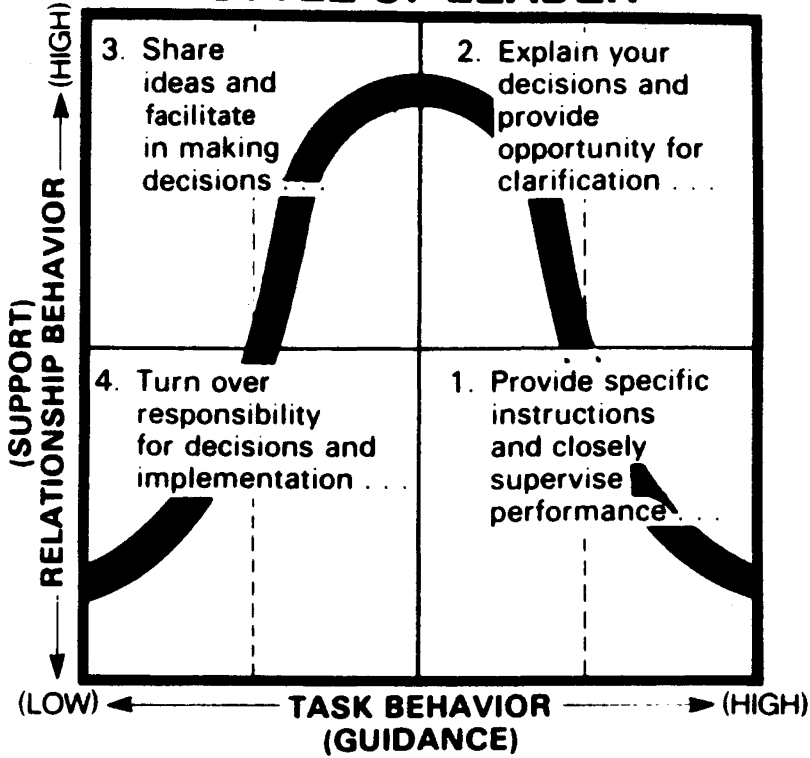


MATURITY OF FOLLOWER(S)

Situational leadership

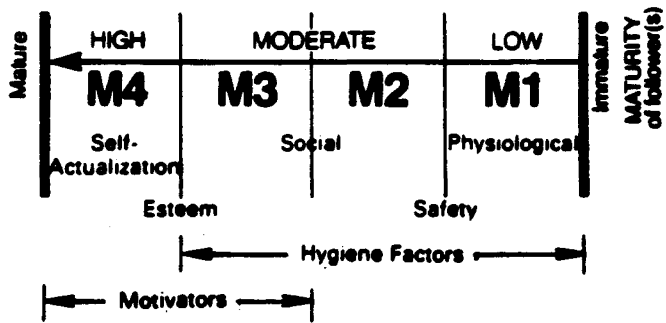
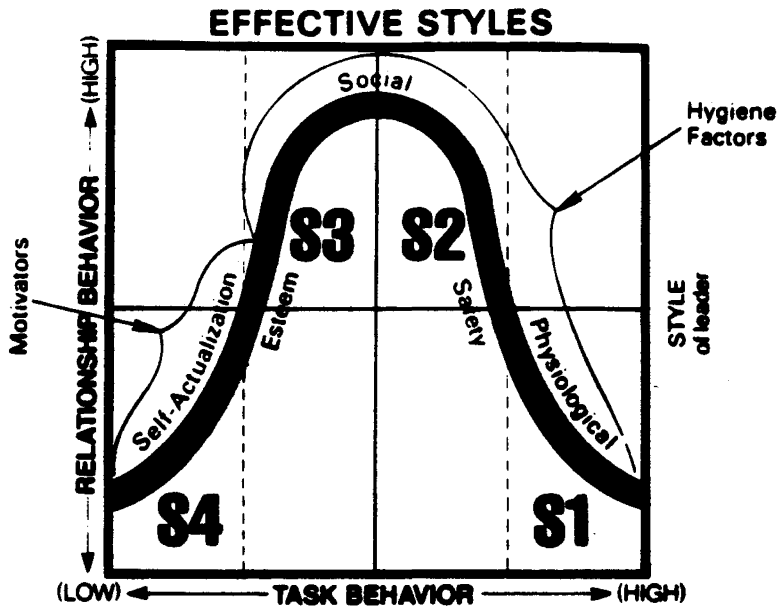
Appendix B-I Situational Leadership

STYLE OF LEADER



Defining maturity and the four basic leadership styles

Appendix B-II: Situational Leadership - Defining Maturity



Appendix B-III: Situational Leadership - Maslow and Herzberg

APPROVAL SHEET

The dissertation submitted by James C. Lalley, Jr. has been read and approved by the following committee:

Dr. Melvin P. Heller, Ed.D., Director
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The final copies have been examined by the director of the dissertation and the signature which appears below verifies the fact that any necessary changes have been incorporated and that the dissertation is now given final approval by the Committee with reference to content and form.

The dissertation is therefore accepted in partial fulfillment of the requirements for the degree of Doctor of Education.

April 17, 1990
Date


Director's Signature