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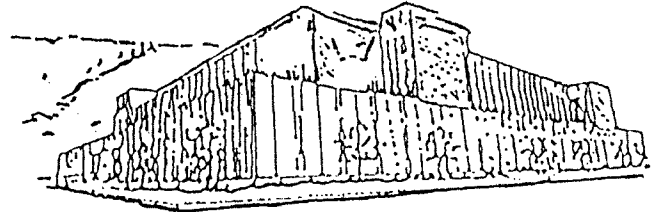
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The Mediation Model of Organizational Leadership: A communication-based framework
for effective leadership.

by

Joseph M. Straub

B.A. University of Colorado, 1990

Presented in partial fulfillment of the requirements

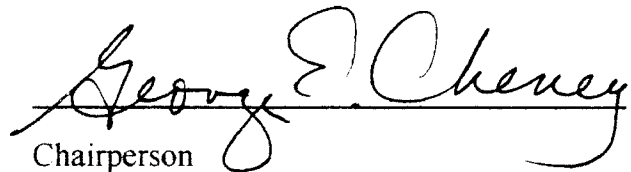
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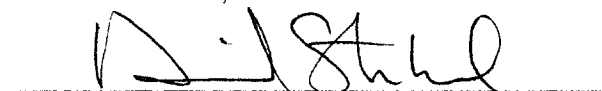
Master of Arts

University of Montana

1997

Approved by:


Chairperson



Dean, Graduate School

5-16-97

Date

I would like to extend special thanks to Dr. George Cheney, my advisor, for all of his guidance, advice, and encouragement during my Master's program and in writing this thesis. I would also like to thank the members of my committee, Dr. Betsy Bach, Dr. Fengru Li-Ford, and Dr. Bill Wilmot for their support and helpful suggestions. Finally, thanks to Jennifer, for her love, support, and understanding.

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Abstract

Straub, Joseph. M., M.A., May 1997

Communication Studies

The Mediation Model of Organizational Leadership: A communication-based framework for effective leadership (161 pp.).

Director: George E. Cheney 

Mediation, a form of dispute resolution that relies heavily on communication, has long been recognized as a productive means for resolving conflict. Additionally, Yarbrough & Wilmot (1995) argue that the principles of mediation can be applied not only to resolving conflict, but also to any and all aspects of a person's life:

Mediation need not be applied only when problems arise, but can serve as a lens through which to view our ordinary patterns of communication and all of our interactions, every day. Mediation is both a set of useful skills and a philosophical approach. It is a way of being in the world and doing our daily business, a way that sets in motion positive, thriving energy to supplant protective, political, adversarial approaches (p. xv).

If organizations are viewed through this "mediation lens," it becomes apparent that many of the philosophies, skills, and personal characteristics needed by mediators to facilitate conflict resolutions are parallel to the philosophies, skills and personal characteristics needed by organizational leaders to guide their employees, followers, or constituents. For example, mediation practices such building a trusting, cooperative climate, encouraging unique approaches to problem solving, and assisting negotiators in becoming better communicators (see, e.g. Moore, 1986; Yarbrough & Wilmot, 1995) are practices that have been recognized by leadership scholars (see, e.g. Kotter, 1988; Fairhurst & Sarr, 1996; Barge, 1996) as necessary for successful leadership.

From these examples, it becomes evident that mediation can provide an effective framework for leadership. In this study, I demonstrate the ways in which the mediation model of conflict resolution can be applied to employing organizations as an effective framework for leadership, and I also examine the opinions of organizational communication scholars and leadership practitioners as to the effectiveness of this style of leadership. Data were gathered via moderately structured interviews and analyzed using qualitative and ethnographic methods.

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The "Mediation Model" of Organizational Leadership: A communication-based framework for effective leadership.

Chapter One: Introduction

In the United States and in other countries, mediation has been applauded for its humanistic, communication-centered approach for resolving conflicts. Essentially, mediation is "the intervention into a dispute or negotiation by an acceptable, impartial, neutral 3rd party who has no authoritative decision-making power to assist disputing parties in voluntarily reaching their own mutually acceptable settlement of issues in dispute" (Moore, 1986, p. 14). Mediation's advocates explain that mediation can not only help disputing parties reach satisfying agreements but also that mediation can empower people to handle conflict more effectively, and help people recognize their value as humans and the humanity of others. As Bush & Folger (1994) explain "mediation (has the) capacity to generate two important effects, empowerment and recognition.... Empowerment means the restoration to individuals of their sense of their own value and strength and their own capacity to handle life's problems. Recognition means... (individuals') ...acknowledgment and empathy for the situation and the problems of others"(p. 2).

While mediation works to help people resolve conflict more effectively and to develop their skills in relating to others, employing organizations are simultaneously looking for better ways help their employees accomplish similar goals. Corporate re-engineering and restructuring, downsizing, and increased competitiveness are forcing organizations to look for new methods by which to manage their organizations and lead their people into and through these "trying times"(White, 1996). These new approaches to leadership, such as transformational leadership (Burns, 1978), self-managing work teams (Manz & Sims, 1980), connective leadership (Lipman-Blumen, 1992), person-centered leadership (Arnold & Plas,

1993), and stewardship or servanthship (see, e.g. Block, 1993; Senge, 1990), look to invite employee input into organizational issues, encourage alternative ways to solve old problems, and promote higher employee satisfaction and participation. Ultimately, these goals are parallel to the goals of mediation: to find alternative means for solving conflicts, to reach solutions that are equally satisfying to both parties, to empower people as better resolvers of conflict, and to help people recognize the importance of others.

Mediation has been recognized as a productive means for resolving conflict, and Yarbrough & Wilmot (1995) argue that the principles of mediation can be applied not only to resolving conflict, but also to any and all aspects of a person's life:

Mediation need not be applied only when problems arise, but can serve as a lens through which to view our ordinary patterns of communication and all of our interactions, every day. Mediation is both a set of useful skills and a philosophical approach. It is a way of being in the world and doing our daily business, a way that sets in motion positive, thriving energy to supplant protective, political, adversarial approaches (p. xv).

Viewing organizations through this mediation lens, it becomes apparent that many of the philosophies, skills, and personal characteristics needed by mediators to facilitate conflict resolutions are parallel to those skills and characteristics needed by organizational leaders to guide their employees, followers, or constituents. For example, mediation practices such as building a trusting, cooperative climate, encouraging unique approaches to problem solving, and assisting negotiators in becoming better communicators (see, e.g. Moore, 1986; Yarbrough & Wilmot, 1995) are practices that have been recognized by leadership scholars (see, e.g. Kotter, 1988; Fairhurst & Sarr, 1996; Barge, 1996) as necessary for successful leadership.

From these examples, it becomes evident that mediation can provide an effective framework for leadership. In this study I will demonstrate the ways in which the mediation

model of conflict resolution can be applied to employing organizations as an effective framework for leadership. I will also examine the extent to which various organizational scholars and leaders ascribe to a mediation style of leadership and their opinions as to the effectiveness of this style of leadership.

To overview this study, I begin by further discussing my rationale and presenting the research questions that will guide the review of the literature and fieldwork. Next, the literature on mediation and other methods of dispute resolution are examined, as is the leadership literature. In this chapter, particular attention is paid to showing how mediation and leadership are moving toward more interpersonal themes and person-centered principles (see, e.g. Bush & Folger, 1994; Plas & Arnold, 1993) such as empowerment, satisfaction, recognition, and communication effectiveness. The literature review also demonstrates how mediation and leadership argue that many of the same strategies, skills, roles, and personal characteristics are necessary for effectiveness. This second section also includes the initial explanation of the “mediation model” of organizational leadership.

In the third chapter, I outline my methodology for exploring leaders’ and scholars’ impressions of the mediation model, the extent to which the mediation model of organizational leadership is applied in organizations today, and its perceived effectiveness as a framework for organizational leadership. This section also includes an explanation of how data are to be analyzed. The results of the study are presented in the fourth chapter of the paper, followed by conclusions and recommended areas for further research. Before surveying the relevant mediation and leadership literatures, I will to first explain the purpose and rationale for the study in greater depth.

Purpose and rationale for the study

The first and most important motivation for this study is to explore the general viability of a mediation-based framework of organizational leadership. There seems to be many parallels between the skills necessary for successful mediation and those skills needed for successful leadership, yet very little literature has noted these similarities, or even considered them (Yarbrough & Wilmot, 1995 is an important exception). The present study looks to bring together the fields of leadership and mediation, and to show how many of the strategies, skills, roles, and personal characteristics of effective mediators and leaders are similar. It is important to note here that these categories (strategies, skills, roles, and personal characteristics) are not intended to be theoretical constructs, nor are they set in stone. As will be seen, the distinctions between these categories are often vague, with strategies overlapping skills, roles overlapping strategies, and personal characteristics spilling back into skills. These categories and divisions are simply presented to organize similar terms, and to provide generalized categories for examination in the field.

In order to demonstrate the similarities between effective mediation and effective leadership, a thorough examination of relevant literature and studies will be presented, and wherever possible, the connections between mediation and leadership will be highlighted. Also within this examination of the literature, specific attention is focused on the sometimes detrimental or counter-productive nature of some models of leadership, for example models which encourage "participation" and "empowerment," only in the interest of increasing productivity and the employing organization's bottom line. These examples highlight the importance of trust (itself a growing area of research) and sincerity in leaders, and this study identifies areas where the principles of mediation might help organizations better accomplish

their goals.

Next, as explained in the introduction, some organizations are moving away from traditional, top-down or authoritarian forms of leadership and toward more communication oriented styles of leadership, focusing on issues such as employee satisfaction, motivation, commitment, participation and involvement (Cheney, Straub, Speirs, DeGooyer, Stohl, Whalen, Garvin-Doxas, & Carlone, in progress). As Bush and Folger (1994) explain negotiator or disputant satisfaction with, commitment to, and participation in the process are keys to successful mediation outcomes. Similarly, researchers in the fields of leadership and organizational communication (see, e.g. Bennis & Nanus 1987; Cheney, 1996; Fairhurst, 1996; Kotter, 1988; O'Connor, 1997; Plas, 1996) have identified these same issues as essential for organizational health. Effective leaders, then, must be able to create an organizational climate and culture in which employee satisfaction, commitment, and participation are both policy and practice. Drawing from these parallel interests, this paper looks to demonstrate how the mediation model can provide all organizational members a framework for leadership and communication by giving them greater flexibility and choice in setting goals, negotiating agreements, giving and receiving feedback, generating solutions to organizational problems, and other communication events encountered in day to day organizational activities.

Finally, since it is exploratory in nature, the study will examine the extent to which principles of the mediation model of organizational leadership (MMOL) are in fact useful to leaders in various organizations. I will also solicit subjects' perceptions of the effectiveness or ineffectiveness of the skills, roles, and strategies identified by the model. These tasks will be accomplished by way of moderately structured interviews with experts in academe and in

non-academic organizations. By using a qualitative approach, I will present, where possible, participants' experiences and opinions of effective leadership from their perspective. From these interviews, I will also identify examples of leadership policies and practices that do not promote participation, communication, employee satisfaction, and employee growth; and in turn, explain how the principles of mediation can be substituted in order to improve upon these leadership methods and practices. While this study cannot provide a comprehensive analysis of leadership styles, or for that matter even a representative analysis, it can capture a range of philosophies of leadership by talking with scholars and practitioners in these two domains.

The above goals will direct this study through the examination of the literature, the development of the interview questions, the collection and synthesis of information [data], and the final results and discussion. These goals suggest three guiding research questions:

- RQ1: What are the strategies, skills, roles, and personal characteristics that interviewees believe contribute to effective leadership?
- RQ2: What errors or mistakes do leaders make that interviewees believe cause them to be perceived as ineffective?
- RQ3: What are the ways in which the MMOL might help leaders, and how does the MMOL not address leadership issues?

I turn now to the theorists and researchers in the fields of mediation and leadership in an effort to show the parallel goals and features of these seemingly dissimilar disciplines.

Chapter Two: Review of Relevant Dispute Resolution and Leadership Literature.

Dispute Resolution Literature

While the focus of this paper is a new leadership style based on the methods, skills, characteristics, and roles of mediation, it is useful to understand the components of the mediation process. Mediation draws from a broad spectrum of dispute resolution strategies, including negotiation, litigation, arbitration, and adjudication. This section presents a brief overview of these methods and their outcomes, and compares these to the methods and outcomes of mediation.

Avoidance and informal problem solving. Conflicts and disputes can take many forms. Hocker and Wilmot (1994) define conflict as “an expressed struggle between interdependent parties who perceive incompatible goals and scarce resources and who interfere with each other’s goal attainment.” When people find themselves in conflict or in a dispute, they might try to solve the dispute in one or more ways. Moore (1986) presents dispute-resolution methods on a continuum, from avoidance to physical violence. If disputants decide to address the conflict, they might try employ informal problem solving discussions, negotiation, or mediation. “Beyond negotiation and mediation, there is a continuum of techniques that decrease the personal control that the people involved have over the dispute outcome, increase the involvement of external decision-makers, and rely increasingly on win/lose and either/or decision making techniques. These approaches can be divided into public and private, and legal and extra-legal approaches”(p. 6).

In conflict or dispute situations, people often choose to avoid each other because the issue is not important, they lack power, or they don't believe a change for the better is possible (Bush & Folger, 1995; Moore, 1986; Yarbrough & Wilmot, 1994). In these

situations, disputants simply avoid one another until the conflict goes away or becomes a non-issue. In many instances, however, conflicts don't simply go away. At this point, disputants may engage in some sort of informal problem solving discussion (Moore, 1986). If informal problem solving fails to help disputants resolve the conflict, the conflict usually requires some form of intervention, which might include litigation, adjudication, negotiation, or mediation. These are discussed in more detail below.

Litigation and adjudication. Litigation, arbitration, mini-trials, and adjudication normally require that disputants select counsel or representatives to argue their case. A judge or referee first listens to the arguments from each side, then makes a decision based on the evidence each disputant has presented. "Mini-trials" are less formal but still litigation-based conflict resolution strategies that generally involve an expert or group of experts who render a decision in a fashion similar to that of litigation or adjudication. Sometimes these experts are managers or other individuals from within in the organization, other times they are external experts in the field or industry. Generally, in litigation, arbitration, mini-trials, and adjudication, "parties present their sides of the conflict in whatever form and manner they please (unless regulated by precedent or legislation); the arbitrator simply ensures that both sides have had an equal and reasonable opportunity to present their argument. In the end, however, it is the arbitrator who decides the outcome" (Lewicki, Weiss, & Lewin, 1992, p. 237).

With litigation, arbitration, mini-trials, and adjudication, there is a focus on resolving the issue based on the positions of the disputants. Disputants may misrepresent or exaggerate their positions because they believe that arbitrators and adjudicators simply split the difference between disputants' positions (Lewicki, et. al., 1992). Decisions based on

exaggerated or unrealistic positions are not the only shortfall of these conflict resolution methods. These methods also fail to identify and consider underlying relational issues, as well as whether or not the disputants agree with the decision. As a result, disputes that are handled with litigation, adjudication, mini-trials, and arbitration often continue or become even more heated after a decision has been rendered. Other possible scenarios are that disputants do not get what they really want, their feelings are hurt, enemies are made, or friendships and partnerships are ended.

Negotiation. Negotiation is defined by Moore (1986), as a bargaining relationship between parties who have a perceived or actual conflict of interest. "The participants voluntarily join in a temporary relationship designed to educate each other about their needs and interests, to exchange specific resources, or to resolve one or more intangible issues.... Negotiation is a more intentional and structured dispute resolution method than informal discussions and problem solving" (Moore, 1986, p. 6). Filley (1975) provides us with the framework for the process of negotiation. Negotiating parties should first create an environment that promotes equality, cooperation, communication, and information sharing. Next, parties should review and adjust their perceptions and attitudes about the other party. Third, a clear definition of the problem(s) at hand should be agreed upon, and alternatives to solve the problem(s) should be discussed. Finally, the decision reached in negotiation should be acceptable to both parties. In Getting to Yes, Fisher & Ury (1981) drew on Filley's framework to develop the idea of "principled negotiation." Principled negotiation encourages disputants to look for mutual gains wherever possible. Where interests conflict, disputants should insist that the solution be based on some fair standards independent of either side. Fisher (1989) explains effective negotiation as when the negotiators:

...have established a good personal working relationship; developed easy and effective communication; have come to understand the interests of both parties; have explored precedents and other possible criteria of fairness that might be persuasive to one (party) or another; fully understand their own alternatives to a negotiated agreement and have estimated those of the other side; and have considered a range of possible options that might form a basis for agreement (p. 36).

While negotiation offers advantages that litigation, adjudication, and arbitration do not, it too can be ineffective in resolving conflict. Putnam (1994) warns negotiators that “traditional methods leave critical elements hidden, unexplained, or untouched” (p. 338). These critical elements include the development of relationships, the value of dialogue in negotiation, and consideration of emotions. Hocker & Wilmot (1994) identify these as content issues, relational and identity issues, and procedural issues. Content issues are observable, concrete issues; surface issues that conflicting parties freely express. They are actually limited resources, such as money, time, or promotions. Relational and identity issues are subjective things such as being included, being treated with respect, being appreciated, or being recognized for outstanding work or contributions. And finally, procedural issues are concerns about how things are done. They might include a desire for fair play, equal treatment, appropriate talk time, or other rules of operation. Notice in Fisher and Ury’s (1981) principled negotiation example above, there is a focus on outcomes, on individual goals, and on strategies and tactics. By focusing on instrumental, rational, and individual goals, many negotiations ignore opportunities to develop better relationships, encourage dialogue between negotiators, and broaden outcomes beyond individual interests (Putnam, 1994).

Another risk in negotiation occurs when negotiating parties enlist (or are required to enlist, as is often the case in organizations and court ordered negotiation) the help of a third

party to assist the negotiation. In its true form, negotiation is not intended to include a third party. In situations where negotiators ask or are required to use a third party, these third parties may begin to decide on alternatives, make suggestions, and ultimately, decide on a solution for the negotiating parties. When this happens negotiation begins to resemble litigation, adjudication, and arbitration models, and parties' commitment to and satisfaction with solutions can suffer (Pinkley, Brittain, Neal, & Northcroft, 1995; Pruitt, 1983).

The focus on instrumental goals, individuality, and individual concerns, as well as the risk of loss of control of the process and commitment to outcomes, suggest that negotiation may not be the most effective method for resolving conflicts. A model which considers the emotions of the disputants, which focuses on the interests of the disputants, and which promote the relationship of the disputants is needed. Ertel (1991) advises that the process chosen 1) clarifies the interests of the parties, 2) builds a good working relationship, 3) generates good options, 4) is perceived as a legitimate solution, 5) recognizes the parties alternatives, 6) improves communication between the parties, and 7) leads to wise commitments. Mediation offers a model for conflict resolution that better addresses these considerations. The principles, objectives, and outcomes of mediation are presented in the following section.

Mediation. Mediation is designed to involve a third party, whose role is to assist the disputants in the process of resolving a dispute and advise the parties through each step of this process until they reach a mutually agreeable solution. "Mediation is generally understood as an informal process in which a neutral third party with no power to impose a resolution helps the disputing parties try to reach a mutually acceptable settlement" (Bush & Folger, 1994, p. 2). Jackson (1952) proposed the first basic model of mediation: getting the

parties together, building up confidence in the mediator, deflating facts to their true proportions, raising doubts among the parties as to the positions they have assumed, generating alternative solutions, and expanding areas of agreement. Thibault and Walker (1975) explain that mediation "entails high control over the process of dispute resolution, but low control over the outcome (of the dispute)... Mediators employ a variety of strategies and tactics to initiate and facilitate interactions between disputants, but leave the final solution or terms of settlement in the hands of the disputants"(p. 233). Mediators do not offer solutions or render decisions. Instead they guide the disputants through the steps of resolving the dispute on their own. In their book Artful mediation: Constructive conflict at work, Yarbrough & Wilmot (1995, p. 22) identify the following stages in mediation:

Entry Stage: The participants in the conflict agree to use mediation. The mediator comes in and tries to clarify the situation. The steps include 1) Assessing initial conditions. 2) Generating credibility. 3) Selecting a conflict approach that fits the problem at hand, and 4) Indicating [the] expectations for a successful mediation.

Diagnosis Stage: Here the mediator tries to figure out what the conflict is about. They interview and observe the participants, and refer to secondary sources (others, memos exchanged, company dynamics.)

Negotiation stage: In this stage, the mediator works with the disputants to identify issues, common ground, and solutions. They help disputants break issues into their smaller or component parts. They employ reframing strategies to help disputants see issues from different perspectives. Power differences between the parties are addressed. Alternative solutions and options are proposed, evaluated, and accepted or refined.

Agreement stage: Here, mediators help disputants use creative strategies to come to agreement, assess all the options available to them, and focus on specific, precise agreements.

Follow up stage: This stage involves assessing the conditions that might impact the agreement. Mediators must be aware of the environment, other people, organizational culture/policy/influence, spouses (and other outside people or forces) and the impact these elements can have on the agreement the parties have made.

Many mediation theorists (see, e.g. Bush & Folger, 1994; Moore, 1986) have adopted this

“stage” process of mediation. While some authors emphasize the importance of proceeding through mediation steps in this order, others emphasize that the process of mediation is not necessarily linear, it may fluctuate between stages, skip stages, or handle the stages in a completely random order. None-the-less, Yarbrough & Wilmot’s (1995) stages of mediation are useful for quickly referencing and identifying the tasks and goals essential for effective mediation.

Mediation enables parties to reach integrative decisions, which Pruitt (1983) tells us are “... likely to be more stable [and] to strengthen the parties’ relationship.... Integrative agreements result from flexibility and cooperativeness, information exchange and insight into [the other’s] priorities ...”(p. 220). Mediation allows disputants to control decision making, encourages them to approach problems from new and different perspectives, and asks them to review their negative opinions of the other (Pinkle, et al., 1995). As mentioned earlier, in conflict resolution strategies other than mediation, *a third party* may decide on the best solution or plan of action. This solution is reached without regard for disputants’ satisfaction or commitment to the decision. Lack of commitment on the part of one or both disputants may result in default of the terms of the agreement, further disputes, and/or overall dissatisfaction with the process and outcome of the dispute. In contrast, mediation encourages the *disputants* to decide on the solutions with which they are most satisfied and to which they would be most willing to commit. Bush & Folger (1994), Lewicki, et al. (1992), Laiken (1994), and Yarbrough & Wilmot(1995) indicate that overall, mediated conflicts in which the disputants suggest and agree upon integrative solutions, have higher settlement rates and satisfaction levels than other forms of dispute resolution. “The mediator’s goal is to assist the parties in *examining the future and their interests or needs*, and

negotiating an exchange of promises and relationships *that will be mutually satisfactory and meet their standards of fairness*"(Moore, 1986, p. 17, italics added).

Yarbrough and Wilmot (1995) offer an example of a successfully mediated organizational conflict. A mediator is called in to help two co-workers sort out their differences which on the surface (content issues) center around use of equipment. In this example, the mediator first works to uncover the relational and identity issues that are really driving the conflict (feelings of disrespect and insecurity), and then helps the parties to see how they are interdependent and reliant on one another (each must plan their schedule around the other, and arguing reflects poorly on both of them). Finally, the mediator helps the disputants work out a solution that is beneficial and satisfying to both parties (a schedule that accommodates one's unusual work hours and the other's need to be with family after work hours.)

Besides solving the problem at hand, mediation hopes to "improve the relationship between the disputants; if adversaries cannot be transformed into close friends, at least a modicum of relationship enhancement could ensue" (Bush & Folger, 1994, xi-xii).

Mediation also offers the possibility of generating two important effects: empowerment and recognition. Empowerment is the restoration to individuals of their sense of their own value and strength and their own capacity to handle life's problems. Recognition is an individuals' acknowledgment and empathy for the situation and the problems of others. By approaching mediation from this perspective, mediators can help encourage a change in people from self centered, dependent beings to reflective, concerned, and responsible people. Mediation tries to engender human growth and transform human character by equipping people with respect, consideration, and the ability to deal with problems more fairly and equitably. Mediation

encourages choice making and deliberation. It encourages parties to define problems and share solutions with one another, and promotes perspective taking, the consideration of other person's point of view (Bush & Folger, 1994).

When the goals of empowerment, recognition, empathy and solving the problem are equally balanced, mediation can go beyond simply solving the problem to teaching disputants better communication skills and to be more caring, understanding, and compassionate toward others (Bush & Folger, 1994; Yarbrough & Wilmot, 1995). Mediation offers disputing parties the chance to help themselves resolve their disputes, learn to handle future disputes more effectively, develop better communication skills, and build meaningful relationships. These unique characteristics help the process of mediation address Putnam's (1994) criticisms of other forms of conflict resolution (outlined above), and as such offer opportunities to disputants that other dispute resolution methods do not.

With the knowledge of what mediation is, how it works, and what it hopes to accomplish, it is useful to know which factors most influence the success of mediation. Mediation has been found to be most effective if certain conditions are met (Kressel & Pruitt, 1989). First, levels of conflict must be moderate because conflict intensity is negatively correlated to settlement. The greater the level of conflict, the less likely mediators will be able to assist the parties in reaching a solution. Next, the parties must be committed to mediation; settlement rates are highest when both sides request mediation. This finding casts a shadow on programs that mandate mediation: if a party is forced rather than chooses to mediate, they are less likely to be satisfied with the mediation outcome. A third impact on mediation's success is resource availability: mutual gain is difficult to achieve when the parties start with few resources. Another impact on the effectiveness of mediation in helping

negotiating parties reach a settlement is the absence of issues of principle. As noted above, Yarbrough & Wilmot (1995) and others emphasize that a mediator must dig below the content issues or “issues of principle” to find the issues that are beneath the surface. Issues of principle tend to be “deeply felt [...and are...] either-or propositions that do not admit of compromise” (Kessler & Pruitt, 1989, p. 404). Power is another factor in mediation settlements. If one side has more power than the other side, the dispute will be more difficult to mediate, and satisfying outcomes will be less likely. Finally, internal discord can greatly hamper settlement in mediation. The higher the level of “intra-party conflict,” the greater the mediator’s headaches and the less probable a mediated solution. Mediation tends to be most successful when the members of a faction or “side” of a dispute are internally united.

Avoidance, informal discussion, negotiation, mediation, litigation, adjudication, arbitration, and violence (Moore, 1986) are options available to parties involved in a conflict. Each of these methods offers different processes and promises different outcomes. In this section, each method was briefly explained in an effort to give the reader a background on the various dispute resolution methods, to show how mediation is rooted in many of these processes, and finally, to explain the advantages mediation offers over these other forms of dispute resolution. In order to lay the groundwork for a comparison of the strategies, personal characteristics, skills, and roles of effective mediators and effective leaders, it is important to also be familiar with the literature pertaining to organizational leadership. This literature is briefly reviewed in the next section.

Leadership Literature

What is leadership? What makes leaders effective? Questions such as these have always been a concern for leadership theorists: “Decades of academic analysis

have given us more than 350 definitions of leadership. Literally thousands of empirical investigations of leaders have been conducted in the last 75 years alone, but no clear and unequivocal understanding exists as to what distinguishes [good leaders from bad], and perhaps more important, what distinguishes *effective* leaders from *ineffective* leaders” (Kotter, 1988, p. 4, italics in original). In order to have a clear understanding of leadership, it is useful to understand the major theories of leadership. In this section of the paper, I briefly review some past and present leadership theories, as well as identify some of the strategies currently available to leaders.

Early theories: “great man,” “big bang,” and traits. Early writers (circa 1880) advanced theories of leadership based on the idea that leaders were born, not made (Kouzes, 1987); summoned to their calling through some unfathomable process (Bennis & Nanus, 1985; Kotter, 1988). Known as “great man” theories, they saw power and the ability to lead as vested in a very limited number of people. The inheritance and destiny of these people made them great leaders. Those of the right family or lineage (i.e. monarchy) could lead; others could not. “Great man” theories were based primarily observation and speculation (Burns, 1978) of what made a great leader. When people from “different stock” and backgrounds began to assume leadership positions, (e.g. leaders in democratic nations) great man theories failed to adequately explain leadership in politics and organizations.

At about the same time that the “great man” theories fell out of favor, a new theory of leadership was advanced. Referred to as the “big bang theory,” it explained leadership as a matter of coincidence. Leaders were simply in the right place at the right time, and great events made leaders of otherwise ordinary people. “Presumably, Lenin

was just 'milling about' when a revolution [occurred], and Washington was simply 'on hand' when the colonies opted for freedom" (Bennis and Nanus, 1985, p.5). This theory did not take into account leaders whose struggles and triumphs occurred (and were documented) over long periods of time. Like the "great man theories," the "big bang theory" was also based on speculation rather than scientific methods, and it did not adequately explain the phenomenon of leadership.

The "great man" and "big bang" leadership theories gave way in the early 1920's to what are known as "trait theories." Trait theories "assume that the way to understand what makes some people more effective than others as leaders is to measure [them] on a wide variety of psychological, social, and physical variables, and note how they differ from non-leaders" (O'Connor, 1997, p. 119). Trait theories maintain that leadership can be seen as a stable set of traits that cut across people (Barge, 1996); factors such as appearance, intelligence, social skills, status, charisma, and disposition are identified by trait theorists as vital for successful leadership (Hackman & Johnson, 1996). However, as the research on traits progressed, more and more traits were identified as potentially important determinants of leadership (O'Connor, 1997). In 1948 and again in 1978, Ralph Stodgill published reviews of the trait theory literature which concluded that the body of research on trait theory did not show any simple pattern of traits that was strongly and consistently related to leadership (Hackman & Johnson, 1996; Stodgill, 1978; O'Connor, 1997). While some researchers continue to express an interest in the traits theories, a general trait theory of leadership has never been advanced (O'Connor, 1997).

Style, functional, and behavioral theories. Leadership from the 1940's through

the 1960's emphasized the styles, behaviors and functions of leaders. These new theories assumed that differences in leadership and leader effectiveness result from the specific style of leadership, leaders' behaviors, and the functions they perform. For example, in 1939, Lippert, Lewin, and White advanced three leadership styles: authoritarian style, democratic style, and laissez-faire (Barge, 1996; Brion, 1996; Hackman & Johnson, 1996; O'Connor, 1997). *Authoritarian* leaders maintain strict control over followers by directly regulating policies, procedures, and behaviors. A *democratic* leader allows employees a great deal of freedom, is open to their ideas, and gives them great latitude in deciding the best way to do a job. Finally, *laissez-faire* leaders take a hands-off approach, displaying little interest in employees or constituents, or in getting the task accomplished. Later studies of these leadership styles found that the most effective leaders are those able to combine elements of each style, or alternate between styles depending on the situation. Authoritarian, democratic, and laissez-faire leadership styles have been the subject of studies since the 1950's (see, e.g. Farris, 1972; Rudin, 1964; Shaw, 1955) and are still used to today to explain leadership styles.

Next, functional leadership theories (see, e.g., Barnard, 1968; Benne & Sheats, 1948; Knutson & Holridge, 1975; Schultz, 1974, 1986) suggest that certain functions need to be performed in the organization, even if not by the same people all the time. Leaders are often asked or required to perform these functions, which can be generalized into three categories. First, *task* functions are those functions that facilitate the work of the group or organization (Barge, 1996; Hackman & Johnson, 1996). *Relational* functions are those that contribute to the development and maintenance of interpersonal relationships in the group or organization. Finally, certain behaviors or functions

emphasize *individual roles* that members of the group play. When individual roles are emphasized, the group or organization is impeded from accomplishing tasks and goals. In later work emphasizing the functions of leadership, Chester Barnard (1968) identified specific "executive functions." These include *providing a system of communication*, which involves the selection of employees and creation of positions; *promoting the securing of essential efforts*, which involves recruiting and securing commitment from employees; and *formulating and defining purpose*, which involves expressing the purpose of the organization. Each of these functions of leadership are essentially communicative in nature (Tompkins, 1984). Functional theories of leadership have been used to explain leadership in groups as well as in organizations and in the public sphere.

Several behavioral theories of leadership were advanced at about the same time that functional theories were being used to explain effective leadership. Two behavioral theories were introduced almost simultaneously in the 1950's at the University of Michigan and at Ohio State University. These theories grouped leadership behaviors such as scheduling, offering encouragement, and two-way communication into two specific dimensions of leadership (Barge, 1996; Brion, 1996; Fleishman, Harris, & Burt, 1955; Hackman & Johnson, 1996; Katz, McCoby, & Morse, 1950; O'Connor, 1997). The first dimension, known as *production orientation* (Michigan Studies) or *task orientation / initiating structure* (Ohio State Studies), encompassed leader behaviors that focused on getting the task done. In contrast, the second dimension, *employee orientation* (Michigan) or *consideration* (Ohio State) encompassed leader behaviors that support workers in their activities and involve workers in the decision making process. (See, e.g. Fleishman, Harris, & Burt, 1955; Halpin, 1957; Kahn & Katz, 1960;

Schrieshem & Kerr, 1974; Stodgill & Koons, 1957.) The University of Michigan and Ohio State studies concluded that leaders who used behaviors that demonstrated employee orientation or consideration were generally regarded as more effective than leaders who used behaviors that demonstrated production orientation or task /initiating structure. Later studies suggested that leaders could be even more effective if they combined elements of each dimension. The Ohio State scholars referred to this as the “hi-hi” leadership style: high in task/initiating structure behaviors, high in consideration behaviors (Hackman & Johnson, 1996; O’Connor, 1997).

Leadership theorists continue to apply the Michigan and Ohio State behavioral leadership dimensions. For example, Blake & Mouton (1978, 1982) developed a training program called the “managerial grid” which is based on a leader’s production (task) or people (consideration) orientation. Blake and Mouton identified five leadership “styles”: impoverished managers, who have low concern for people and for task; country club managers, who show high concern for people and low concern for task; task managers, who have low concern for people and high concern for task; middle of the road managers, who have moderate concern for people and task; and finally, team managers, who have high concern for people and for task. Blake & Mouton’s training program identify the “team style” as the most desirable, and is directed towards increasing leaders’ concern for task and concern for people. O’Connor (1997) emphasizes that regardless of whether leaders are concerned with task or concerned with people, they must have good communication skills in order to effectively express these concerns to employees and followers.

Style, functional, and behavioral leadership theories have contributed

substantially to our understanding of the concept of effective leadership (O'Connor, 1997). Many of the concepts present in these models are important to the frameworks of more recent leadership theories. As noted above, Lippert, Lewin, and White's authoritarian, democratic, and laissez-faire leadership styles are still used as cornerstones in some leadership research. Similarly, many of the leadership theories we will discuss below incorporate the dimensions of concern for task/production and concern for people (Hackman & Johnson, 1996, O'Connor, 1997). Later theories of leadership recognize that certain styles, behaviors, and dimensions of leadership are more effective in some situations than in others. This situational approach to determining effective leadership behavior comprises the focus of "contingency theories" of leadership, which are discussed in the next section.

Contingency theories of leadership. Contingency theories of leadership recognize that effective leaders "see situational demands and obstacles, sense opportunities present in the situation, and strategically adapt their behavior (or style, or functions) to cope with the 'situation'" (Barge, 1996, p. 42). Fred Fiedler (1967, 1993) was one of the first proponents of the contingency or situational leadership models. Fiedler's contingency theory measured a leader's style and effectiveness by focusing on the leader's personality (i.e. task versus relationship motivation) and the favorableness or unfavorableness of the situation. Using the Least Preferred Co-Worker (LPC) scale, Fiedler's model ranks leaders based on their evaluation of those they would most like to work with. Negative evaluations of least preferred co-workers result in a low LPC score, positive evaluations result in a high LPC score. High LPC leaders are more concerned with relationships, low LPC leaders with tasks (Fiedler, 1967). Fiedler's model also evaluated the favorableness

of the situation. Situational favorableness is determined by:

Leader-member relations: the extent to which the leader is trusted, respected, and the extent to which group members are willing to follow directions.

Task - structure: the degree to which the task is structured (clearly defined and specified) or unstructured (ambiguous or unclear).

Position power: the extent to which the leader has official organizational power (control over rewards and punishments.)

(Barge, 1996; Fiedler, 1967; Hackman & Johnson, 1996; O'Connor, 1997).

Based on these factors, (LPC and situational favorability) a leader can be matched to a situation in order to maximize leader effectiveness. For example, low LPC leaders perform better in situations that are either very favorable (the leader is trusted, and respect; tasks are highly structured; and the leader has high position power) or very unfavorable (subordinates do not trust the leader, tasks are highly unstructured, and the leader has low position power.) In contrast, high LPC leaders tend to perform better in situations of moderate favorability (Strube & Garcia, 1981). One shortfall of Fiedler's contingency model is that there has been no explanation for the relationship between LPC scores and the situational favorability.

While arguably the best known and widely applied of the contingency theories, Fiedler's LPC model is not the only theory to emphasize the situational nature of the most effective leadership style. Other contingency models of leadership emphasize the situational nature of effective leadership, their key differences being in the terms used to identify the most important situational factors. For example, House & Mitchell's (1974) path-goal theory identified the personal characteristics of the subordinate and the characteristics of the environment as the key factors in determining which leadership style would be most effective. Life cycle-theory (Hersey & Blanchard, 1982) suggest

subordinate or follower maturity level as the key situational factor. Vroom & Yetton (1973; Vroom & Jago, 1988), identify the key situational factor as the nature of the decision the leader needs to make. They developed three decision-making styles: autocratic, consultative, and group (based on the authoritarian, democratic, and laissez-faire leadership styles first introduced by Lewin, Lippert, & White in 1939):

Autocratic decision-makers control all decisions. They may allow input from employees, but employees are not asked to generate solutions or suggestions.

Consultative decision-makers ask for employees to generate solutions and provide input, but ultimately the leader is responsible for the decision.

Group decision-makers act as facilitators and coordinators for the group, they accept and abide by the decisions made by the group.

Next, the Leader-Member-Exchange (LMX) theory (also referred to as the Vertical Dyad Linkage theory) is basically a situational model that focuses on how leaders and followers coordinate their actions to accomplish goals (see, e.g., Graen, 1976; Graen & Scandura, 1987). Leaders treat subordinates differently on the basis of whether the subordinate is a member of the “in group” (high levels of support and trust) or a member of the “out group” (low levels of support and trust). “In group” members are generally allowed more autonomy, given special duties and responsibilities, and are invited to assist in leadership decisions. “Out group” members receive less of their leader’s time and attention, are managed within the specific guidelines of their employment contract, and enjoy none of the special duties, privileges, or perks reserved for “in group members” (O’Connor, 1997).

Finally, attribution theory (Hieder, 1944, 1958; Kelly & Michela; 1980; Mitchell & Wood, 1980) suggests that an employee’s behavior can be attributed to internal or external factors. Internal factors might include lack of effort or motivation, lack of

training, or physical exhaustion. External factors might include poor equipment, or lack of materials. A leader might simply procure more equipment or materials if they determine external factors to be impacting an employees behavior or performance, while they might provide training, a transfer, or a reprimand if they determine internal factors have resulted in the employee's behavior (O'Connor, 1997).

Each of the contingency models of leadership begins with the assumption that a particular leadership style will only be effective in certain situations. As with the other theories presented here (functional, behavioral, style), the importance of effective communication skills can be seen throughout these perspectives (O'Connor, 1997). Leaders must have effective and flexible communication skills in order to determine which leadership style or behavior is appropriate for which situation. The importance of communication skills continues to be emphasized in other, more recent leadership theories. In addition to communication skills, these models also emphasize the importance of such factors as vision, charisma, flexibility, and empowerment and recognition of followers. These theories are discussed in more detail below.

Transformational and transactional leadership. James McGregor Burns (1978) recognized the importance of leadership style to the satisfaction and motivation of constituents. Burns identified two basic styles of leadership: transactional leadership and transformational leadership. Transactional leadership relies heavily on exchanges. "Leaders approach followers with an eye to exchanging one thing for another: jobs for votes, or subsidies for campaign contributions"(Burns, 1978, p. 4). In contrast, transformational leaders inspire their followers, interact with them often, stimulate them intellectually, and consider their wants and needs. According to Burns, the transformational leader "looks for

potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower" (Burns, 1978, p. 4).

Numerous authors have conducted research investigating Burns' transformational and transactional leadership styles (see, e.g., Aviolo, 1994; Deluga & Souza, 1991; Hater & Bass, 1988; Kotter, 1995; Nadler & Tushman, 1990; Popper & Zakkai, 1994; Singer & Singer, 1990; Tichey & Ulrich, 1984; Yammarino & Bass, 1990). In most organizations, transactional leadership can be characterized by the exchange of rewards such as bonuses, raises, promotions, and recognition in return for above average or outstanding performance, and punishments such as termination, reprimands, and demerits in the event of poor performance. A transactional leader clarifies task requirements and the rewards and punishments an employee will face in the event of compliance or noncompliance (Hater & Bass, 1988). Transactional leaders tend to manage by exception (Deluga & Souza, 1991; Hater & Bass, 1988), often interacting with employees and constituents only when problems arise, or when old ways of handling problems no longer work. Because of their focus on performance and rewards, transactional leaders rarely take into consideration the interests or opinions of their followers or employees.

In contrast to transactional leaders, a transformational leader in an organization goes beyond the exchange of rewards for compliance by establishing an interactive, caring relationship with the employee. This relationship aids in motivating employees and/or followers to do more than originally expected (Hater & Bass, 1988). Transformational leaders inspire people to develop a strong sense of identification with the organization, help construct a vision of the future that considers both personal and organizational goals, and provide subordinates with individual consideration and intellectual stimulation.

Transformational leaders encourage input and suggestions from employees/followers, consider their needs, and involve their people in decision-making.

Various studies have been conducted to examine the impact of transactional and transformational leadership styles on subordinates. More so than transactional leadership, transformational leadership has been found to correlate positively with how effective a leader is perceived by subordinates, how much effort a subordinate will expend for their leader, how satisfied subordinates are with their leader, and how well subordinates perform as rated by supervisors (see, e.g., Deluga & Souza 1991; Hater & Bass, 1988; Singer & Singer, 1990; Yammarino & Bass, 1990). Aviolo and Bruce (1988) point out that "(employees) eager to apply and develop (their) abilities on a job would probably thrive under a leader who transmitted a sense of mission, stimulated learning experiences, and aroused new ways of thinking"(p. 702).

While transformational leadership seems more employee-focused and future-oriented than transactional leadership, many researchers advocate using elements of each leadership style. For example, Lipman-Blumen (1992) advocates a leadership style called "connective leadership," which combines the elements of transactional and transformational leadership to produce a leadership style flexible enough to handle any situation or organization.

Ultimately, a leader's decision to employ reward-based transactional or employee-centered transformational leadership or some combination of the two can have a great impact on the employees, productivity, and success of an organization.

Self-leadership and self-managing work groups. Alternatives can be found to the transformational/transactional leadership framework. For example, Finch (1977), Manz (1986), and Manz & Sims (1980) introduced self-management or self-leadership as a

substitute for transactional, transformational, or other leadership strategies. "Self-leadership is conceptualized as a comprehensive self-influence perspective that concerns leading oneself toward performance of naturally motivating tasks as well as managing oneself to do work that must be done but is not naturally motivating" (Manz 1986, p. 589). Self-leadership is derived from self-control: people manage their own behavior by setting personal goals or standards, evaluating their progress toward these goals or standards, and either rewarding themselves or punishing themselves based on their evaluation (Manz & Sims, 1980). People are equipped to lead themselves, and a leader's role then serves to reinforce this natural tendency. The leader accomplishes this by modeling self-management behaviors, identifying opportunities for self-management, and reinforcing self-management efforts.

Finch (1977) and Manz and Sims (1984, 1987) also identified a second form of leadership, this being the role of the leader in organizations that utilize "collaborative" or "self-managed work groups." In an effort to streamline operations and cut costs, many businesses have moved toward self-managing work groups and autonomous work teams. Manz and Sims (1984), most notably, have examined the specific behaviors required and performed by leaders within the paradoxical role of the *un-leader*, the group facilitator who remains a co-equal with others. In these situations, emphasis is placed on self-reliance, cooperation, and innovation. For organizations moving toward self-managing work teams, the job of the traditional leader, if not completely eliminated, changes drastically. In such team-oriented situations, leaders exchange their roles of motivator, trainer and decision-maker for those of liaison, "connector," and mediator.

Barry (1991) suggests a distributed-leadership model, which looks at leadership as a series of roles that can be adopted by any group member. Many of the activities

Barry identifies (e.g. getting acquainted, surfacing differences, presenting information to outsiders, summarizing positions, developing goals and vision) require particular skill in communication, and each actively serves to enhance group work by facilitating their ability to work together and to accomplish tasks. Leaders of self-managing work groups encourage these groups to solve problems on their own, and provide work groups with the information and resources they need to get the job done. Self-managed work groups are highly democratic, self-sufficient, and participative, yet they still depend on a leader to facilitate communication with other groups.

The importance of communication in leadership. Many writers have addressed the role and importance of effective communication in organizational leadership (see, e.g., Brown, 1994; Clement, 1994; O'Connor, 1997; Reyneirse, 1994; Richmond, Wagner, & McCrosky, 1983; Senge, 1990; Snyder & Graves, 1994). Each of these writers emphasizes the importance of leaders' commitment to the organizational vision and goals, and that these leaders must demonstrate their commitment by both words and actions. Grunig (1993), Remland (1981 & 1984), and Richmond, et. al.(1983) stress the importance of nonverbal communication to employee job satisfaction and impressions of leader effectiveness. Nonverbal cues (kinesic, proxemic, and temporal) and symbols of status can reinforce the hierarchies between supervisors and subordinates, significantly impacting job satisfaction and productivity. Nonverbal cues can also suggest leaders' true feelings about employees and/or organizational policies. Similar to nonverbal communication, verbal communication skills and styles have been found to impact employee job satisfaction, ratings of supervisor effectiveness, and commitment to the organization (Fowler & Rosenfeld, 1979; Eblen, 1987; Richmond, et. al., 1983; Serafini & Pearson, 1984).

Organizational communication scholars generally agree that expectations for verbal and nonverbal communication vary from employee to employee. For instance, Eblen (1987) compared employee interpretations and expectations of leadership style and communication skills in two situations: hospitals and city government departments. In each situation, the effectiveness and interpretation of certain verbal and nonverbal behaviors (such as use of humor, reinforcing behaviors, and interruptions) were perceived differently. As such, it appears that the most effective leaders will be those leaders able to adapt their communication styles to the situation at hand.

Providing an example of how leaders must be able to communicate effectively, Fairhurst and Sarr (1996) suggest that leaders impact their effectiveness through the use of framing, “a way to manage meaning [by] selecting and highlighting one or more aspects of our subject while excluding others”(p. 3). Through framing, leaders can create understanding, which is the basis for action; they can enable belief in one constructed frame to prevail over another; they can explain, gain attention and interest, influence, inspire, and promote identification with the organization. A well known example of framing cited by Fairhurst and Sarr is Lee Iaccoca’s appeal to the United States Congress for federal aid to bail out the failing Chrysler corporation. Iaccoca’s message was simple, help out one of the largest industries in America at a relatively low cost (2.7 billion !), or prepare for the bankruptcy of the tenth largest company in the United States and the subsequent loss of six hundred thousand jobs. Iaccoca framed Chrysler’s problems as America’s problems: “[Iaccoca] suggested that Chrysler’s plight was not unique, that other industries were also in trouble. He framed Chrysler’s problems as ‘our problems, the country’s problems.’ Chrysler was a microcosm of what was going wrong

in America” (Fairhurst & Sarr, 1996, p. 12-13). This example of framing exemplifies many of its key elements: metaphor, stories, contrast, spin, and jargon. Fairhurst and Sarr also emphasize that leaders must model desired behavior, because *employees* will frame *leaders* based upon their day-to-day behaviors and use of framing.

In summary, leadership theories have, over the years, stressed the importance of various styles, behaviors, and functions. In this section, I explained how early theorists advanced the idea that leaders were born into leadership legacies, stumbled into situations that elevated them to greatness, or possessed inherent traits that allowed them to be effective leaders. Later, the focus of leadership theorists, and therefore the focus of this section, shifted from traits to behaviors, functions, and styles of leadership.

Ultimately, a leaders’ concern for people or concern for productivity surfaced as key elements of leadership effectiveness. Contingency theorists maintain that certain situations require a leader to behave in certain ways for maximum effectiveness. In 1978, J. M. Burns introduced the concepts of transformational and transactional leadership, which led to an extensive body of writing and research. Finally, self-management and self-managing work groups were examined. Regardless of which theory or model one chooses, flexibility of style and communicative competence are essential for successful leadership, and in the last part of this section on leadership theories, I examined some of the work of communication scholars in the field of leadership.

The previous sections have provided us with an overview of the pertinent leadership and mediation literature. Now that we have a more clear understanding of this literature, it is useful to explain the strategies, roles, characteristics, and skills, of

effective leaders and effective mediators. These are presented in the next part of the paper.

Comparing mediation and leadership

The following sections outline the strategies, skills, roles, and personal characteristics generally identified as necessary for effective mediation and leadership. As noted in the introduction, these categories sometimes overlap. These classifications are presented as general groupings of similar concepts rather than concrete divisions. With this in mind, let us turn to the strategies, skills, roles, and personal characteristics necessary for effective mediation.

Strategies, skills, roles and Personal Characteristics of effective mediators

Outcome-oriented strategies. According to Peter Carnevale (1986) there are four basic strategies available for mediating a conflict. These include pressing, compensation, integration, and inaction. A mediator using the pressing technique would coerce the disputants to reach agreement under the penalty of some negative reward, such as a poor performance review or overlooking them for a promotion. Compensation is similar to pressing in that disputants are compelled to reach agreement, but the rewards are usually looked upon as positive. Integration can be characterized as an attempt by the mediator to find a common ground, and to suggest agreements that are suitable to both parties.

Yarbrough and Wilmot's (1995) account of a successful mediation, (discussed above) utilized an integration strategy. The mediator worked to identify the interests of both parties, and gathered their input and ideas for solving the conflict. Carnevale's last strategy for mediators is inaction, a role of non-intervention in which a mediator takes steps to avoid getting involved, thereby requiring (or simply hoping) parties resolve their disputes on their own.

Sheppard (1984) suggests that mediators have the choice to exercise process control, content control, or motivational control when mediating a conflict. When they exercise process control in its purest form, mediators focus their efforts solely on advising the disputants through the steps of mediation or problem solving. Process control mediators leave decisions about which issues to discuss, who will participate, how to proceed, and so on to the disputants. In contrast, mediators exercise content control by deciding which options will be discussed, telling parties what to say, and identifying the "real issues." Finally, when exercising motivational control, mediators encourage disputants to reach solutions by emphasizing the costs of non-agreement or promising rewards for reaching agreement. The motivational control strategy is similar to Carnevale's (1986) pressing and compensation strategies.

Deborah Kolb (1983) identifies two primary strategies for mediators: deal-making and orchestrating, which are similar to the strategies introduced by Carnevale (1986) and Sheppard (1984) above. Deal-makers describe their roles as "applying pressure, channeling communication, allowing the parties to save face, and leading the group in its task accomplishment..." (p. 24). They favor a "building strategy," in which they attempt to identify priority issues around which an acceptable package or deal can be formed. They then use their powers of persuasion and pressure to convince negotiators to make concessions on these priority issues. Because of its focus on an active role, deal-making is very similar to Carnevale's pressing and compensation strategies, and combines elements from each of Sheppard's process, motivational, and content, control strategies to push negotiating parties toward a solution. Conversely, Kolb's orchestrating strategy tends to be more passive, favoring a negotiation arrangement, where parties have maximum exposure to

one another. An orchestrator channels questions and proposals only when explicitly asked to do so. Orchestrators use a “narrowing strategy” (Kolb, 1983, p. 72), which facilitates the continual exchange of proposals in such a way that the parties successively reduce the differences between them. Because of its more passive nature, the orchestrating strategy is most similar to Carnevale’s integration and inaction strategies, and only uses pieces of Sheppard’s process control.

Carnevale’s (1986), Kolb’s (1983), and Sheppard’s (1984) strategies tend to be outcome-oriented, outlining the means by which a mediator might most efficiently and effectively assist parties in reaching a settlement. These strategies have been found to be effective and efficient, and for these reasons, they have value (see, e.g., Kimsey, Fuller, Bell, & McKinney, 1991; Ross, 1990). But, these strategies tend to overlook important conflict issues (relational, identity, and process issues) such as empowerment, recognition, and communication between the parties. These issues were presented earlier as key elements of mediation which are not addressed by other dispute resolution methods. Many authors, (e.g. Barret and Cooperrider, 1990; Bush & Folger, 1995; Lewicki, et al., 1995; Moore, 1986; Yarbrough & Wilmot, 1995) favor mediation styles which emphasize these goals. These authors emphasize mediation strategies and skills grounded in effective communication. As Donohue (1989) explains, many mediators “emphasize the need to facilitate communication through a variety of tactics intended to provide insight to the [parties] about their dispute” (p. 324.) Communication oriented strategies, and the skills mediators must possess to successfully implement these strategies, are presented in the next section.

Communication-oriented mediation strategies and skills. While it is important for mediators to be familiar with the outcome-oriented strategies presented in the previous

section, it is equally important that mediators keep in mind the goals of empowerment, recognition, and improved communication between the disputing party. As Jandt (1985) explains, “the problem is not to get [negotiators] to communicate, the problem is to get them communicating effectively [...]” (p. 72). The mediation strategies presented in this section share the same underlying objective: to help disputing parties communicate more effectively.

First, in the early stages of mediation, mediators often conduct interviews and observe the disputing parties. When interviewing and observing, mediators must be certain to ask questions that allow disputants to explain their position in detail, but in such a way that does not threaten or put the disputants on the defensive (Bush & Folger, 1995; Moore, 1986; Yarbrough & Wilmot, 1995). For example, open-ended questions (Moore, 1986, p. 91) allow the interviewee to share as much information as s/he wishes without feeling pressured. Here, the goal is for the interviewee to do most of the talking: “Beth, tell me what happened when you confronted Jim....” Another example of an interviewing and observation strategy is to “to chip away at negative perceptions” (Yarbrough & Wilmot, 1995, p. 84) by using reframing. Reframing helps to reshape or modify the perceptions parties develop of one another. It is very easy to keep a dispute going if each party sees the other as all bad, but more difficult when one begins to see the other in a more favorable, human light. When reframing, the mediator tries to translate personality attributes into interests: “When someone says, ‘He only wants to control me,’ you can reframe it as ‘He must be afraid of change if he has to act in such a domineering manner’” (Yarbrough & Wilmot, 1995, p. 84).

A second “communication-oriented” mediation strategy involves building trust and cooperation with the disputing parties. It is essential for parties to trust the mediator, to trust one another, and to cooperate with one another for the mediation to succeed. There are

“five types of problems [which] commonly cause difficulties in negotiations: 1) strong emotions, 2) misperceptions or stereotypes held by one or more parties of each other or of the issues in dispute, 3) legitimacy problems, 4) lack of trust, and 5) poor communication” (Moore, 1986, p. 124-125). The following strategies are designed to assist mediators in overcoming these obstacles to building a trusting, cooperative environment. First, mediators can help disputants respond to their strong emotions by helping them recognize and diagnose their emotions. Once emotions have been diagnosed, mediators are encouraged to give disputants the chance to vent their emotions, unless such venting would prove detrimental to the mediation process (Bush & Folger, 1994; Moore, 1986; Yarbrough, & Wilmot, 1995). Second, misperceptions or stereotypes can create perceptual barriers to negotiation and can prevent negotiators from building trust and cooperation. Mediation and negotiation experts, (see, e.g., Filley, 1975; Kennet & Pruitt, 1989; Moore, 1986; Yarbrough & Wilmot, 1995) encourage mediators to identify the perceptions held by the parties, determine if the perceptions are accurate or inaccurate, assess the impact of the misperception on the mediation process, and assist parties in revising their perceptions of each other if these perceptions are hindering the mediation.

Another strategy to assist mediators and disputants deal with misperceptions and stereotypes is suggested by Barret and Cooperrider (1990). Their "generative metaphor" technique uses metaphors to help disputants see the conflict from a new or different perspective. The generative metaphor can help disputants filter out negative perceptions of the conflict or other disputant and emphasize more positive perceptions. By encouraging disputants to construct new metaphors by which to judge the dispute, mediators can help the disputants get past their negative perception of the conflict or the other person. As Barret and

Cooperrider (1990) explain, "good metaphors provoke thought, excite us with novel perspectives, vibrate with [meanings], and enable people to see the world with fresh perceptions not possible in any other way"(p.222). Similar to reframing (discussed above), the generative metaphor technique can also help mediators and disputing parties create countless ways with which they can resolve the conflict.

Barret and Cooperrider (1990) offer an example of the generative metaphor at work: They facilitated a session with a major hotel chain that was experiencing in-fighting and turf-ism. Once given a five-star rating, the lack of cooperation and communication between functional teams had all but shut down the hotel's operations. Using the generative metaphor technique, the staff was encouraged to generate metaphors that idealized their hotel: "five star," "first in service and satisfaction," "paradise," "Ritz Carlton," etc. Then, the team visited hotels and other organizations they thought embodied these ideals in order to gain practical and philosophical strategies. These ideas were then "brought home" to the hotel, and brainstorming sessions were held to identify as many alternatives as possible for helping their hotel reach the ideal state. Finally, with a renewed sense of mission and excitement, the hotel staff set out to enact these changes. By adopting a common metaphor, identifying ways to reach the goal, and working together to reach the metaphorical goal, the hotel staff were able to overcome the stereotypes and perceptions of deficiency and unmet expectations that had been standing in the way of their success.

The next obstacles to effective mediation are legitimacy problems. Legitimacy problems refer to a party's failure to accept and recognize as legitimate the mediator and their opponent's issues, interests, and emotions. To enhance their credibility and legitimacy, mediators must have the ability to understand quickly the dynamics and complexities of a

dispute, and some knowledge of the field in which s/he is mediating (Moore, 1986; Yarbrough & Wilmot, 1995). With regard to legitimacy issues between disputants, Bush and Folger (1994) emphasize that one outcome of mediation should be “recognition”: acknowledging and empathizing with the situations and problems of others. To assist in recognition and legitimacy issues between disputing parties Moore (1986) suggests that mediators encourage direct discussion about images and perceptions. If direct discussion is not an option or proves unsuccessful, mediators can assist the parties in legitimizing their issues through “reframing” or rewording or rephrasing the issues (Yarbrough & Wilmot, 1995); by redefining the issues; by having another person advocate for the issue or interest; or by focusing on other issues or interests (Moore, 1986). Finally, mediators can help disputants accept each others’ issues, interests, and emotions by helping them recognize that acceptance does not represent agreement (agreement is not necessary to grant legitimacy).

The perception of trust is key to successful, effective communication, and this is true also of mediation (Fisher, 1989). In mediation, “trust usually refers to a person’s capacity to depend or place confidence in the truthfulness or accuracy of another’s statements or behavior” (Moore, p.140). As such, if disputing parties do not trust one another, the mediation will not proceed very far before issues of mistrust bring it to a screeching halt.

Strategies mediators can employ to assist negotiators in building trust include:

- encouraging negotiators to make clear, consistent, congruent statements.
- encourage symbolic actions that demonstrate good faith.
- encourage negotiators to ask for help.
- encourage negotiators to demonstrate a genuine concern for helping the other reach their objectives as they strive for their own.
- discourage threats and unbelievable or unrealistic promises.
- create situations in which the parties must perform a joint task.
- facilitate a discussion of their perceptions of one another.
- identify commonalities.
- reward parties for cooperation or trust.

(see, e.g., Bush & Folger, 1994; Fisher, 1989; Moore, 1986; Yarbrough & Wilmot, 1995).

Finally, to help build a trusting, cooperative environment, mediators are encouraged to help negotiating parties become better communicators. This can be accomplished by teaching negotiators communication skills, encouraging them to use these skills, and reinforcing the use of these communication skills. Some of the communication skills Bush and Folger (1994), Moore (1986), and Yarbrough and Wilmot (1995) recommend negotiators learn are: 1) Active listening. 2) Restatement and paraphrasing, which is feeding back what the other has said in one's own words. 3) Expansion, which includes expanding and elaborating on a message, then checking to verify one's perception is correct. 4) Ordering, or organizing ideas into some form of sequence. And 5) grouping, identifying common ideas and issues and combining them into logical units. Each of these skills can help disputants become better communicators, and in turn, create a more cooperative, trusting climate in which they can attempt to reach an agreement.

Besides learning strategies for interviewing and observing and creating a trusting, cooperative environment, mediators must also concern themselves with strategies for establishing a positive emotional climate. Creating a positive emotional climate can help create clear communication and joint problem solving (Bush & Folger, 1994; Fisher & Ury, 1981; Moore, 1986; Yarbrough & Wilmot, 1995). Strategies for creating a positive emotional climate include: First, preventing interruptions and verbal attacks between the negotiators. Next, parties should be encouraged to focus on the problem rather than on each other. Reframing (which was discussed earlier as a strategy for interviewing and observing) or restating what has been said in a more positive manner is suggested when value laden or judgmental language is used. Fourth, parties should be encouraged to create and maintain

behavioral guidelines to be followed during the mediation. Mediators can reinforce these behavioral guidelines by modeling the desired appropriate behaviors. Fifth, mediators should avoid taking sides. And finally, mediators should affirm gestures of good faith. Each of these strategies helps build a more positive, cooperative climate, which in turn helps the mediation move more smoothly and focus on resolving concrete issues rather than misperceptions, stereotypes, or personality issues.

In summary, mediators have many strategies to choose from when they are asked to help mediate a dispute (See Table 1.) For example, Sheppard's process, motivation, and content control; Carnevale's strategies of pressing, integration, inaction, and compensation; and Kolb's deal-making and orchestrating are outcome-oriented mediation strategies. While useful, these strategies overlook important goals of mediation such as empowerment, recognition, and communication. Authors such as Barret and Cooperrider, Bush and Folger, Moore, Yarbrough and Wilmot, and other "communication oriented" mediation and negotiation experts offered strategies and skills in the areas of interviewing; building a trusting and cooperative environment; establishing a positive emotional climate; identifying underlying issues; and helping disputants become better communicators (see Table 2 for a summary of the skills necessary for effective mediation.) Now that we have examined some of the strategies and skills necessary for effective mediation, in the next section we look at some of the roles available to mediators.

Roles of effective mediators. Besides drawing from a variety of strategies and employing a wide range of skills in the process of mediation (presented in the previous sections), effective mediators will also be asked to assume many roles. For example, Kolb (1983) and Moore (1986) suggest a mediator must act as *an opener of communication*

channels, initiating communication or facilitating better communication if the parties are already talking. Another role a mediator might adopt is that of *the legitimizer*, whose task is to help all parties recognize the right of others to be involved in negotiations (Bush & Folger,

Table 1	
Strategies available to mediators	
Outcome-oriented:	
Pressing, integration, inaction, compensation	
Process control, content control, or motivational control	
Orchestrating, or deal-making	
Communication-oriented:	
Interviewing and Observing	
Building trust and cooperation with the disputing parties	
Help disputants respond to their strong emotions	
Generative metaphor	
Identify misperceptions and stereotypes	
Address recognition and legitimacy issues	
Help negotiating parties become better communicators	
Establishing a positive emotional climate	

Table 2	
Skills of effective mediators	
Validating	Empathizing
Trust building	Modeling behaviors
Analyzing	Interpreting
Listening	Persuading
Providing feedback	Seeing alternative solutions
Active listening	Reframing
Generating metaphors	Knowledge of the field
Understanding the dynamics and complexities of a dispute	

1994; Fisher & Ury, 1981; Moore, 1986). *The process facilitator* (see, e.g., Carnevale, 1986; Kolb, 1983; Moore, 1986; Sheppard, 1985) is a role the mediator must undertake when they are asked to provide procedures for the mediation or to formally chair the negotiation session. In other instances, mediators may be asked to act as a *trainer* or *coach*, roles mediators assume when they must educate novice, unskilled, or unprepared negotiators in the bargaining process (Kolb, 1983; Moore, 1986; Yarbrough & Wilmot, 1995).

When the mediator assumes the role of *resource expander* (Bush & Folger, 1994; Moore, 1986; Yarbrough & Wilmot, 1995) they provide procedural assistance to the parties and link them to outside experts and resources such as lawyers, technical experts, decision makers, or additional goods for exchange. These additional resources may enable them to enlarge acceptable settlement options. *The problem explorer* is yet another role a mediator might be required to assume. In this role, the mediator enables people in dispute to examine a problem from a variety of viewpoints, assists in defining basic issues and interests, and looks for mutually satisfying options. *The agent of reality* or *confronter* helps disputing parties build a reasonable and implementable settlement, and questions and challenges parties who have extreme and unrealistic goals. Next, *the scapegoat* (Moore, 1986; Yarbrough & Wilmot, 1995) is a role the mediator assumes when they are willing to take some of the responsibility or blame for an unpopular decision that the parties are never-the-less willing to accept. This enables the negotiating parties to maintain their integrity and, when appropriate, gain the support of their constituents. Finally, when a mediator assumes the role of *leader* or *catalyst* they take the initiative to move the negotiations forward by procedural, or on occasion, substantive suggestions (see, e.g., Carnevale, 1986; Kolb, 1983; Moore, 1986; Sheppard, 1985; Yarbrough & Wilmot, 1995). It is clear from these examples presented in this section that a mediator must be able to assume a wide variety of roles and responsibilities in order to successfully mediate a conflict. Table 3 provides a summary of these roles. In the next section, a discussion of the personal characteristics needed to be an effective mediator is presented.

Personal characteristics of effective mediators. As the previous section on mediators' roles demonstrated, effective mediators are often asked to assume many roles and to wear

many hats. Such flexibility of style (Yarbrough & Wilmot, 1995) is a mark of an effective

Table 3	
Roles of effective mediators	
Opener of communication channels	Legitim�izer
Process facilitator	Trainer/Coach
Resource expander	Problem explorer
Agent of reality/Confronter	Scapegoat
Leader/Catalyst	

mediator. There are many other personal characteristics a mediator must possess in addition to flexibility of style. Here, we use an operational definition of personal characteristics: personal qualities and attributes seen in effective mediators, rather than activities or functions required for completing the process of mediation.

First, a mediator must be *persuasive*, a “good sales person.” They must be both *persistent and patient*, demonstrating to the negotiators that they’ll be there and that they’re hopeful a solution will be reached. They must remain *unobtrusive* whenever possible; guiding the process and letting disputants take the credit for their successes. When a mediator refocuses the attention back on the disputants and their hard work, persistence, and goodwill, the disputants will continue to own the process. Mediators must be able to *control their feelings*, using their emotions productively, but at the same time doing their best to stay impartial. Mediators must be able to *empathize* with the parties, which means “the ability to create the feeling of being ‘at one’ with the disputants and concerned with their well-being” (Moore, 1986, p. 50.) It is also suggested that mediators must have *originality of ideas*, a *sense of humor*, be able to maintain *confidentiality*, and infuse a sense of *optimism* into the mediation process (Moore, 1986; Yarbrough, & Wilmot, 1995).

Finally, a mediator must be able to establish a positive rapport with the disputants. As Moore (1986) writes: “the greatest factor in the acceptability of an intervenor is probably

the rapport established between the mediator and the disputants. *Rapport* refers to the ability to communicate freely, the level of comfort of the parties, the degree of precision in the communication, and the quality of human contact. Rapport is clearly influenced by the mediator's personal style, manner of speech, dress, and social background; common interests, friends or associates; and the degree of communication between the mediator and the disputants"(Moore, 1986, p. 53, italics added). A mediator might create rapport with disputants by sharing common experiences such as travel, recreation, children, shared acquaintances, or talking about common values and interests.

There are many personal characteristics that an effective mediator must possess. These characteristics are summarized in Table 4. In previous sections, I have explained the strategies and skills necessary for effective mediation, and the roles effective mediators might be asked to assume. These strategies, skills, roles, and characteristics are the key elements of effective mediation. In the next few sections, the strategies, skills, roles, and personal characteristics of effective leaders are examined. As will become apparent, many of the strategies, skills, roles, and personal characteristics of effective mediators mirror those of effective leaders. The final section of this chapter will pinpoint these similarities in order to demonstrate that effective leaders can and do use many of the same strategies, skills, and roles, and possess some of the same personal characteristics as do effective mediators.

Table 4	
Personal characteristics of effective mediators	
Persuasive	Ability to empathize
Persistent	Originality of ideas
Patient	Control over feelings
Unobtrusive	Sense of humor
Confidentiality	Optimism
Positive rapport	

Strategies, skills, characteristics, and roles of effective leaders

In these sections, the strategies, skills, roles, and personal characteristics generally identified as necessary for effective leadership will be discussed. As with the earlier mediation section, these categories (strategies, skills, roles, and personal characteristics) are presented simply as generalized categories to organize similar terms.

Strategies of effective leaders. As I noted in the review of the leadership literature presented earlier, many of the leadership styles presented over the years can also be applied as effective leadership strategies. These styles and strategies are summarized in Table 5 below. It should be noted that effective leaders often combine two or more of these strategies (Lipman-Blumen, 1992), and vary the strategy the use depending upon the situation at hand (Bennis & Nannus, 1983; Kotter, 1985).

The skills necessary for effective leadership. The effective leader must have a variety of skills, and the complete list of the skills of an effective leader is beyond the scope of this paper. However, some of the most widely cited skills necessary for effective leadership are discussed in this section.

As we have seen in previous sections, there are some skills a leader needs in order to perform her specific function or role. These include: the *ability to solve conflicts* (the “mediator” role: Laiken, 1994; Manz & Sims, 1984; Yarbrough & Wilmot, 1995); *providing support and praise* for her employees (role of “encourager”); the ability to *encourage* an employee to get involved (“gatekeeper” role); the ability to *enforce policies and set standards* (functional roles: Barnard, 1968; Benne & Sheats, 1948); *competence and knowledge* in the field; *empowering* employees through sharing information and decision making (role of steward: Block, 1993; DePree, 1992; Greanleaf, 1977; Senge, 1990),

connecting employees with other groups in the organization, *developing and maintaining relationships* with others inside and outside the organization (Kotter, 1985; Stohl, 1996), and the ability to *model* desired behaviors (Bennis & Nanus, 1985; Jablin, 1983; Kouzes & Posner, 1987).

Table 5	
Summary of leadership styles / strategies	
Styles:	Authoritarian, Democratic, Laissez-faire
Function:	<ul style="list-style-type: none"> Task Functions, Relational Functions, Role Functions Providing a system of communication Promoting the securing of essential efforts Formulating and defining purpose
Behavioral:	<ul style="list-style-type: none"> Production/task orientation or initiating structure Employee orientation or consideration (Ohio State & Michigan Studies) Managerial grid: Impoverished, country club, task, middle of the road, team
Contingency	<ul style="list-style-type: none"> Least Preferred Co-Worker (LPC) Leader-Member Task Structure Position Power Path Goal Theory Subordinate Characteristics/ Environmental Characteristics Life Cycle Theory Decision Making Style: Autocratic; Consultative; Group Leader-Member Exchange (Vertical Dyad Linkage) In Group/Out Group
Transformational & Transactional	
Self-Management / Self-managing Work-groups	
Communication-Oriented Strategies	

Other skills the leadership literature has identified as vital to effective leadership include interpersonal skills and communication skills. As O'Connor, (1997) explains :

One common thread running throughout all these theories [strategies, and roles] of effective leaders is that the interaction between a leader and her [employees] is paramount in determining how effective a leader might be. Therefore, the importance of developing adequate communication skills should be the primary concern for any leader trying to enhance [her] ability to effectively lead and motivate [employees] (p. 134).

Borman (1982) advises that leaders keep messages short and simple, and limit the amount of

jargon they use. While jargon can be helpful for communicating complex ideas to members of the same group, terms may have different or no meaning to someone outside the group. Another communication skill important to effective leadership is *active listening* (Barge, 1996; Fairhurst, 1996; Kotter, 1988; Kouzes & Posner, 1987; O'Connor, 1997). Active listening communicates to the person speaking that you are interested in and understand their message. Active listening cues include nodding, asking clarifying questions, and feeding back what you understand the other person to have said. For good communication, effective leaders must also create a *supportive climate*. This is accomplished by using their interpersonal skills (discussed above) and by providing easy access to people and information. In order to increase the access their employees have to information and to others, leaders can suggest “brown bag” meetings, informal meetings where everyone brings their lunch and talks about ideas and concerns, skip-level meetings, in which employees from many levels are invited to a more formal meeting to discuss concerns and ideas, surveys asking employees for ideas and suggestions, and hot-lines which give employees a way to access or exchange information quickly and efficiently (see, e.g., Arnold & Plas, 1993; Kanter, 1983; O'Connor, 1997).

As noted in earlier sections, leaders must also be aware that their verbal and nonverbal communication are consistent both with organizational objectives and with their past behavior (Eblen, 1987; Fowler & Rosenfeld, 1979; Richmond, et. al., 1983; Serafini & Pearson, 1984). Finally, leaders must manage meaning (Kotter, 1988) through *framing*: the selection of one meaning or interpretation of a subject or idea over many others. When leaders share their frames with employees, they manage meaning, because they assert that their interpretations should be taken as real over other possible interpretations (Fairhurst &

Sarr, 1996).

Effective leaders need a variety of skills to lead their teams. These skills are summarized in Table 6 below. In the next section, some of the roles effective leaders may be asked to assume are discussed.

Table 6	
Skills of effective leaders	
Solving Conflicts	Providing Support
Enforcement	Setting Standards
Empowering	Connecting
Framing	Networking
Providing access	Active listening
Active listening	Clear, simple messages
Competence and knowledge in the field	
Creating a supportive climate	

Roles of effective leaders. Leadership theorists and researchers have worked extensively to identify roles that effective leaders might assume. For example, a leader might take the role of coach (see, e.g., Brion, 1996; Evered & Selman, 1989; Kouzes & Posner, 1987; Senge, 1990). Coaching originally appeared in the leadership literature in the 1950's to describe a manager-subordinate relationship similar to that of master-apprentice. By the 1970s, coaching came to mean coordinating the efforts of the whole team and determining what each member is meant to do in order to ensure the performance of the team. Today, coaching is considered to be a leadership strategy used to encourage maximum performance from each subordinate (Evered & Selman, 1989; Manz & Sims, 1984). Managers who are coaches encourage group-based problem solving, encourage exploration of issues and diverse views, and encourage an open and trusting communication environment. Coaching is a “people based art that focuses on creating and maintaining a climate, environment, and context which enable/empower a group of people to generate desired results, achievements, and accomplishments” (Evered & Selman, 1989, p. 17, italics removed). According to the

coaching literature, leaders who assume the role of coach create this “climate, environment, and context” through their communicative interaction.

Another role a leader must be equipped and willing to perform is that of group facilitator or coordinator. (see, e.g., Brion, 1996; Finch, 1977; Laiken, 1994; Manz & Sims, 1984). This role is especially important today and is recognized as such in organizations that encourage employee participation and organizations that utilize self-managing work-groups or teams. The group facilitator/coordinator assists their employees (or teams) in reaching decisions as a group and individually, provides them with necessary human and capital resources (Brion, 1996; Laiken, 1994; Manz & Sims, 1984), and coordinates their efforts with other groups inside and outside the organization. For example, a facilitator/coordinator might be a contact point for work-group members and outside suppliers, assist group members in resolving human resources issues, facilitate a dispute between bickering departments, or alert other work-groups when an error is discovered or a new idea is presented. By performing these functions, the facilitator/coordinator enable their employees to better manage themselves (Brion, 1996; Finch, 1977; Kanter, 1983; Laiken, 1994; Manz & Sims, 1984).

As explained in an earlier section, a leader must communicate verbally and non-verbally in a manner consistent with organizational values, goals, and mission (Brown, 1994; Clement, 1994; Grunig 1993; Remland 1981, 1984; Reyneirse, 1994; Richmond, et. al., 1983; Senge, 1990; Snyder & Graves, 1994). As such, the leader must act as a role model; modeling the important values, habits, and norms of the organization (Bennis & Nannus, 1985; Jablin, 1983; Kouzes & Posner, 1987). The importance of such concerns as innovation, participation, enthusiasm, and democratic work processes can be taught and

reinforced when leaders act and communicate in a manner consistent with how they expect their employees to act and communicate.

Yet another important function that a leader must provide for her employees is maintaining communication networks. Maintaining communication requires that leaders perform the roles of liaison (Finch, 1977; Laiken, 1994; Manz & Sims, 1984; Stohl, 1996), gatekeeper (Stohl, 1996), and star. The liaison connects their employees with other groups in the organization, representing her employee's needs, interests, and opinions. A gatekeeper controls the flow of information between groups. "Gatekeeping" can be necessary in order to prevent potentially damaging rumors and misperceptions from impacting a group of employees. Finally, effective leaders develop relationships with people throughout and beyond their organization (Kotter, 1985). As such, they act as a star in the network, connecting their employees with important individuals and information.

As noted in the introduction, leaders will often be asked to serve as mediators, mediating the flow of information (Wieck, 1978) and mediating conflict between employees (Laiken, 1994; Manz & Sims, 1984; Yarbrough & Wilmot, 1995). When a leader acts as a mediator of information, they are responsible for monitoring and managing the sources and meanings of information, the way individuals act when interacting with others, and the multiple goals of individuals throughout the organization (Wieck, 1978). Leaders must also manage conflicts between employees, balancing factors such as employee interests, organizational interests, productivity, expenses, and their own reputation as effective leaders.

Leaders may also act as steward (or servant) (Block, 1993; DePree, 1992; Greanleaf, 1977; Senge, 1990), continually asking themselves what would be best for their constituents. When in the role of steward or servant, leaders are less likely to take advantage of the trust

followers grant them, act inconsistently, or accumulate money or power for themselves.

Stewardship has three principles: a concern for people, indebtedness, and equity and justice.

Stewards view their followers as equal partners. Leaders and employees owe one another certain responsibilities such as involvement, understanding, accountability, and commitment.

Stewards empower their followers by giving them the space they need to develop their talents, by encouraging them to share their information and ideas with others, and by giving them the authority to make decisions.

The literature on the functional roles of leaders and group members (see, e.g., Barnard, 1968; Benne & Sheats, 1948) also suggests other roles a leader might be asked to assume. These include encouraging, harmonizing, gate-keeping, and standard setting. An *encourager* supports and praises the contributions of her employees, communicates to her employees a sense of solidarity and belonging, and accepts and appreciates diverse viewpoints. The leader as *harmonizer* (or *compromizer*) mediates conflict between employees, reduces tension through joking, and attempts to bring those with opposing viewpoints closer together. In the role of *gatekeeper*, the leader encourages the involvement of shy or uninvolved employees, regulates the flow of communication topics, and the time spent discussing these topics. Barnard's last role for leaders is that of *standard setter*. The standard setter is responsible for expressing group values and standards and applying these values and standards to her employees.

A final role leaders might be asked to take is that of designer or social architect (Bennis & Nanus, 1983; Senge, 1990; Tichy & Devanna, 1990): leaders are responsible for designing new purposes, visions, and core values (see, e.g., Bennis & Nanus, 1985; Burns, 1978; Kotter, 1988), as well as policies, strategies, and structures. In order to inspire

an employee, purposes, visions, and core values must be designed with a “personal twist.” As Edwin H. Land, former chairman of Polaroid explains, “the first thing you do, naturally, is to teach the person that the undertaking is manifestly important...” (Bennis & Nannus, 1985, p. 30.) The ability to inspire employees also requires that leaders have skill and competence in interpersonal communication (Bennis & Nannus, 1985; Fairhurst, 1996; Kotter, 1985; Posner & Kouzes, 1987; Senge, 1990)

Leaders will be called upon to perform many functions and assume many roles. These roles might include coach, facilitator, coordinator, role model, mediator, liaison, star, gatekeeper, encourager, harmonizer, standard setter, steward, and social architect (Table 7 summarizes these leadership roles.) While not an exhaustive list of the roles of an effective leader, this list provides us with a good example of the variety and difficulty of the roles effective leaders must assume. In the next section, I explain some of the skills necessary for effective leadership.

Table 7	
Roles often assumed by effective leaders	
Coach	Facilitator
Coordinator	Encourager
Role Model	Steward / Servant
Liaison	Designer/ Social Architect
Star	Gatekeeper
Conflict Mediator	Information mediator
Harmonizer	Standard Setter

Personal characteristics of effective leaders. The previous sections have discussed the strategies and skills necessary for effective leadership and some of the roles effective leaders will be asked to assume. Also important to effective leadership are certain attributes or personal characteristics. As in the case of the personal characteristics of effective mediators presented above, I use an operational definition of

personal characteristics: personal qualities and attributes seen in effective leaders, rather than activities or functions required of leaders. Researchers in the field of leadership have spent the last few decades trying to identify those characteristics necessary for effective leadership, and literally hundreds of personal characteristics of effective leadership have been identified. While it is beyond the scope of this paper to discuss all of these characteristics, some of the more prevalent personal characteristics necessary for effective leadership are discussed below.

As with mediation, the most effective leaders are those who are able to create a trusting, supportive, caring environment. As such, the personal characteristics of *trustworthiness, honesty, integrity, openness, passion, sensitivity, a sense of humor, and individual integrity* are essential elements of effective leadership (Barge, 1996; Bass, 1985; Bennis & Nanus, 1983; Burns, 1978; Hickman, 1990; Kotter, 1988; Kouzes & Posner, 1987; Manz & Sims, 1989; Peters & Waterman, 1982). These characteristics encourage open, honest, humane interactions between a leader and her employees or followers. Leaders with these characteristics enable employees and followers to feel more confident about taking risks, and sharing concerns and ideas with leaders. Employees are more likely to take risks and share concerns and ideas when they sense a leader cares about them and can be trusted to respect their ideas. Arnold & Plas (1993) consider these characteristics to be a key to “person-centered” leadership.

In addition to creating a trusting, supportive, caring environment, leaders must also be able to inspire their employees, to motivate them to higher levels, to encourage them to take risks, and to help them see their place “in the big picture” of the organization. In order to accomplish these objectives, leaders must be *charismatic*,

inspirational, intellectually stimulating (Bass, 1985; Burns, 1978; Hickman 1990), *optimistic, visionary, creative, empowering, interactive, and motivating* (Bennis & Nannus, 1983; Kouzes & Posner, 1987; Manz & Sims, 1989). A creative, charismatic, visionary leader helps provide employees with a vision and sense of purpose, instills pride and confidence in their employees, and encourages employees to examine any and all possible solutions and opportunities. Leaders with these characteristics encourage employees to challenge the status quo and to look for new and untried ways of doing things. Leaders empower their employees by giving them access to funds, materials and information, and by encouraging and enabling them to make decisions on their own. By showing their love for their people and what they do, a leader's passion motivates people to their highest levels. Effective leaders are also interactive: they are masterful communicators, able to articulate and define ideas in a way that escapes others, they encourage open communication at all levels of the organization, and they are aware of the things that motivate and dishearten their employees.

Finally, effective leadership also requires *persistence, commitment* to the goals of their people and the goals of the organization, and a *desire to learn* about new and better ways to lead and communicate with their people (Bennis & Nannus, 1985; Hickman, 1990; Kotter, 1988). While it is important for a leader to inspire their employees and provide a trusting work atmosphere, a leader must also have the ability to stay on task, see that objectives are set and accomplished, and constantly look for ways to improve themselves, their employees, and the organization. These task oriented or "management" characteristics (Hickman, 1990; Kotter, 1988) complement other characteristics such as inspiring, motivating, and caring for the well being of employees.

By combining all of these characteristics, we can begin to see the variety and extensiveness of the personal characteristics necessary for effective leadership. For a summary of these personal characteristics of effective leadership, see Table 8.

Table 8	
Personal characteristics of effective leaders	
Trustworthiness	Honesty
Integrity	Openness
Passion	Sensitivity
Integrity	Charisma
Inspirational	Intellectually stimulating
Optimistic	Visionary
Creative	Empowering
Interactive	Motivating
Persistence	Desire to learn
Commitment	Sense of humor

The previous sections have examined some of the strategies, skills, roles, and personal characteristics available to and necessary for effective mediation and effective leadership. Clearly, both mediators and leaders must have a variety of skills and characteristics, and must be aware of numerous strategies and roles to be effective in their field. It is also apparent from this discussion that there are a great number of strategies, skills, roles, and personal characteristics common to the two disciplines. In the next section, the similarities of the strategies, skills, roles, and personal characteristics of mediators and leaders are discussed in more depth.

Mediation and Leadership: Overlapping Principles

As we have seen in previous sections, there are many different strategies, skills, roles, and personal characteristics available to and necessary for effective mediation and effective leadership. In the review of the literature, similarities between the two disciplines surfaced, suggesting a compatibility or interchangablity between the elements of effective mediation and the elements of effective leadership. Some of these

similarities and commonalties will be highlighted in this section in order to begin to construct a Mediation Model of Organizational Leadership (MMOL).

Throughout the review of the mediation and leadership literature, similarities in the goals, outcomes, processes, and strategies of effective mediators and leaders have become apparent. I will focus here on two parallel features of mediation and leadership strategies: 1) focus on process, task, outcome, or exchange; and 2) focus on people, emotions, and communication. There are several leadership strategies that focus primarily on accomplishing tasks and desired outcomes, on the exchanges between leaders and employees, and on leadership processes. These leadership strategies include: authoritarian and laissez-faire, production/task orientation; task functions, and transactional strategies. Mediation strategies with these same foci of process, exchange, task, and outcomes include pressing, compensation, and inaction; content control and motivational control; deal making and orchestrating; and interviewing and observing. Each of these leadership and mediation strategies emphasizes the importance of mediator or leader control over issues, activities, environment, resources, and procedures.

In contrast, there are mediation and leadership strategies that place more emphasis on people, emotions, and communication. These mediation and leadership strategies are concerned with issues such as empowerment, recognition, equality, and harmony. The leadership strategies that emphasize these concerns include: 1) employee orientation/consideration, 2) relational functions, 3) providing a system of communication, 4) transformational strategies, 5) self-managing team strategies, and 6) communication strategies. Mediation strategies concerned with people, emotions, and communication include: 1) building trust and cooperation, 2) recognition and legitimacy,

3) creating a positive climate, 4) developing communication skills, 5) generating metaphors, 6) reframing, 7) handling misperceptions and stereotypes, and 8) interviewing and observing.

It is important to note that strategies focusing on exchanges, tasks, and outcomes and strategies that focus on people, emotions, and communication have all been found to be effective in various situations (see, e.g. Carnevale, 1986; Laiken, 1994; Lewicki et. al., 1992; O'Connor, 1997; Sheppard, 1985). It is apparent that all of these strategies must be considered for their positive contributions to and potential usefulness for effective leadership and mediation. Because it has not been empirically tested, the Mediation Model of Organizational Leadership will initially include both the mediation strategies that focus on task, process, and outcome as well as the strategies that focus on people, emotions, and communication.

As with the strategies of effective mediation and leadership, there are many parallels in the various roles effective mediators and effective leaders might assume. These overlapping roles include: facilitator/coordinator, leader, motivator, coach/trainer, standard-setter/agent of reality, liaison/star/gatekeeper, and opener of communication channels. In addition to these roles specifically identified as useful both for effective mediation and effective leadership, there are other roles useful for effective mediation that might benefit leaders, even though they have not been explicitly identified as roles necessary for effective leadership. These "other useful roles" include: resource expander, encourager, role model, problem explorer, and scapegoat. Mediators and leaders able to assume or perform all of these roles will likely be more effective. As such, the Mediation Model of Organizational Leadership will initially include all of these

potentially useful roles.

Similarities also exist between effective mediation and leadership skills, with many of these skills identified by both literatures as necessary for effectiveness. The skills common to both mediation and leadership include solving conflicts, empathizing, active listening, framing, modeling, trust building, and persuasiveness. As with the roles of effective mediators and leaders, there are some skills identified as useful for mediation that have not been identified by the leadership literature as skills that are useful in leadership situations. These include validating, interpreting, providing feedback, and providing support. When mediators and leaders possess all of these skills, they are likely to be perceived as more effective and efficient. Therefore, the Mediation Model of Organizational Leadership will initially include all of these skills.

Finally, throughout the literature we have seen that many personal characteristics are thought to be beneficial to both effective mediation and effective leadership. The characteristics common to both leadership and mediation include trustworthiness, persistence, empathy, sensitivity, creativity, competence, knowledge, optimism, sense of humor, confidentiality, positive rapport, and a desire to learn. While not specifically identified by both literatures, the personal characteristics of persuasiveness, patience, unobtrusiveness, and control over one's feelings are also important to mediation and most likely also to leadership. Again, each of these characteristics will be used to provide a platform for the Mediation Model of Organizational Leadership.

In this section we have seen that there are many strategies, skills, roles, and personal characteristics common to mediation and literature, how these overlap, and how many complement each other. We have also seen that there are many strategies, personal

characteristics, skills, and roles not specifically identified as common to both disciplines, but whose usefulness in effective mediation is likely to carry over to leadership. This comparison has set the stage for the initial introduction of the Mediation Model of Organizational Leadership. It is comprised of all of the strategies, personal characteristics, skills and roles common to effective mediation and leadership, as well as those strategies, roles, characteristics, and skills that effective mediators have found to be useful but have yet to be identified as important for effective leadership. Table 9 (below) presents a summary of the strategies, personal characteristics, roles, and skills that comprise the Mediation Model of Organizational Leadership. It is clearly an extensive catalogue, one whose usefulness must be investigated. In the next chapter, I discuss the methodology used to explore the usefulness of the Mediation Model of Organizational Leadership.

Table 9**The Mediation Model of Organizational Leadership****Strategies:****Focus on process, outcome**

Deal Making
Orchestrating
Pressing
Compensation
Inaction
Process Control
Content Control
Motivational Control

Focus on people, emotions, communication

Interviewing
Observing
Building Trust and Cooperation
Help disputants respond to emotions
Generative Metaphor
Identify misconceptions and stereotypes
Address legitimacy and recognition issues
Help parties with communication Skills
Establish positive emotional climate

Skills:

Solving conflicts
Empathizing
Active listening
Framing
Modeling
Trust building
Persuasiveness
Asking questions

Validating
Interpreting
Providing feedback
Providing support
Sensitivity
Knowledge of the field
Empowering

Roles:

Facilitator/Coordinator
Leader
Motivator
Coach/Trainer
Agent of reality
Standard Setter

Liaison, Star, Gatekeeper
Opener of Communication Channels
Resource Expander
Encourager
Role Model
Problem Explorer

Characteristics:

Persistence
Sensitivity
Competence
Sense of Humor
Positive Rapport
Patience
Trustworthy

Empathy
Creativity
Optimism
Confidentiality
Desire to learn
Unobtrusiveness
Control over Feelings

Chapter Three: Methodology

Goals. As noted earlier, this study is intended to explore the usefulness of the Mediation Model of Organizational Leadership (MMOL) in organizational leadership contexts; to further develop the MMOL by identifying other strategies, skills, roles, and personal characteristics necessary for effective leadership; to extend the research on effective leadership styles; to gain experts' insights into the key elements of effective leadership; and finally, to reveal academic and "lay" theories of leadership. By accomplishing these tasks, our knowledge and understanding of effective leadership strategies will be expanded, leadership theorists will be provided with a model to test in further empirical studies, and leadership practitioners will gain a potentially useful leadership tool applicable to various leadership situations.

"Moderately structured" interviews were the data gathering technique for this study (see, e.g. Blum, 1970; Stewart & Cash, 1991). These interviews were tape recorded when possible, and content analyzed using deduction and analytic induction in order to uncover and report interviewee perceptions of leadership. The study was guided by a qualitative orientation, using "participant constructs" or opinions to structure the research, coding, and reporting of results, and avoiding the purposeful manipulation of study variables (LeCompte & Goetz, 1982). As Kirk and Miller (1982) note, qualitative observations' "diverse expressions include analytic induction, content analysis, [... and] elite interviewing..."(p.10). By employing a qualitative observation and reporting stance, I hope to accomplish two goals. First, to provide "a deeper understanding" of the factors that contribute to perceptions of effective leadership and the usefulness of the MMOL in leadership contexts. And second, to represent the interviewee's way of

making sense of their experiences in the organization, using their words and concepts in order to relate their experiences to others (Kirk & Miller, 1986).

Procedures. As noted above, the study consisted of moderately structured interviews. In contrast to structured interviews, in which a researcher asks her subject a series of pre-established questions in a predetermined order (Fontana & Frey, 1994), moderately structured interviews are conducted with the research questions used only as a frame of reference. The moderately scheduled interview is more conversation than interrogation, with researcher and interviewee exchanging information freely and equally (Fontana & Frey, 1994; Blum, 1970). Spradley (1980) characterizes moderately structured interviews as friendly conversations into which the researcher slowly introduces research topics. To facilitate this friendly atmosphere, the researcher explains the purpose of the interview, their reasons for asking the questions they do, and why they must record the informants responses. Recording interviewee responses (either with a mechanical recording device or notes) ensures that researchers capture accurate and reliable reports of interviewee opinions (Kirk & Miller, 1986).

The moderately scheduled interview employs a less directive approach than other interview techniques, which allows the subject more freedom to introduce new or different information and enables the researcher to clarify and probe deeper into certain topics. Clarifying and probing help to contribute to internal validity, ensuring that the researcher's interpretation and description accurately reflect the interviewee's opinion (LeCompte & Goetz, 1982). At the same time, the moderately structured interview provides the framework necessary to allow research questions to be investigated and separate interviews to be compared to one another (Whyte, 1984). Having an explicit

framework for the interview allows for the description of the questions and strategies used to collect data, contributing to the reliability and duplication of the research (LeCompte & Goetz, 1982).

During the course of a moderately scheduled interview, researchers might ask descriptive questions, structural questions, and contrast questions in an effort to better understand the language informants use, how they have organized their knowledge, and the various meanings of terms used in their “native setting” (Spradley, 1980). Moderately structured interviews allow for two-way communication between the subject and the researcher. This give-and-take exchange of information results in a more personal, complex understanding of the behaviors, meanings, rules, conventions, and norms of an area of inquiry (Blum, 1970; Fontana & Frey, 1994; Stewart & Cash, 1991; Whyte, 1984), and ensures the researcher has an accurate understanding of the interviewee’s reality (LeCompte & Goetz, 1982).

Bennis & Nannus (1983) employed a variation of the moderately structured interview in their study of effective leadership. Their interviews resembled exploratory dialogues, where the topic of leadership was discussed in conversations that proceeded in an informal manner and were led only intermittently by the researchers. There were three questions asked of all leaders: “1) What are your strengths and weaknesses [as a leader]? 2) Was there any particular experience or event in your life that influenced your management philosophy? 3) What were the major decision points in your [your personal life or your] career and how do you feel about your choices now?” (p. 24).

The present study was conducted in a manner similar to the Bennis & Nannus (1983) study, and used the following three questions as guides for the discussion with

interviewees: 1) What are the strategies, skills, roles, and personal characteristics that you believe contribute to effective leadership? 2) What errors or mistakes do you think leaders make that cause them to be perceived as ineffective? 3) What are ways you see the MMOL useful for organizational leadership? What do you think are the limits of the MMOL in leadership situations? A copy of the interview schedule and specific probing questions (adapted from Cheney, 1982) appears in Appendix A.

It should be noted that steps were taken to avoid observer effects (LeCompte & Goetz, 1982) and “self-fulfilling prophecy” responses by the interviewees. At the beginning of the interview the interviewees were told only that I was “interested in identifying factors that contribute to leadership effectiveness, and discussing an idea that I had for a new model of leadership.” Further, the interviewees were not shown the MMOL during the interview. These efforts were taken in order to assure interviewees reported their true opinions, rather than shaping their opinions in such a way that 1) their responses to interview questions were what they thought I was seeking; or 2) that they would tailor their responses to emphasize mediation and communication principles in leadership.

Participants. The moderately structured interviews were conducted with a total of 20 interviewees, a sample that included organizational communication scholars, mediation scholars, and leadership “practitioners.” This sample produced a variety of perspectives on leadership strategies, skills, roles, and personal characteristics and the usefulness of the Mediation Model of Organizational Leadership. Practitioners were recruited from four primary groups: academic, for-profit, non-profit, and public/political organizations. (A list of interviewees, their organizational affiliations, and the date of the

interviews appears in appendix B). Initial contact with interviewees was made by mail, and follow-up contact was made by either telephone or e-mail (see Appendix C for a sample contact letter.) The interviews were conducted both in person and via telephone, and required from 45 minutes to one and one-half hours to complete. The interviews were conducted during the months of January, February, March, and April of 1997. No follow-up interviews were conducted. Instead, interviewee responses to questions were reviewed and the accuracy of my perceptions of the interviewees' responses were verified during the initial interview. Also, to ensure accuracy and reliability (Kirk & Miller, 1986; LeCompte & Goetz, 1982) interviews were tape-recorded when permission to do so was granted by the interviewee. (11 of the 20 interviews were tape recorded, and transcriptions of these interviews were comprised. A sample transcription of a taped interview appears in Appendix D. There were 9 interviews that were not taped, and a sample of the field notes [which were then typed] taken during an un-taped interview appear in Appendix E.) The focus of the interviews was to identify the strategies, personal characteristics, skills, and roles of effective leaders; to uncover the factors that contribute to ineffective leadership; and to discuss how the mediation model of organizational leadership might be useful to leaders and how it might not address the demands of leadership.

Data analysis. The data gathered were examined both deductively and inductively in order to compare the elements of the Mediation Model of Organizational Leadership to interviewees' responses. First, the data, comprised of field notes and transcriptions from in person and telephone interviews, was analyzed deductively, using the strategies, skills, characteristics, and roles from the Mediation Model of Organizational Leadership

(see Table 9) as a framework to categorize interviewee responses. The model served as a coding tool for this step, where interview notes were scanned for strategies, skills, roles, and characteristics identified in the existing model. While this approach was useful in categorizing some of the interviewee responses, many of the interviewee responses did not fit into these deductive categories, demanding that a second coding method be used.

To address this need, data (transcriptions and field notes) from interviews were examined using the “inductive constructs” approach (Anderson, 1987) in order to identify other strategies, skills, roles, and characteristics necessary for effective leadership and categorize other interviewee responses. In the inductive constructs approach, qualitative data are gathered, "and categorized into constructs which attempt to make sense of the research text and the episodes composed of it" (Anderson, 1987, p. 261). In this case, the research text was comprised of notes from interviews and episodes and descriptions of my perceptions of what happened also came from the interview notes and transcriptions. The interview responses were then categorized as best as possible into "components of leadership behavior." As a result of the deductive and inductive coding efforts, the following seven general categories of interviewee responses were developed:

- Strategies interviewees perceive contribute to effective leadership.
- Skills interviewees perceive contribute to effective leadership.
- Roles interviewees perceive contribute to effective leadership.
- Personal Characteristics interviewees perceive contribute to effective leadership.
- Factors interviewees perceive contribute to ineffective leadership.
- Areas where mediation principles may be useful to leaders.
- Areas where mediation cannot address the demands of leadership.

These were compared to the elements of the mediation model, both to further validate the model, and to strengthen the model by identifying other strategies, skills, characteristics and roles important for effective leadership. Throughout both the deductive

and inductive steps, specific attention was paid to the *explicitly articulated principles and concepts of leadership* as identified by leadership scholars and practitioners, *powerful and vivid illustrations* (anecdotes) of effective leadership, and *implicit leadership themes*. These principles, concepts, illustrations, and themes are discussed in the findings and discussion section, which follows in the next chapter.

Chapter Four: Findings and discussion

In this chapter, I recount and examine the interviewees' responses to the interview questions. As you will recall, there were three major research questions posed to the interviewees:

- RQ1: What are the strategies, skills, roles, and personal characteristics interviewees believe contribute to effective leadership?
- RQ2: What errors or mistakes do leaders make that interviewees believe cause them to be perceived as ineffective?
- RQ3: What are the ways in which the MMOL might help leaders, and how does the MMOL not address leadership issues?

The responses of the interviewees to these questions are addressed below, beginning with the first part of RQ1, the strategies interviewees reported as contributing to effective leadership.

Strategies of effective leaders

With regard to strategies that contribute to effective leadership, the twenty interviewees identified a wide variety of strategic choices that can help leaders be more effective. This is not surprising, since in the literature there were 17 different mediation strategies that were expected to be transferable to leadership contexts. While none of the interviewees specifically identified any of the mediation strategies that were outlined in the MMOL (such as “pressing,” “inaction,” “or consideration”—see Table 9) many of their responses reflect scholars' explanations of these strategies in practice. The strategies from the MMOL that seemed to resemble interviewee responses include building trust and cooperation and creating a positive emotional climate. Other strategies identified by interviewees include having a vision/visualizing, collaboration/shared control, and working with multiple formats. See Table 10 for a summary of these strategies. Each of these strategies is discussed below.

Table 10:	
Strategies identified in interviews as contributing to leaders' effectiveness	
Supporting followers (3 interviewees)	Building trust and cooperation (7) *
Showing interest in followers (4)	Establishing positive emotional climate(7)*
Maintain an informal atmosphere (3)	Collaboration/shared control (3)
Vision/Visualizing (9)	Working with multiple formats (1)

* Indicates strategies identified in the Mediation Model of Organizational Leadership

Seven interviewees identified strategies for effective leadership that appear to be similar to the mediation strategies of building trust and cooperation, and of creating a positive emotional climate. These include supporting followers' decisions, showing an interest in followers' lives, and creating an informal atmosphere. As noted in the literature review, trust and cooperation must be present if mediations are to succeed (Moore, 1986, Yarbrough & Wilmot, 1995), and these are often accomplished by creating a positive emotional climate. This also appears to be a necessary component of effective leadership. For the interviewees, leaders build trust and cooperation with followers first by "creating a secure atmosphere"(Carey, interview notes, 2/22/97), especially in times of uncertainty and change. This is accomplished primarily by showing support for the work they do and the decisions they make. As one interviewee from the non-profit sector notes:

You have to stand behind the decisions people make for your organization when you're not there to make them yourself.... Because if you do, they won't be able to make a decision in your absence, and everything will be at a stand-still until you come back or they call you (Rosenleaf, interview notes, 2/7/97).

Just as supporting employees in the work-related decisions they make is important, so too is supporting employees in a more personal manner, and showing an interest in their life outside of work. Here's how one interviewee explained that an effective leader might accomplish these important tasks:

You need to let people take care of personal things, even if it does temporarily interrupt the flow of work. You can't expect them to leave the person who lives at their house behind when they come to work. Talk to them, ask them about their weekend, their kids, whatever. Just show an interest in their lives and help them out where you can (Badenoch, interview notes, 4/7/97).

Another element of establishing a positive emotional climate is maintaining an informal atmosphere whenever possible. Two interviewees explained that this approach contributes to their perceptions of leadership effectiveness. Maintaining an informal atmosphere requires that the leader have an appropriate sense of humor and an informal manner, such that "anybody feels comfortable walking in, so they don't focus on the title, they focus on me, and how I can help them with whatever issues they have" (Stevens, interview notes 1/29/97). Above all, to create a positive emotional climate with their employees or followers, leaders must be respectful of employees and followers, and treat them like human beings. This interviewee notes a sentiment echoed by several other interviewees: "You must avoid all gimmicks, and simply respect people and treat them like human beings. You'll get their creativity, hard work, and loyalty if you do" (Badenoch, 4/7/97).

As noted above, interviewees identified several strategies that are focused on some of the same outcomes that the mediation strategies of building trust and cooperation and establishing a positive emotional climate are intended to accomplish. These strategies also seem similar to Burns' (1978) transformational leadership strategies of consideration, and to the Michigan and Ohio State researchers' (Stodgil & Koons, 1957, Halpin 1957; Katz, et. al., 1950, 1951) employee orientation and relational strategies. Respecting individuals, treating them as humans, supporting their decisions

and expressing an interest in their lives appears to contribute not only to effective mediation, but also to effective leadership.

The interviewees also identified several other strategies of effective leadership that did not correspond to any of the strategies of effective mediators identified in the MMOL as transferable to the leadership context. These include the leadership strategies of having a vision/visualizing, collaborating/sharing control, and working with multiple formats.

First, nine interviewees identified having a vision/visualizing as a strategy necessary for effective leadership. While there does not appear to be a mediation strategy that corresponds to having a vision/visualizing, this strategy appears to be very similar to Burns' (1978) transformational leadership strategies of inspiration and stimulation, and to the leadership characteristic of visionary (Bennis & Nanus, 1983; Kouzes & Posner, 1987; Manz & Sims, 1989). A vision is "a focus on what the leader thinks are important issues"(Kendrick, interview notes, 1/29/97) for the organization to address, and an image of "the end result. Pictures in the leaders' mind that they can communicate to others"(Thornton, interview notes, 1/29/97). As an interviewee from academe explains, "visionary means that I am part of developing a vision and a part of promoting that vision to others within the organization"(Hackman, interview notes, 2/7/97). Another interviewee notes "effective leaders are able to focus on one or two or three key messages and bring everything back to these key focuses"(Eisenberg, interview notes, 1/15/97). Also, leaders must be dedicated to their vision, and able to communicate it clearly to their followers:

A leader has a responsibility to be pretty passionate and explicit about a vision, and has to articulate it in a variety of contexts and in a variety of

ways, and has to do it authentically. The vision has to come across as honest, genuine, and authentic and the easiest way for that to be is that it really does need to be authentic and genuine for the person who is speaking it. The vision needs to be heart-felt by the leader (Hawes, interview notes, 2/4/97).

Effective leaders not only have a passion for their vision and are able to communicate it clearly, but are also able to get their employees involved in the vision. As this interviewee explains, “good leaders explain the vision, and let their team take care of how it will be accomplished in their department”(Thornton, 1/27/97). From these interviewee responses, it is evident that having a vision/visualizing is a strategy that leaders must employ if they are to be perceived as effective. The vision must be strongly held, clearly communicated, and involve employees in the implementation and attainment of the vision.

Another strategy that interviewees identified as contributing to effective leadership is collaboration or sharing control. Again, there does not appear to be a specific mediation strategy that reflects the characteristics of collaboration and sharing control. However, mediation researchers do note that involving parties in deciding the direction mediation should take and in proposing solutions is vital to the success of mediation (Bush & Folger, 1996; Moore, 1986; Pruitt, 1983). As two interviewees note, “a collaborative approach to leadership is necessary”(Carey, 2/22/97; Mullen, interview notes, 4/4/97) to ensure the leader considers the opinions of all followers, and to allow problems to be considered from many viewpoints. Two other interviewees shared the perception that an effective leader should “not hoard all of the decision making and opportunities to represent the organization in public settings”(Rosenleaf, 2/7/97; Badenoch, 4/7/97). As these interviewees explain, effective leaders are those that

involve organizational members in planning, decision-making, and representing the organization to the public whenever possible. Certainly, these leadership strategies are similar to Lewin, Lippert, and White's (1939) democratic leadership style, and to the collaborative, shared control strategies proposed by Finch (1977) and Manz & Sims (1984), strategies that researchers have found to contribute to perceptions of leader effectiveness in some contexts.

The last strategy identified by the interviewees as contributing to leaders' effectiveness is working with multiple formats. As one interviewee noted, it is important for a leader to use many communication channels in order to maintain contact with followers and other members of the organization. This interviewee uses (a) weekly face-to-face meetings at which members from every department are present, (b) e-mail versions of the meeting minutes, (c) a white board in a common area to track the status of projects, and (d) regular written memos. Employing all of these formats "enables [her] to communicate with people who might need their communication in multiple formats" (Kuss, interview notes, 3/7/97).

Thus, the interviewees identified three strategies for effective leaders that are related to strategies in the MMOL (support, showing an interest in employees, maintaining an informal atmosphere), and three strategies that did not appear in the MMOL (vision/visualizing, collaboration/shared control, working with multiple formats).

Several points arise from these findings. First, the interviewees' responses provide support for the applicability of some mediation strategies in leadership contexts. It is evident that building trust and cooperation and establishing a positive emotional climate are necessary in both mediation and leadership. These outcomes are accomplished by

supporting decisions, showing an interest, and maintaining an informal atmosphere.

These are strategies that seem to resemble Burns' (1978) consideration strategy, and the Ohio State and Michigan studies (see e.g., Stodgill & Koons, 1957; Katz, et.al., 1950, 1951) employee orientation and relational strategies. It is especially important to note that these strategies were identified as contributing to leaders' effectiveness by interviewees from all four interviewee groups: for profit, non-profit, public, and academe.

Second, while the strategies of vision/visualizing, collaboration/shared control, and multiple formats did not appear in the MMOL, enough interviewees identified these as important strategies for leaders that they should not be overlooked. Certainly, leadership literature has identified the importance of vision and visualizing for leader effectiveness (Hater & Bass, 1988; Kouzes & Posner, 1987; O'Connor, 1997) in order to guide an organization and keep employees focused on matters important to the organization. In critiquing the MMOL, several interviewees noted that mediators do not need to have a vision, but leaders do. An argument can be made that Bush & Folger's (1995) mediation goals of empowerment and recognition are in fact a vision for mediation. They explain that even if a solution cannot be reached, mediators can help parties recognize the humanity of others and help empower them to be better decision-makers in the future. If this is the case, then vision/visualizing is not as far from mediation as the literature review and interviewees might suggest. Certainly, with nine interviewees, and interviewees from each category identifying vision/visualizing as an important leadership strategy, it should not be overlooked when compiling a model of effective leadership.

Next, considering working with multiple formats, as the interviewee notes, this is useful in ensuring some connection is made with all members of the organization. Certainly, both the mediation and leadership literature lend support to this strategy. Maintaining communication is essential for success in both disciplines. By using multiple channels and forms of communication, mediators and leaders ensure parties are kept abreast of changes, plans, and decisions.

Fourth, several interviewees identified collaboration/shared control as a strategy that contributes to leader effectiveness. While this strategy is not explicitly stated as a strategy for mediators, mediators must involve parties in decision making and planning if the disputants are to be satisfied with mediation outcomes. Pruitt (1983) refers to this as “integrative solutions,” in which disputants are given decision-making control and decide which issues should be discussed. There is similarity between how “integrative decisions” are reached and the collaborative/shared control strategies advocated by the interviewees. Also, as noted above, the collaborative/shared control strategies are reminiscent of Lippert, Lewin, and Whites’ (1939) democratic leadership, and Manz & Sims’ (1984) collaboration. Since collaboration and shared control appear to be useful in both mediation and leadership, it is logical to include these in the MMOL. The literature and responses from the interviewees support this conclusion.

Finally, the variety of strategies identified by the interviewees and the literature review as necessary for effective leadership suggests that the effective leader must be prepared to approach different situations from different angles or directions. Also, it appears from the responses of the interviewees that a person-centered or human-centered (Arnold & Plas, 1993) approach is useful. But as the leadership literature has shown us,

different followers and different contexts will demand different leadership strategies. Just as mediators need to press in some situations, sit back in others, motivate some people, and inspire others; so too must leaders have a vision, be considerate, be collaborative, and work with multiple formats to be perceived as effective. As several interviewees noted, “all leadership is contingent. The question is, does the leadership style fit the situation?” (Jablin, interview notes, 2/10/97). Thus, leaders must have both a variety of strategies they are able to employ, and the ability to know which strategy is appropriate for the situation at hand. The Mediation Model of Organizational Leadership can assist leaders with these challenges in two ways: first, by offering a variety of process and people oriented strategies, and second, by emphasizing Moore (1986) and Yarbrough and Wilmot's (1995) position that a mediator (or leader) must effectively diagnose the situation in order to determine which strategy or strategies to employ. We will find diagnosing the situation at hand an important concern as we continue our discussion of the skills, roles, and personal characteristics necessary for effective leadership. In the next section, we take a look at the skills these interviewees stated leaders must have or learn in order to be perceived as effective.

Skills of effective leaders

Each of the twenty interviewees identified one or more factors that contributed to their perceptions of a leaders' effectiveness that were grouped under the general category of “skills interviewees perceive contribute to effective leadership.” Just as a variety of strategies were identified by the interviewees as contributing to leadership effectiveness, so too were a vast array of skills. The interviewees identified a total of 15 different skills as necessary for effective leadership. These are summarized in Table 11 below. There

were several skills identified by the interviewees as necessary for effective leadership that were identified earlier in the MMOL as mediation skills that would contribute to effective leadership. These include empowering, listening, framing, modeling, persuading, asking questions, and giving feedback.

Table 11:	
Skills identified in interviews as contributing to leaders' effectiveness	
Listening (7 interviewees) *	Regular interaction with followers (6)
Encouraging creativity/risk taking (5)	Empowering (4 interviewees) *
Framing (4 interviewees) *	Team building (3 interviewees)
Asking questions (3 interviewees) *	Persuading (3 interviewees) *
Communication flexibility (3)	Modeling (2 interviewees) *
Coalition building (2 interviewees)	Developing relationships (2)
Developing followers as leaders (1)	Gramatical abilities (1 interviewee)
Providing feedback (1 interviewee) *	

* Indicates skills identified in Mediation Model of Organizational Leadership

Four interviewees reported that empowering others is a skill essential for effective leadership. One interviewee offers this definition of empowerment: "empowering means I give power, authority, and control to others, and expect people to take responsibility for themselves" (Hackman, 2/7/97). Another interviewee offers this rationale for empowering followers (employees): "[leaders] need to enable and empower others to find out 'What can they do?' I think the more responsibility you give people, the faster they will rise. You have to trust their skills, their judgement, and their experience"(Kuss, 3/7/97). These interviewees maintain that empowering others is a skill necessary for effective leadership, a view that is consistent with the leadership literature (see e.g. Block, 1993; Depree, 1992; Greanleaf, 1977; Senge, 1990). As you will recall, empowerment is also a large part of successful mediation (Bush & Folger, 1995; Yarbrough & Wilmot, 1995.) Mediators who empower disputing parties help them regain a sense of their own value and strength, and their capacity to handle problems.

Listening is another skill identified in the MMOL that was mentioned by seven interviewees as a skill necessary for effective leadership. Effective leaders employ listening skills in order to solve problems, identify people's points of view or differing perspectives, identify common ground, and make decisions. Here is an interviewee's explanation of the importance of listening in order to solve problems:

[When] dealing with an angry customer, one must decide how an exception to "policies" can work. The customer is not just venting, they want you to solve the problem to their satisfaction. In these cases, you must listen to the deeper issues: these change the whole perspective. These deeper elements dictate how/when exceptions are to be made. (Thornton, 1/27/97).

This interviewee from the for-profit sector is speaking specifically about dealing with the public, but a similar listening ability and approach is necessary for solving employee or follower problems.

A second way effective leaders employ their listening skills is in identifying people's points of view and different perspectives: "I listen to what they have to say because often they simply have a different perspective on the same story" (Thornton, 1/27/97). Sometimes this perceptive type of listening requires the leader to "hear between the lines and see between the lines" (Putnam, interview notes, 2/10/97).

Ultimately, effective listening allows leaders to "hear their people, what they're about" (Miller, interview notes, 2/20/97).

Good listening skills can also help leaders identify common ground when they disagree with their followers or have views that differ from those of their followers. For example, an interviewee from the public sector (state legislature) explains how listening closely can help a leader determine where an employee, constituent, or opponent might agree with them. "They can hear things that somebody says that hardly anybody notices,

but it tips them off that maybe there's an opening there, that maybe somewhere down the line they can work with that person" (Carey, 2/22/97).

Finally, with regard to listening as a skill that contributes to effective leadership, interviewees reported that listening skills enable leaders to make good decisions. As noted above, understanding people's perspectives is an important part of making decisions, as is uncovering underlying or hidden issues. Also important is "listen[ing] to everyone about what they think should be done about a particular thing, [to] gather information and try to build a group consensus around something" (Rosenleaf, 2/7/97). As these interviewees explained in the above excerpts, listening is important to solve problems, understand employees' points of view, identify common ground, and make sound decisions. Their comments are consistent with both the mediation literature (Bush & Folger, 1994; Moore, 1996; Yarbrough & Wilmot, 1995) and the leadership literature (Barge, 1996; Fairhurst, 1996; Kotter, 1988; Kouses & Posner, 1987; O'Connor, 1997), and provide empirical support for listening skills as necessary for effective leadership and a component of the MMOL.

A third skill identified by the interviewees as essential for effective leadership (and identified in the MMOL) is framing, the shaping or management of meaning (four interviewees indicated that framing is a skill necessary for effective leadership). Mediation and leadership scholars emphasize the importance of framing skills (see e.g., Fairhurst & Sarr, 1996; Fisher & Ury, 1981; Moore, 1986; Kotter, 1988), and as such, framing was included in the skills section of the MMOL as a component of effective mediation that might also be useful in leadership situations. As an interviewee from academe explains "leaders must possess sense making skills. There are great degrees of

uncertainty and complexity [in organizations.] Leaders must be able to interpret things for their followers, and explain ‘here’s how we fit and what we need to do.’ (Eisenberg, 1/15/97). Another interviewee explains that not only is framing necessary for maintaining a position of leadership, it may in fact be a skill necessary for obtaining a position of leadership:

A leader emerges from their ability to shape reality. Others are more inclined to accept that version of reality... it suggests that anyone, at any time, or in any position, can offer a version of reality, and to the extent that version is seen as plausible and acceptable, that this person, over time, with repeated analysis, may become an informal or formal leader. (Fairhurst, interview notes, 1/29/97).

Framing can also help leaders in times of change, uncertainty, or turmoil re-frame or restructure what’s going on to make it more desirable or more understandable for employees or followers.

Just as it is important for effective leaders to manage meaning or frame ideas for their followers (or employees), so too is it vital that leaders model the behavior they expect from their followers. Four interviewees identified modeling as a skill that contributes to effective leadership. A public sector (city government) interviewee explains that people often will not follow a leader unless they are “willing to roll up their sleeves first, and get in there and do it”(Badenoch, 4/7/97) to demonstrate their commitment to a project or idea. Further, an interviewee from academe explains that effective leaders must be:

...willing to do the hard work, to put it bluntly, of walking the talk.... Unless you’re willing to do the hard personal work of transforming your own communication skills, your own willingness to be vulnerable and direct, your own willingness to deal with difficult employees and problematic behavior, your own willingness to be decisive, and to put your integrity on the line, and do what you say, and to be called on it and not

hide behind either your salary or your title, or your years in rank, don't do it (Hawes, 2/4/97).

From these examples it is clear why modeling is essential for effective leadership. Both the mediation and leadership literature echo the opinions of these interviewees (see, e.g., Bennis & Nannus, 1985; Jablin, 1983; Moore, 1986; Yarbrough & Wilmot, 1995), emphasizing that both leaders and mediators must provide an example of how one is to act. Leaders and mediators can become less effective and lose their credibility and the trust of employees if they behave in a manner that is inconsistent with the behaviors they expect from their employees. The literature and the responses of these interviewees support modeling as a skill necessary for effective leadership, and confirm its placement in the MMOL.

Another mediation skill identified by three interviewees as important for effective leadership is persuading, or “influencing [followers] toward something specific, toward some desired outcome” (Browning, interview notes, 3/26/97). These interviewees explained that to be able to persuade followers, leaders must be good communicators, “articulate, or even eloquent, if [they're] lucky” (Bantz, interview notes, 2/7/97). Persuasiveness enables a leader to direct followers toward some specific end that they anticipate will be beneficial for the organization (and in the best case scenario, the follower as well.) Persuasiveness involves not only influencing toward a specific outcome, but also an ability to “identify the dysfunction” in the system, and to be able to demonstrate how their solution addresses the dysfunction. Consistent with the reports of these three interviewees, scholars from both mediation and leadership (see, e.g., Fairhurst & Sarr, 1996; Kolb, 1983; Kotter, 1988; Sheppard, 1984) assert that persuasiveness is a key factor in perceptions of effectiveness.

Asking questions is another skill interviewees identified as necessary for effective leadership. Recall that asking questions was also noted as an important strategy in the mediation literature (Moore, 1986; Yarbrough & Wilmot, 1995). As three interviewees explain, effective leaders must have the ability to ask questions in such a way that followers do not get defensive, or feel they must explain their actions. Normally, this involves asking “what” or “how” questions (What happened, or how did it happen?), rather than “why” questions (“why did this happen?”). The ability to ask questions effectively helps leaders understand followers’ thinking, reasoning, underlying interests, and feelings. The interviewees reported that, asking questions could be particularly useful in problem solving and in conflict resolution, a view that is consistent with the mediation literature.

Finally, the interviewees suggested that providing feedback is a skill necessary for effectiveness in leadership situations. Providing feedback is also an important element of mediation, and was included in the MMOL because it was expected to be useful in leadership situations. As noted in the literature review above, mediation and leadership scholars suggest that giving feedback increases clarity, trust, and cooperation (see, e.g., Evered & Selman, 1989; Fiedler, 1967; Moore, 1986; Yarbrough & Wilmot, 1995). An interviewee from the for-profit sector reinforces these opinions, and adds that effective leaders “solicit and give feedback. Excellent employees will burn out if they are not given feedback, encouragement, and reinforcement” (Kuss, 3/7/97).

Empowering, active listening, framing, modeling, persuading, asking questions, and giving feedback are all skills that were identified by the interviewees as contributing to effective leadership, and they are all skills that appeared in the MMOL. Recall that the

MMOL is comprised primarily skills that bridge the communication, mediation, and leadership literature. The interviewee accounts of their perceptions of skills that contribute to leadership effectiveness relayed in this section have provided some empirical confirmation of the importance of these skills for effective leaders, and for including these skills in the mediation model of organizational leadership.

In addition to confirming seven skills identified in the MMOL, interviewees also identified eight other skills they thought contributed to effective leadership. These include encouraging creativity and risk taking, team building, developing the leadership abilities of followers, and several communication-related skills (coalition building, relationship development, regular interaction, communication flexibility, and grammatical abilities). These are discussed in the following sections.

Encouraging creativity and risk taking is a skill identified by six interviewees as essential for effective leadership. As you will recall, the leadership literature does emphasize creativity as a necessary personal characteristic of effective leaders (see, e.g. Bennis & Nannus, 1985; Kouzes & Posner, 1987). However, these six interviewees emphasized that encouraging creativity and risk taking is a skill separate from simply being creative. As one interviewee from academe explains “leaders must be able to promote innovation and risk, and give employees the ability to implement [their programs]” (Jablin, 2/10/97). Encouraging risk taking and creativity is closely related to empowering (discussed above). It requires “giving a group of individuals the time they need, the tools they need to be creative”(Stevens, 1/29/97); “allowing people to take a creative approach to things; [and] allowing employees to take risks, and to fail or make mistakes” (Kendrick, 1/29/97). Encouraging employees to be creative and take risks

helps uncover unknown solutions and identify new, more effective ways of handling processes or problems. The interviewees note that many of the other skills necessary for effective leadership (framing, listening, providing feedback, modeling, empowering, etc.) are necessary for encouraging creativity and risk taking in followers. So, for effectiveness, leaders must not only have the personal characteristic of creativity, they must possess the skills to encourage their employees to take risks and be creative as well.

Leaders must also have the ability to build teams. Three interviewees identified team building as a skill that is essential for effective leadership. As noted by an interviewee from the public sector (city government):

Developing teams is another critical aspect [of effective leadership]. Putting the right team together that gives it the right mix. Enough people that understand the question and enough people that don't. [Also], knowing when to bring a team together. Knowing when the problem is big enough and it deserves more than just a couple of people looking at it. (Stevens, 1/29/97).

Further, teams provide an opportunity to “get consensus and different perspectives on how to accomplish things” (Mullen, 4/4/97). One interviewee noted that a former mayor was particularly effective because he made a point of including his biggest opponents on problem solving teams in order to have the greatest variety of opinions and to arrive at solutions that addressed the most concerns. These interviewees suggest that the most effective leaders are those that know: (a) when to convene a team, (b) how to select team members, (c) to allow team members autonomy and decision making authority, and (d) what information to provide to team members in order for the team to offer a worthwhile contribution to the organization. These key components of team building identified by the interviewees are consistent with the literature on team building (see, e.g., Manz & Sims, 1980; Larson & LaFasto, 1989). Because little work exists in mediation on team

building skills (with the exception of using teams for brainstorming), team building was not included in the MMOL. However, as these interviewees and scholars have noted, team building is a skill that must be included in any model of effective leadership.

When discussing their perceptions of skills necessary for effective leadership, the interviewees also reported several communication-related skills that did not appear in the original MMOL. Each of these skills were identified by the interviewee as “communication,” or relying on skills normally identified in the literature as “communication skills.” These skills include coalition building, relationship development, regular interaction, communication flexibility, and grammatical abilities. These are discussed below.

Three interviewees identified coalition building as a skill necessary for effective leadership. Essentially, coalition building requires that leaders:

... understand networks and understand the notion that who you deal with today, you might deal with tomorrow in another context; a place where the power relationship is going to change. So, a good leader recognizes the kind of interconnections there are between people. (Stohl, interview notes, 1/15/97)

As this interviewee notes, relationships in organizations can be dynamic—roles and power positions can change depending on the project and the people involved. A person who normally has a great deal of power may need to rely on someone with less power, and understanding coalition building can assist leaders in these situations. Effective leaders also recognize the importance of setting aside differences when possible, building coalitions by looking for common ground. As noted earlier in this section, looking for common ground involves listening for commonalities that are not apparent on the surface. Building coalitions requires that a leader “get past labeling people based on how they

[stand or] voted on this issue or that issue” (Badenoch, 4/4/97), and work with others to identify common interests and areas of agreement.

Coalition building skills enable leaders to work with people who have differing views from those of the leader, and allows leaders the flexibility to work with followers and others in the organization in a variety of contexts and situations. Coalition building skills also enable leaders to be connected to a greater number and variety of people throughout the organization, expanding not only their network of acquaintances, but also their information base throughout the organization. This connectedness helps leaders make more informed decisions and be more aware of conditions and issues that are of importance to the whole organization.

Just as coalition-building skills are necessary for effective leadership, so too are skills in relationship development. Two interviewees identified skills in relationship development as necessary for leadership effectiveness. These skills help leaders “connect and relate” (Barge, interview notes, 2/24/97) to employees and followers, and allow them to feel more comfortable talking and interacting with the leader. Relationship development skills also enable a leader to “keep relationships in spaces, to [be] able to understand friendships and how to deal with and manage those boundaries” (Stohl, 1/15/97). Effectiveness in relationship development might emerge simply by understanding that some people are comfortable with different conversational distances and different rules of touching (Stevens, 1/29/97.) Ultimately, effective leaders are able to connect and relate to people in many different ways. Relationship development skills enable effective leaders to “make a stronger connection with their followers and create greater understanding with these people” (Barge, 2/24/97).

Another communication-related skill identified by six interviewees as necessary for effective leadership involves maintaining regular interaction with followers. Rather than “checking up on people,” effective leaders “check in with their people.”

Maintaining regular interaction with employees helps effective leaders keep abreast of what is happening with their followers and throughout the organization. Here is how an interviewee from the for-profit sector explains the importance of regular interaction and communication with employees and/or followers:

Communication is very important. If people get all wrapped up in what they're doing, in their needs, they lose track of what others are doing. Good leaders assume others need to know what they and everyone else are doing. Good leaders keep in touch, they keep their fingers on the pulse of what is going on. Good leaders know what their people are doing, thinking, and feeling (Kuss, 3/7/97).

Maintaining regular interaction and communication with employees was noted by these interviewees as an essential leadership skill. Face-to-face communication and interaction afford leaders advantages that other forms of technologically mediated communication cannot: “I’m more likely, if I have a question, to get up and walk down the hallway than to pick up the phone. If I really need to know how a person is going to respond or what concerns they’re going to have, then I do that face-to-face”(Stevens, 1/29/97). These examples explain the ways interviewees believe regular interaction and communication can contribute to perceptions of leadership effectiveness.

Because effective leaders are those that interact and communicate regularly with their followers, leaders must also develop flexible communication styles. Three interviewees identified communication flexibility as necessary for leadership effectiveness. An effective leader must be able to “communicate at all levels and ranges of education. [They] need to be aware of the individuals [they] are speaking to, what

they are able to understand and what they are not” (Stevens, 1/29/97). Communication flexibility also assists the effective leader in interactions with people from diverse backgrounds: different cultures, geographic areas, races, religions, and so on. Thus, an awareness of different values, customs, beliefs, and ways of knowing contribute to communication flexibility and to leadership effectiveness.

One respondent identified grammatical abilities as a set of skills that are necessary for effective leadership. These are noted here because they nicely summarize and articulate a variety of communication skills that contribute to effective leadership. The interviewee defines grammatical abilities as the ability to develop relationships with people, to understand their “grammar,” or ways of speaking, and understanding the world. With skills such as sense-making, data-splitting, recognizing the limits of their hypotheses, and asking good questions leaders can evoke responses and get employees to think their ideas through, to own their ideas. As this interviewee from academe explains:

Grammatical abilities help managers enter into conversations, shape them, and allow them to unfold. Leaders need grammatical abilities to understand the logic, rules, etc. of the system. They need to know how to challenge the coherence in the organization to open new possibilities. They need to be able to unfreeze things, to create a space for movement [forward] (Barge, 2/24/97).

Grammatical abilities appear to be a set of communication skills that will contribute greatly to leaders’ effectiveness, especially in terms of developing relationships, encouraging creativity and risk taking, and connecting and relating to people, skills that were discussed above as necessary for effective leadership.

A final skill necessary for effective leadership is developing the leadership ability of followers. An interviewee from academe (Hackman, 2/7/97) notes that this is the most important skill in positions of formal leadership. This interviewee explains that in a

formal position of leadership, the most effective leaders are those that can develop among others the communication, modeling, team building, and conflict resolution skills that were discussed earlier in this section. According to this interviewee, a leader's success is gauged by the leadership abilities of her followers. Thus, developing the leadership abilities of followers is one of the most important skills that contribute to perceptions of leadership effectiveness.

In this section, I have outlined the skills reported by the interviewees as necessary for effective leadership. As we saw in the earlier literature review, there are literally dozens of skills that contribute to effective leadership, and dozens more that contribute to effective mediation. Of the mediation skills identified in the MMOL as transferable to leadership contexts, the interviewees identified seven skills as necessary for effective leadership: empowering, listening, framing, modeling, persuading, asking questions, and giving feedback. The interviewees also identified eight other skills that did not appear in the MMOL, including encouraging creativity and risk taking, team building, developing the leadership abilities of followers, coalition building, relationship development, regular interaction, communication flexibility, and grammatical abilities. Of these remaining eight skills, each was identified in the leadership literature as contributing to effective leadership. There are several points of discussion that are raised from these findings.

First, the responses of the interviewees suggest there are mediation skills that contribute to effective leadership. As noted by the interviewees, skills in giving feedback, listening, framing, persuading, empowering, modeling and asking questions are all necessary components of effective leadership. The leadership literature also identifies these skills as necessary for effective leadership (see, e.g., Barge, 1996;

Fairhurst & Sarr, 1996; Kouzes & Posner, 1988). Clearly, these are skills that bridge the two disciplines, and the literature and interviews provide theoretical and empirical support for including them in the MMOL. This also suggests that further investigation may discover that other mediation skills, such as empathizing, trust building, validating, interpreting, providing support, and knowledge in the field may also contribute to effective leadership.

Second, there are similarities in the responses to the question “what skills contribute to effective leadership?” across four leadership contexts: the academic, for profit, non-profit, and public sectors. The skills that were identified by interviewees from all four groups as contributing to effective leadership are listening, solving conflicts, encouraging creativity/taking risks, and regular interaction with employees. Each of these skills has also been identified by the leadership literature as contributing to effective leadership, and with this theoretical and empirical support, these skills most certainly should be included in any model of effective leadership. Furthermore, the appearance of these skills across so many leadership contexts suggests that these may be “universal” leadership skills, necessary for all leaders in all contexts.

Finally, there were many skills identified by the interviewees as necessary for leadership effectiveness that did not appear in the original MMOL. These include encouraging creativity and risk taking, team building, developing the leadership abilities of followers, coalition building, relationship development, regular interaction, communication flexibility, and grammatical abilities. Several of these were identified by the leadership literature as necessary for effectiveness, but not the mediation literature, and as such were not included in the original version of the MMOL (recall that the

MMOL was comprised of skills that overlapped the two disciplines or were present in mediation). What this suggests is that for a model such as the MMOL, a caveat must be included to emphasize that these mediation skills should be joined with other tested and effective leadership skills for maximum success as a leader. As one interviewee insightfully remarked “I don’t know what skills are not required for a mediator, lets put it that way” (Jablin, 2/10/97). With the variety and range of skills that are identified in the leadership literature, and with the variety of different skills that were mentioned by the interviewees as necessary for effective leadership, this comment seems appropriate not only for mediators, but for leaders as well.

Roles of effective leaders

As one might expect from the variety of roles leaders and mediators might assume discussed in the literature review, the people interviewed for this project also identified a wide variety of roles as important for effective leadership. Interviewees reported “wearing many hats” and playing many roles when dealing with their employees and others in their organizations. Eight of the twenty interviewees specifically stated that they had assumed one or more of the following “roles” at various times in their career, or that they thought these roles were essential for effective leadership. These roles include facilitator (3 interviewees), problem explorer (2), opener of communication channels (2), ombudsman (2), mentor (2), resource expander (1), mediator (1), coach (1), quasi-judicial (1), visionary (1), and liaison (1). These are summarized in Table 12 below. Of these reported roles, five are consistent with the roles identified earlier in the MMOL as necessary for effective mediation and very likely useful for effective leadership—

problem explorer, resource expander, opener of communication channels, liaison, and coach.

Problem explorer (Bush & Folger, 1994; Moore, 1986; Yarbrough & Wilmot,

Table 12:	
Roles identified in interviews as contributing to leaders' effectiveness	
Facilitator (4 interviewees)	Mentor (2)
Problem explorer (2) *	Opener of communication channels (2) *
Mediator (1)	Coach (1) *
Quasi-judicial (1)	Ombudsman (1)
Visionary (1)	Resource expander (1) *
Liaison (1) *	

*Indicates roles identified in Mediation Model of Organizational Leadership

1995), was identified as an important role to assume when helping employees and other organizational members solve problems: "I try to make sure employees are working with problems in their own departments and don't bring them here first. That they've tried to use all of the resources available to them..."(Stevens, 1/29/97). This excerpt also suggests the importance of another role identified by the mediation literature, that of resource expander (see, e.g., Bush & Folger, Yarbrough & Wilmot, 1995). Similarly, when assisting employees in problem solving, the leader must often assume the role of opener of communication channels (identified by mediation scholars such as Kolb, 1983, and Moore, 1986). As an interviewee from academe notes, "the major thing managers can do in mediation [problem solving] is help parties develop better ways of talking with each other..." (Putnam 2/10/97). Note that while this respondent explained the traditional mediation model of conflict resolution is not often used because of time constraints (an issue identified by many others, and discussed at length below), she emphasized that at a minimum, leaders must be able to get employees talking to one another.

Besides helping solve problems, leaders must also help organizational members connect or communicate with others inside and outside of the organization. A respondent from academe identified “facilitator” as an important role for leaders of teams. As this excerpt shows, this facilitator role sounds very much like the liaison role in mediation (Yarbrough & Wilmot, 1995):

I think a lot of team based environments now work where people work in self directed teams that manage all of their own, or most of their own day-to-day operations, but they do have support within the organization. And in some of the organizations I’m familiar with, those support folks are called facilitator... (Hackman, 2/7/97)

Here, it is clear that leaders must help connect their team to other groups inside and outside of the organization. Finally, in terms of roles identified in the earlier literature review, the role of coach was identified by one of the interviewees from the non-profit sector as an important role for effective leaders (Kendrick 1/29/97).

The remaining six roles reported by the interviewees as important for effective leadership (facilitator, mediator, quasi-judicial, ombudsman, mentor, and visionary) are roles that were not specifically identified in the literature review as contributing to effective mediation, but some of them were identified as roles leaders might take. Of these six “new” roles, note that four (facilitator, mediator, quasi-judicial, ombudsman) are related in some way or another to resolving conflicts. For example, a respondent from the for-profit sector describes the role of facilitator as “keeping goals in sight, moving toward [those] goals, minimizing tangents...” (Kuss, 3/7/97). Similarly, an interviewee from academe explains the leader as mediator role as one “in which you listen, clarify, and such”(Eisenberg, 1/15/97).

The ombudsman role was described as especially useful for solving problems, and a role that is applicable to many different contexts. For example, in the government sector, the role of ombudsman is often assumed when working to help the public problem solve, or in academe, to problem solve when time is short. Finally, the interviewee who mentioned the quasi-judicial role noted that this was a more formal element of her job, one that was outlined as a part of her job responsibilities: “ There is an element of formality to this office, however, when it comes to particularly personnel related issue. Then I do put on my CAO (chief administrative officer) hat, and its almost a quasi-judicial relationship at that point”(Stevens, 1/29/97).

The interviewees also identified the roles of mentor and visionary as important for effective leadership. While not mentioned in the earlier mediation literature review, leadership scholars (see, e.g., Hackman & Johnson, 1996; Jablin, 1983) emphasize the importance of the mentoring relationship between leaders and employees (or followers). These authors note the importance of providing career guidance, feedback, and friendship to new and tenured members of the organization. Similarly, many authors (see, e.g., Burns, 1978; Kotter, 1988; Kouzes & Posner, 1987) emphasize how important it is for leaders to have a clear vision of the future and to communicate that vision to organizational members.

In summary, the interviewees specifically identified eleven roles that effective leaders are often called on to assume. Four of these roles fall loosely into the “leadership” literature (coach, liaison, mentor, and visionary), and seven of these roles are related to problem solving or conflict resolution (facilitator, problem explorer, and opener of communication channels, mediator, ombudsman, and resource expander,

quasi-judicial). There were five roles that mediators often assume (see Table 12) that were identified by the interviewees as roles that effective leaders sometimes assume. Their comments seem to support the notion that these mediator roles are also useful in some leadership contexts. Further, the prevalence of roles that are related to problem solving or conflict resolution supports Rahim, et. al.'s(1992) finding that leaders and managers spend much of their time resolving conflicts, and further emphasizes the importance of knowledge and skills in mediation (or some other form of conflict resolution) for effective leadership. A note of caution is in order here, however, because there were important leadership roles identified by the interviewees that do not appear in the mediation literature (such as mentor and visionary). These findings suggest that while mediation roles may be useful to leaders, effective leaders must also be able to assume other roles depending on the situation at hand.

Having discussed the strategies, skills, and roles that interviewees identified as contributing to of effective leadership, I address the last component of research question one (RQ1), the personal characteristics that contribute to effective leadership.

Personal characteristics of effective leaders

As we saw in the earlier literature review, there are many personal characteristics that contribute to perceptions of effective mediation and leadership. Not unexpectedly, the interviewees identified an abundance of personal characteristics they thought contributed to effective leadership. These personal characteristics of effective leaders are summarized in Table 13 below.

In the MMOL, there were 14 personal characteristics of mediators that were expected to be characteristics useful for effective leaders. Of these 14 mediator characteristics,

interviewees identified eight as necessary for effective leaders. These include creativeness, empathy, sensitivity, humorousness, persistence, patience, optimism, and trustworthiness and trusting. These are discussed below.

First, interviewees noted that to be effective leaders must be creative, which requires

Table 13:	
Personal characteristics identified in interviews as contributing to leaders' effectiveness	
Trustworthiness (7 interviewees) *	Decisiveness (6 interviewees)
Creativity (innovativeness, risk taking)(6) *	Intuitiveness (5)
Integrity (5)	Confidence (3)
Respect (3)	Intelligence (3)
Passion (2)	Flexibility (2)
Humor (2) *	Sensitiveness (2) *
Empathy (2) *	Credibility (2)
Openness (1)	Optimism (1) *
Self-managing orientation (1)	Maturity (1)
Holistic Approach (1)	Focus (1)
Persistence (1) *	Patience (1) *
Competence (1)	

*Indicates personal characteristic identified in Mediation Model of Organizational Communication

innovative approaches and a willingness to take risks. These are also characteristics that contribute to perceptions of mediator effectiveness. Mediators who are creative, innovative, and take risks can help parties see issues or the other person in a new light, propose unexpected or unexplored options, motivate parties toward innovative solutions, and force disputants out of unproductive cycles (Bush & Folger, 1995, Kolb, 1983, Moore, 1986).

Six interviewees, representing all four interviewee groups (for-profit, non-profit, public, and academe) identified creativity as a personal characteristic necessary for effective leadership. To these interviewees, creativity means being innovative, trying new ideas, taking risks, and encouraging followers to do the same. Often, effective leaders

must “ask for forgiveness, rather than permission”(Mullen, 4/4/97) because they “do what’s right, even if its beyond the normal limits of the organization”(Miller, 2/20/97). Creative leaders “are comfortable with not knowing the outcome of something. They don’t know, but they create the outcome. Its about risk taking, being OK with going forward without having to have every detail nailed down” (Kendrick, 1/29/97). Creativity also requires “experimenting, moving away from control and accepting that there are different kinds of order. Those orders vary, and are going to be constantly changing”(Jablin, 2/10/97). Leaders must also learn from the mistakes that often result from creativity, innovation, and risk taking. As one interviewee notes, leaders must “learn from [their] mistakes. People hate to make mistakes, but I’ve learned from the mistakes I’ve made. If you don’t try anything, you don’t fail, and then you’re not going to learn as much as a person who takes risks”(Miller, 2/20/97). Certainly, creativity, innovation, and a willingness to take risks are personal characteristics necessary for visualizing, a strategy of effective leaders that was discussed earlier.

Besides being creative, innovative, and taking risks, leader must also be empathetic to the needs of their followers. Two interviewees specifically identified this as a personal characteristic of effective leaders. Leaders “have to be people who can put themselves in others’ shoes, and have a lot of empathy with what’s going on”(Putnam, 2/10/97). As another interviewee explains:

As a leader, you want to understand stresses that impact your employees. You need to get to know them to understand these issues. Employees need to know it is ok to blur the lines between home and work, and to be concerned how issues like child care and parent care impact their work (Thornton, 1/29/97).

There were several other personal characteristics identified by interviewees that

correspond to mediator characteristics outlined in the MMOL. These include a sense of humor, sensitivity, persistence, patience, and optimism. Two interviewees identified a sense of humor as a personal characteristic of effective leaders. They explain that a leader “must keep things in perspective, because funny things happen” (Stohl, 1/15/97; Badenoch, 4/4/97). Note, too, that both of these interviewees cautioned leaders must use appropriate humor, they must not humiliate or belittle their followers with their humor. Two other interviewees explained that sensitivity is an important personal characteristic of effective leaders. As noted earlier, leaders must express support and an interest in the lives of their followers, and they must be empathetic to their followers’ needs. This requires sensitivity on the part of the leader. Another type of sensitivity needed for effective leadership is context sensitivity, an awareness and adaptability to the context or environment in which the leader is interacting with followers. In addition to an appropriate sense of humor and sensitivity, leaders must be patient, optimistic, and persistent: “able to lose a lot of battles and still not give up” (Carey, 2/22/97).

Finally, seven interviewees identified trustworthiness and trusting as personal characteristics necessary for effective leadership. As noted in the MMOL, trustworthiness must be demonstrated by the mediator in order to gain the cooperation and confidence of disputing parties. For leaders and mediators alike trust develops over time, through regular interaction and communication. Trustworthiness entails “following through on promises and doing what you say you’re going to do” (Kuss, 3/7/97). It involves maintaining confidentiality, behaving in a manner consistent with what you say (modeling) and what followers expect, and keeping a level head in both good times and bad. As one interviewee notes, gaining and maintaining the trust of followers is essential

for a leaders' success: "my employees won't say anything to me if they don't trust me. A leader that does not have the trust of his employees becomes ineffective"(Thornton, 1/27/97). Effective leaders are also trusting; they trust followers to do the right thing and to make the right decisions.

Clearly, trust and trustworthiness are not something leaders come by easily. Interviewees noted that trust must be built and nurtured over time, and that leaders must consistently behave in a trustworthy manner, and convey their trust in their followers at all times. Recall that in the literature review (see, e.g., Bush & Folger, 1995; Fisher, 1989; Hickman, 1990; Moore, 1986; Kouzes & Posner, 1987; Yarbrough & Wilmot, 1995), dozens of ways to build trust in leadership and mediation were identified. The literature is consistent with the opinions of the interviewees. It is apparent that many strategies (e.g., consideration), skills (e.g., empathizing, relationship development), and personal characteristics (e.g. sensitivity, patience, and empathy) are elements that contribute to leaders' trustworthiness. More than any other personal characteristics, building trustworthiness and trusting rely on the communication and interaction between a leader and her followers or employees.

There were 15 other personal characteristics of effective leaders identified by interviewees that did not correspond directly to mediator skills identified in the MMOL as potentially useful in leadership contexts. These include: decisiveness, integrity, intuitiveness, consistency, confidence, respectfulness, intelligence, flexibility, passionate, credible, openness, self managing, mature, holistic, and focused. These are discussed below.

Six interviewees identified decisiveness as a personal characteristic necessary for

effective leadership. In the mediation literature, mediators are cautioned against decisiveness, instead they are urged to allow disputants to decide the path to be taken and to suggest the solutions for the issues at hand. Doing so ensures integrative solutions (Pruitt, 1983). According to the interviewees, effective leaders must be able to “make the hard decisions”, and cannot afford to be “wishy-washy.” There are times in which consensus and input from all group members is desirable. “... But in the absence of group consensus, in situations where people’s self interests get in the way of their thinking about what an organization needs to do, then I think it’s the leader’s job to gather that information and make that decision”(Rosenleaf, 2/7/97). Often, too, in times of emergency or crisis, decisions must be made quickly, and there is not time for consensus decision making. This is when leaders’ decisiveness is most important. (Note that if a leader is unaware of the issues, concerns, and capabilities of her organization, they will make poor decisions. As such, decisiveness relies on other skills such as developing relationships, communication skills, and coalition building.)

Next, five interviewees explained that intuitiveness is also necessary for effective leadership. Again, while not specifically mentioned in the MMOL, a mediator also needs to be intuitive, in order to uncover hidden agendas, perceive unspoken conflicts, and unearth underlying interests. According to the interviewees, effective leaders “seem to have the answers to questions before they are asked, they know what’s coming, what might happen, how it will work”(Miller, 2/20/97). This intuitiveness is important not only for identifying issues important to the organization, but also “to be able to get a bodily read on people”(Eisenberg, 1/15/97) in order to understand their needs, interests, and concerns. Intuitiveness, then, helps leaders recognize, predict, and understand

organizational and personal issues.

Besides decisiveness and intuitiveness, effective leaders must also have integrity. Five interviewees identified integrity as a personal characteristic that contributes to effective leadership. Effective leaders are right and just, honest, ethical, and moral. They “make decisions based on what is right vs. what’s fastest or quickest”(Mullen, 4/4/97). Effective leaders must have “organizational and personal integrity. They have to balance the interests of the organization with the interests of the individual. Effective leaders are able to move [the organization] forward, but not at the expense of employees”(Kendrick, 1/29/97). Thus, integrity involves not only honesty in terms of what a leader says and does, but also making decisions that consider both organizational and personal needs.

Another personal characteristic that contributes to effective leadership, according to the interviewees, is consistency. Consistency involves steadiness, maintaining a level head when things don’t go as planned, behaving in a manner that does not surprise followers, making decisions that do not appear to be arbitrary, and applying organizational rules to followers consistently. As noted earlier, a leader must behave consistently in order to develop and maintain the trust of her followers. And, as one interviewee adds, consistency simply helps followers feel comfortable with leaders: “there really needs to be consistency. There needs to be some sense of center. People will follow someone else if they have to, but they prefer to follow someone who is consistent”(Bantz, 2/7/97).

Interviewees also remarked that in order to be perceived as effective, leaders must have confidence, and a strong sense of self. As one interviewee noted “no one feels good

about following a nervous leader. You have to believe in yourself and have confidence, and people will follow you and respect you”(Badenoch, 4/7/97). Confidence is closely tied to vision and encouraging creativity and risk taking. An interviewee notes that “people are interested in leaders who have a clear sense of direction, purpose, and self. This is particularly important in situations where you’re asking people to take a major risk, or what they define as a major risk”(Bantz, 2/7/97). Confidence entails being “comfortable with who you are, and honest about that”(Stohl, 1/15/97), and not needing to be recognized for your accomplishments or the accomplishments of your organization. While confidence was not a personal characteristic of mediators identified in the MMOL, it should be noted that mediation scholars (e.g., Bush & Folger, 1995; Moore, 1986; Yarbrough & Wilmot, 1995) have found disputing parties to be more comfortable with confident mediators than with mediators who are timid or unsure.

According to the interviewees, intelligence is another personal characteristic that contributes to effective leadership. One interviewee relayed this example of a leader she thought was effective: “she knows a little about a lot of things. She’s intelligent. She relies on her experts, and she can pick things up quickly”(Kendrick, 1/29/97). Another interviewee offers this definition of intelligence:

It may not be IQ smarts, but I think leaders have to be smart. With all those attributes, being creative, adapting to people, that all comes from an individual characteristic of being able to read and understand a social situation. Only smart people can do that, and that’s my definition of smart (Stohl, 1/15/97).

This example explains how intelligence can help leaders develop other skills and personal characteristics that can contribute to their effectiveness as leaders. Certainly, intelligence is a characteristic necessary for effective mediation as well. As in

leadership, mediators must be able to adapt to and read social situations, and to pick up quickly on unspoken concerns.

Another personal characteristic necessary for effective leadership, as identified by three interviewees, is respectfulness. Leaders should treat followers like “thinking and caring adults”(Kendrick, 1/29/97) and “respect individuals for being intelligent”(Mullen, 4/4/97). Respectfulness also requires that leaders have “a human quality, that appreciates humanity”(Thornton, 1/27/97).

Leaders must also be passionate, according to two interviewees. Passionate leaders are “excited about the work they do, and [this passion] is going to be infectious among others in the organization”(Hackman, 2/7/97). Effective leaders are also flexible. An effective leader is “both flexible and adaptable. Rigidity is not going to work”(Stohl, 1/15/97). As one interviewee notes, such flexibility “allows people to grow and change in their jobs and allows organizations to respond to changes in the environment” (Rosenleaf, 2/7/97). Credibility, “doing what you say you’re going to do”(Badenoch, 4/4/97) is another personal characteristic necessary for effective leadership. Additionally, leaders must be holistic, “having a good total/overall view of things, how things fit together”(Miller, 2/10/97). Leaders also need to be detail oriented, but must be careful not to micro-manage. An openness toward people and different viewpoints (Thornton, 1/27/97) is another personal characteristic that contributes to leaders’ effectiveness. Other personal characteristics identified by interviewees as contributing to effective leadership include maturity, people-oriented, motivated, hardworking, and willing to take charge.

As we have seen, there are many characteristics that are perceived to contribute to

effective leadership. The interviewees identified eight personal characteristics of effective leaders that correlate with personal characteristics that contribute to effective mediation. This suggests some support for the applicability of mediation principles in leadership contexts, and for including these characteristics in the Mediation Model of Organizational Leadership. So, too, does the presence of these skills in leadership literature. Thus, there is theoretical and empirical support for the inclusion of creativeness, empathy, sensitivity, humorousness, persistence, patience, optimism, and trustworthiness and trusting in the Mediation Model of Organizational Leadership. There were also five personal characteristics identified by interviewees from each of the interviewee groups (academe, for profit, non-profit, and government), suggesting that the personal characteristics of creativeness, trustworthiness, intuitiveness, integrity, and consistency are necessary for effectiveness in any leadership context. Finally, there were many personal characteristics identified by the interviewees that did not appear in the MMOL. However, many of these seem useful in mediation, specifically intelligence, insightfulness, integrity, respectfulness, and confidence. The one personal characteristic of effective leaders interviewees identified that seems problematic for mediation is decisiveness. Interviewees noted that in some situations, effective leaders must take charge and make decisions. In mediation, parties are usually less satisfied with solutions when mediators choose the solutions or choose what direction the mediation should take (Bush & Folger, 1996; Moore, 1986; Yarbrough & Wilmot, 1994). Excluding decisiveness, the other personal characteristics of effective leadership identified by the interviewees seem consistent with the intentions and principles of mediation. Each seems to enhance credibility, respect, and trust, which are necessary for both effective mediation and effective leadership. As such, I suggest that these 14 additional

personal characteristics be added to the MMOL in order to make it more comprehensive and adaptable to more leadership situations.

In the previous four sections I examined the strategies, skills, roles, and personal characteristics interviewees believe contribute to effective leadership. It is important to note here, as in the literature review, that these “categories” do in some cases overlap one another. They are not completely independent, but the distinctions were necessary in order to effectively analyze the interviewees responses to the first interview question (RQ1), “What factors do you perceive contribute to leadership effectiveness?” In the next section, I discuss the second research question (RQ2); interviewee perceptions of factors at contribute to leaders’ ineffectiveness.

Factors that contribute to ineffective leadership

The second research question (RQ2) posed to the interviewees was concerned with identifying factors that contribute to perceptions of ineffectiveness. Interviewees were asked questions like “What do leaders do that make them ineffective? What mistakes to leaders make? What are obstacles to effective leadership?” As one might expect, these questions produced a variety of responses. In all, interviewees identified eleven different factors that contribute to perceptions of leader ineffectiveness. These are summarized in table 14 below.

Table 14:	
Factors that contribute to perceptions of leader ineffectiveness.	
Poor communication (11 interviewees)	Over control/ Micro-managing (7)
Failure to share decision making (5)	Deceptiveness/Dishonesty (3)
Linear Thinking (3)	Not training/developing followers (3)
Change efforts (2)	Unable to delegate (1)
Not taking responsibility (1)	Closed to new ideas (1)
No sense of humor (1)	

Poor communication was the factor identified by the most interviewees as

contributing to perceptions of leader ineffectiveness. Eleven interviewees identified communication deficiencies such as being out of touch, not understanding the importance of dialogue, not making time for employees, inability to develop relationships, overuse of jargon, poor framing skills, naïve models of persuasion, demeaning individuals, and unawareness of their non-verbal communication as communication factors that contribute to ineffective leadership. An interviewee gives us this example of a leader in her organization that was perceived as ineffective because she had difficulty communicating with her followers:

We had a leader who was very caring and concerned about both the organization and the people in it. But, because of poor communication skills, she was unable to communicate how much she cared. And these were simple things like being aware of her tone of voice, and being able to “turn a phrase.” Not being able to do these things created a wall between herself and her employees. She became inaccessible, and I know she didn’t want that (Kendrick, 1/29/97).

According to these eleven interviewees, leaders with poor communication skills are perceived as ineffective. Certainly, this is consistent with their responses to the question that asked: “What factors do you perceive contribute to leader’s effectiveness?” Recall that communication skills such as framing, listening, persuasiveness, and providing feedback were all identified as contributing to perceptions of leader effectiveness. These responses are also consistent with the leadership literature. Authors such as Barge (1996), Fairhurst and Sarr (1996), and O’Connor (1997) emphasize that leaders must have strong communication skills if they are to be perceived as effective by their followers.

Another factor, identified by seven interviewees, that contributes to perceptions of leader ineffectiveness is over-control or micromanaging. As one interviewee notes, “giving up control is the biggest problem for leaders”(Bantz, 2/7/97). Another interviewee explains

that “the more you try to control, probably the less control you actually have. Being highly directive, controlling, micromanaging people is the way to kill their creative spirit”

(Hackman, 2/7/97). Over control and micromanaging are demotivating and disempowering.

An interviewee from the non-profit sector further explains the impact of micromanaging:

Micromanaging is the most demotivating thing for everyone around you. [Leaders who micromanage are] not respectful of other people’s skills, [they] have to oversee everything [their employees] do. People think ‘why should I strive to do my best if this person is going to be nit picky?’ And they do a shoddy job, and rely on the manager [or leader] to fix it (Rosenleaf, 1/29/97).

While over control and micromanaging are demotivating, disempowering, and lead to perceptions of ineffectiveness, two interviewees warn that leaders must avoid being totally uninvolved in followers activities. “Ineffective leaders are not enough into details. This is a fine line. They need to be able to identify the things that are important to their group and to their organization, for example, expenses and costs in their department, and be knowledgeable about those”(Miller, 2/20/97). Another interviewee notes, “there is a fine line: you can’t let people go totally without direction”(Stevens, 1/29/97). Clearly, effective leaders are able to strike a balance somewhere between no control and micromanaging. Ineffective leaders are unable to perform this balancing act. These interviewee comments are consistent with observations made by Lewin, Lippert and White (1939) and other leadership scholars (see, e.g. Farris, 1972; Rudin, 1964; Shaw, 1955; Vroom & Jago, 1988), with regard to leadership style. Leaders who able to balance authoritarian, democratic, and laissez faire leadership styles seem to fare better than leaders who rely solely on one leadership strategy.

Unfortunately for leaders, poor communication skills and over control are not the only factors that contribute to perceptions of ineffective leadership. According to the

interviewees, a leader who lies, is deceptive, dishonest, or who undermines followers is also perceived to be ineffective. Two interviewees noted that lying or deceptiveness is the biggest mistake leaders can make. Related to lying and deceptiveness is dishonesty, in terms of not giving followers credit for what they do. Further, leaders are perceived as ineffective when they undermine followers by scape-goating them or fail to support their efforts in the organization. Interviewees explain that when a leader is deceptive, dishonest, or undermines his employees, followers are unable to trust them and are reluctant to follow them. Certainly, this supports the importance of trustworthiness and honesty to effective leadership as mentioned earlier by interviewees and in the literature review (see, e.g., Bennis & Nanus, 1983; Burns, 1978; Peters & Waterman, 1982).

Another factor that contributes to perceptions of leader ineffectiveness is linear versus systemic thinking. Three interviewees explained that ineffective leaders fail to look at the organization as a system, to how things are connected and interrelated. Instead, they look at things in a linear fashion, breaking things down into smaller parts. Here's one interviewee's explanation of how this might manifest:

Say you manage a production line that makes doll heads. You are concerned about efficiency, speed, and production. The more doll heads you make the better. So you focus on producing more doll heads. But you have fragmented the situation. You produce so many doll heads that the doll body people cannot keep up with you. Now you have a surplus, have to store the extra doll heads, have to lay people off. You have failed to look at the whole system, simply focusing on how this change impacted you versus its' impact on other departments (Barge, 2/24/97).

Often, linear thinking is a result of influences or efforts from others in the organization.

Rewards or other reinforcements in the organizational culture can encourage managers and leaders to think linearly rather than systemically. Effective organizations and effective leaders are able to look beyond their immediate situation and see how processes and people

are interrelated. Also related to systemic versus linear thinking is the leaders' awareness of the political structure of the organization. Two interviewees noted how ignorance or disregard for the political structure of the organization resulted in termination for two leaders they knew. As one of these interviewees notes: "a mistake leaders make is not being adaptable to the person who has power"(Browning, 3/26/97). As the examples above show, followers often perceive leaders who make linear decisions and fail to recognize the organization-wide implications of their decisions as ineffective.

How a leader shares decision-making is another factor that can impact perceptions of leaders' effectiveness. As noted above, ineffective leaders tend to over control, to micromanage. A side effect of micromanaging is to handle all decision making. When a leader does not share decision-making with followers, she not only misses out on the input and insights of her followers, she also can have difficulty gaining compliance or agreement. In leadership, as in mediation, people tend to be more committed to decisions if they take part in reaching those decisions (see, e.g., Burns, 1978; Hater & Bass, 1988; Pruitt, 1983; Yarbrough & Wilmot, 1995.) A related issue is giving the impression of shared decision-making when there really is not shared decision-making. This most often happens when a leader convenes a group to discuss an issue or plan, but in reality the leader has already decided what will be done, or what can be done is limited by internal or external constraints (organizational or legal rules). Three interviewees explained that they perceive leaders who "go through the motions" of sharing decision making as ineffective. Finally, with regard to decision making, two interviewees reported that they perceive leaders who make arbitrary decisions as ineffective. They explain that ineffective leaders fail to communicate their rationale for their decisions, and seem to change their opinions and move without thought.

This sort of arbitrary, vacillating decision making makes followers uncomfortable and uncertain of what to expect from their leader.

Another factor that contributes to perceptions of leader ineffectiveness is related to change efforts. Two interviewees noted that ineffective leaders force change on unwilling followers, fail to include followers in change efforts, or do not follow up on change programs. These mistakes can result in failed change efforts. Followers resent the change effort, don't buy into the new program, and question why they were not involved in the planning and implementation of the change.

Earlier, in the section that recounted interviewees' perceptions of strategies of effective leadership, interviewees noted that effective leaders develop the leadership abilities of their followers. Effective leaders provide followers with training and opportunities to lead. According to three interviewees, ineffective leaders fail to provide their followers with the training needed to learn and grow as leaders. Ineffective leaders may expect followers leadership skills to come naturally, or may think training is unimportant or a waste of time, or may be threatened by the prospect of well-trained employees or followers who may be able to step in and take over their job. One interviewee explains that ineffective leaders don't realize the importance of "providing the opportunity for employees to grow. This really restricts their [the leader's] ability to grow. Because its those training opportunities, not only the ones you get but also the ones they get, that pushes your own envelope"(Stevens, 1/29/97).

Other factors reported by interviewees as contributing to perceptions of leader ineffectiveness include not being able to delegate. "Leaders become more inept as they take more things on"(Mullen, 4/4/97). Also, leaders who don't take responsibility, who don't take

the heat when things don't go as planned are perceived as ineffective. Leaders who are closed to new ideas and stuck in their ways also tend to be perceived as ineffective. One interviewee notes "when the world around you is changing, so must you, even if what you were doing seemed to be working"(Badenoch, 4/7/97). Finally, interviewees reported that ineffective leaders do not have a sense of humor; they do not see the funny side of things, and are unable to keep things in perspective. (As noted above, leaders must use humor appropriately: their attempts at humor must not belittle or demean followers).

In summary, the interviewees identified a wide variety of factors that contribute to their perceptions of leader ineffectiveness. Several issues bear further discussion. First, interviewee perceptions of the factors that contribute to leader ineffectiveness were consistent with their perceptions of the factors that contribute to leader effectiveness discussed in earlier sections. Further, their perceptions echo the leadership literature: factors such as over-control, poor communication, not including followers in decision-making or change programs, and deceptiveness have been linked to perceptions of leader ineffectiveness (Brion, 1996; Clement, 1994; Hater & Bass, 1988).

Third, there are parallels between factors that contribute to perceptions of leader ineffectiveness and factors that contribute to perceptions of mediator ineffectiveness. For example, over-control of the mediation process leads to lower satisfaction with the process and outcomes of mediation (Laiken, 1994; Lewicki, et. al., 1992; Pruitt, 1983). Also, mediators with poor communication skills are perceived as ineffective. They are unable to uncover hidden interests, unable to diffuse angry blow-ups, and unable to help disputants become better communicators (Bush & Folger, 1994; Yarbrough & Wilmot, 1995). And, deceptiveness is an obstacle to building trust, which is vital to successful mediation (Fisher,

1989; Moore, 1986). Discovering the similarity between the mistakes of poor leaders and poor mediators suggests that many of the same issues, concerns, and obstacles arise in mediation and leadership. This lends support to the core concept of the Mediation Model of Organizational Leadership: that the strategies, skills, roles, and personal characteristics that contribute to perceptions of effectiveness in mediation can also contribute to perceptions of effectiveness in leadership.

Further, none of the strategies, skills, roles, or personal characteristics of effective mediators were identified as factors that contribute to perceptions of leader ineffectiveness (and many were identified as factors that contributed to perceptions of leader effectiveness). Therefore, leaders may experience success in some leadership situations if they apply the principles of mediation to these situations. Caution must be taken here, though, because as leadership theorists have warned, various contexts and various follower needs call for variety and flexibility in leadership styles (Fiedler, 1967, 1993; Grean, 1976; O'Connor, 1997). Also, as will be discussed below, interviewees noted that mediation skills alone may not be sufficient for effective leadership in organizations. However, the Mediation Model of Leadership does offer leaders a variety of useful strategies, skills, and roles to deal with some of these leadership situations.

In the previous sections, we've seen how interviewees responded to questions about leader effectiveness and leader ineffectiveness. In the process, we identified some strategies, skills, roles, and personal characteristics that contribute to perceptions of leadership, saw factors that contributed to perceptions of ineffective leadership, and highlighted areas in which mediation and leadership overlap. In the last section of this chapter, we examine the interviewees' opinions of the Mediation Model of Organizational Leadership.

Interviewee opinions of the Mediation Model of Organizational Leadership

The third research question was concerned with gauging interviewee opinions of the applicability or transferability of mediation skills to leadership contexts. Interviewees were asked “How would mediation principles help leaders? Where do you see similarities between mediation and leadership? In what ways do mediation principles not address the demands of leadership? And, how do leadership and mediation differ?” Responses to these questions are discussed below.

In response to the questions “How could mediation principles help leaders?” and “Where do you see similarities between mediation and leadership?” interviewees identified six major areas where they thought mediation principles would either help leaders, or where the demands of leadership are similar to the demands of mediation. These include conflict resolution, establishing and maintaining balance, facilitation, flexibility, coaching, and shared responsibility/credit.

Fifteen of the twenty interviewees noted that mediation skills would help leaders with conflict resolution. There are many elements of conflict resolution that leaders must be equipped to handle, and these interviewees saw mediation principles as useful to leaders in these situations. These areas include resolving conflicts (5 interviewees), solving problems (3), uncovering underlying interests (3), identifying different ideas and points of view (2), encouraging followers to take responsibility for their feelings, decisions, and actions (1), understanding problems and people (1), and empathy and respect (1). Here’s how one interviewee explains mediation principles could help leaders with conflict resolution:

I think a lot of leadership is, broadly defined here, is conflict resolution. Managers and folks that have what I consider to be leadership qualities are people who know how to honor the problem without taking it on, making sure that the agency and responsibility for the solutions remains with the

people whose problem it is. [They do this] without making them feel as if s/he is uncaring didn't listen, just dumped it back on them and in effect told them 'its your problem, you fix it'(Hawes, 2/4/97).

Another interviewee comments on how mediation can assist leaders in helping followers resolve conflict:

[Mediation] is useful in situations where a common understanding is needed about issues. When people come to me with a problem, I know that what they're upset about is not the thing they're concerned about, its under the surface. It's really about something else. They need to be on the same page, the leader needs to get everyone thinking in the same terms (Rosenleaf, 2/7/97).

As this interviewee notes, leaders and mediators must both be able to uncover underlying interests. They are able to do so because they take time to familiarize themselves with the environment and the people they're working with. The interviewees noted that mediation principles are useful in leadership contexts for solving conflicts, and for solving conflicts in such a way that underlying issues are addressed.

Another way in which interviewees saw mediation principles as useful to leaders or in leadership contexts was in establishing and maintaining balance. Five interviewees noted that leaders must be concerned with power imbalances in their organizations. As one interviewee notes, "mediation creates a structure in which power balances are minimized"(Kendrick, 1/29/97). Further, mediation can help leaders deal with abusive power relationships. One interviewee discusses the difficulty leaders often encounter when dealing with an abusive follower: "abusive people are hard to deal with. How do you get them to be more respectful of others, not to abuse, without creating a rigid, inflexible, unpleasant workplace for them in hopes they will just quit?"(Rosenleaf, 2/7/97). Mediation can help leaders deal with abusive followers in several ways: (a) helping leaders teach them to be more respectful of others, (b) identifying issues that drive the abusiveness, (c)

approaching them in a non-confrontational manner about their behavior towards others, and (d) helping them craft solutions with followers to address their needs and the needs of other followers.

Power imbalances can also have an impact on getting involvement from all followers. Two interviewees saw mediation skills as useful to leaders in this regard: “mediation may address models of power and authority and may assist leaders in involving and making the best of input from everyone” (Browning, 3/26/97). Another interviewee notes that balance and involvement are keys to a leader’s success:

Leadership [. . .] is about hearing from all constituents, giving everyone a chance to be involved in the decision making, respecting the opinions of everyone, choosing the best ideas. And of course, sometimes you lose, and you have to realize that your perspective is not supported, and you have to support the rest of the group (Hackman, 2/7/97).

A third way mediation principles are useful to leaders is in situations requiring facilitation skills. Five interviewees noted that mediation skills, such as providing structure and procedures and teaching better communication skills, are useful to leaders. As one interviewee notes: “facilitation certainly is useful to leaders, in terms of meetings. Keeping the meeting on track, keeping goals in sight, moving toward that goal, minimizing tangents” (Marshall, 3/17/97). Certainly, the principles of facilitation present in mediation provide leaders with practical tools for facilitating discussions and meetings. Mediation also offers “facilitation skills in the broader sense. Facilitating people. Good facilitators make good leaders. In the end, it comes back to being a good communicator” (Kuss, 3/7/97). Mediation can assist leaders not only in terms of facilitation processes, but also in more “human” terms: helping followers become better communicators.

Other areas in which the interviewees saw mediation principles as useful to leaders

include flexibility, coaching, and sharing credit. As one interviewee notes, “mediation skills suggest flexibility... leaders need to be careful about limiting new ideas and creative thinking. Creative options must be encouraged”(Miller, 2/20/97). For this interviewee, the mediation principles of openness and flexibility fit well with what they expect of leaders. Openness and flexibility also ensure leaders include followers and consider their ideas, an area discussed above in relation to maintaining balance. Coaching was identified as another area where mediation principles could benefit leaders.. This interviewee noted that both mediators and leaders coach: “effective leadership is the same as effective mediation. Each coaches, communicates, and tries to help people craft some thing “(Kendrick, 1/29/97). Lastly, leaders and mediators must both share credit:

Good mediators, like good leaders, don't take credit for solutions. In mediation, it is important for people to take credit for the solution so they will buy into and comply with the solution. In leadership, the idea is that [the followers'] contributions made things happen (Badenoch, 4/7/97).

The interviewees noted six areas where mediation principles can contribute to effective leadership, or where these two areas overlap. These areas include conflict resolution, establishing and maintaining balance, facilitation, flexibility, coaching, and sharing credit. The interviewee responses seem to provide specific support for the idea that mediation principles can be applied to leadership contexts. Unlike earlier sections of this paper where interviewee responses about perceptions of leader effectiveness were compared to mediation theories and principles, these six areas of mediation were specifically identified by the interviewees as useful in leadership contexts. Certainly, many more opinions must be polled before conclusive statements can be made about the MMOL and its utility in leadership contexts, but these interviewees opinions are suggestive of other positive responses to the applicability of the MMOL in leadership contexts.

While the interviewees identified some areas where they thought mediation would be useful in leadership contexts, there are also areas where interviewees noted mediation would not address the unique demands of leadership. These are situations in which leadership and mediation vary so much, leaders must rely on skills other than those of a traditional mediator. These criticisms of the Mediation Model of Organizational Leadership are discussed in the next section.

The interviewees identified eight areas in which they think mediation differs dramatically from leadership, areas in which mediation principles cannot address the demands of leadership. These eight areas include involvement vs. neutrality, time constraints, directiveness, vision, balance vs. stress, knowledge, patience, and agreement.

First, in terms of neutrality versus deep involvement, recall that mediation is based on the premise that the mediator is a neutral third party. Mediators should have no stake in the outcome of the dispute, and should only guide disputants through the process of mediation, maintaining “high control over the process, low control over the terms of the dispute” (Thibault & Walker, 1975). Seven interviewees saw the neutrality principle of mediation as problematic. “A leader has a much more involved role than a mediator. Mediators are third parties, limited to roles of consultant and coach. A leader needs those skills, they also need to be held to and to assume responsibility”(Browning, 3/26/97). Another interviewee noted that with mediation and leadership, there are obvious differences: “The leader isn’t independent, doesn’t pretend to be a neutral third party, and obviously has a crucial stake in the problem that he or she is trying to manage”(Hawes, 2/4/97). Finally, as we noted earlier, mediators are concerned primarily with process. This is problematic in leadership contexts “I’m not sure a mediator does more than [help parties with the] process. People who are

simply process oriented are not good leaders”(Stohl, 1/23/97).

According to these interviewees, mediators must have opinions, must stand for something, and must be deeply involved in the organization. Involvement versus neutrality is one way in which leadership and mediation are fundamentally different. There is no provision in mediation for the surrender of neutrality; the ethical mediator is one who bows out from mediations in which they cannot be neutral. While mediation and leadership differ on this point, we have shown other ways in which mediation can be useful to leaders. One provision that should be added to the MMOL is that leaders using the principles of mediation must also invest their time and energy, be deeply involved, and express their opinions, in matters that are important to the organization. Leaders can pair the mediation principles of communication, empathy, and recognition with leadership principles of vision, investment, and commitment for even greater effectiveness in leadership contexts.

Another concern with the applicability of mediation principles to leadership, raised by six interviewees, is the issue of time constraints. Mediation principles encourage hearing all sides of the story and enlisting the opinions of all parties who have a stake in the outcome of the mediation. This is done to ensure all parties are aware of what the issues are, and that any solution addresses the concerns of everyone involved. While they are designed to ensure better solutions, these principles of mediation can often take a great deal of time. According to the interviewees, the amount of time usually needed to satisfy these goals of mediation could be problematic in organizations: “it takes a whole lot of time to hear from everybody and have people involved in decision making, and take responsibility and respect others”(Hackman, 2/7/97). And, in certain contexts, there is not time to involve everyone in a decision: “in a time of crisis, [mediation] won’t work, because it takes too long”(Hackman,

2/7/97). Finally, an interviewee explains how time impacts leaders' involvement in disputes:

Leaders are about as time pressed as you can get. The major thing leaders can do in mediation is to help parties develop better ways of talking to one another. If its around the traditional model of mediation, where you bring these two parties together and all of you spend a few hours working on the conflict, it doesn't happen very often"(Putnam, 2/10/97).

Time is clearly an issue in leadership contexts. With regard to decision making and to resolving conflict, the time needed to proceed in a manner consistent with the principles of leadership is problematic in organizational leadership contexts.

Another issue raised by the interviewees is that in some situations, leaders must be directive and decisive, they must take control, make decisions, and assume responsibility for these decisions. As we noted earlier, mediators, in contrast, strive to give control to the disputing parties. For seven of the interviewees, mediation principles cannot address the fact that leaders often need to be decisive and take control. Here are several interviewee remarks about the necessity of leaders taking control:

In a crisis, we need people who are very directive and controlling, at least until the crisis is over. Even in the most enlightened organization, if they were getting into a serious crisis of some sort or another, would get into a much more controlling mode (Hackman, 2/7/97).

As much as I believe in involving people at all levels in helping make a decision, in a lot of instances you need a person who is in charge. Somebody has to make the big decisions (Carey, 2/22/97).

Sometimes followers will look to the leader to make the decision. In some cases, people don't want to collectively make a decision, they want the leader to take the responsibility (Bantz, 2/7/97).

These critiques of the applicability of mediation principles to leadership contexts echo earlier interviewee remarks about effective leadership: taking responsibility for decisions and making the hard choices are seen as characteristics of effective leaders. Mediators, on the other hand, are encouraged to focus simply on the process of assisting the disputants through

the process of negotiation (recall Yarbrough and Wilmots', 1995, stages: entry, diagnosis, negotiation, agreement, and follow up), and leave decisions to the disputants. While there are models of mediation that allow mediators to suggest or push disputants toward specific outcomes (see, e.g., Carneval, 1986; Kolb, 1983; Sheppard, 1984), critics of these models suggest solutions reached using these models are less satisfying and do not last as long as solutions reached with more communication and process oriented models of mediation (see, e.g., Laiken, 1994; Lewicki et. al., 1992; Pruitt, 1983). The interviewees note that decisiveness and taking control are necessary components of effective leadership. While the MMOL does not specifically suggest decisiveness and control as strategies for effectiveness, it can be useful for leaders in several other ways. For example, explaining rationales for decisions; modeling desired behaviors; building trust so followers have confidence in the decisions leaders make; and sensitivity, such that the decisions leaders make consider both followers' and the organization's needs.

The fourth area of leadership to which interviewees thought mediation principles did not apply was vision. As noted earlier in the discussion of strategies that contribute to effective leadership, interviewees believe that effective leaders are those who have a vision of the future, communicate that vision clearly to followers, and include followers in the vision. Three interviewees remarked that vision is one area where leadership and mediation differ. Here is how these interviewees explain the differences between leadership and mediation:

Leadership is more vision driven. We're not mediating, we're trying to align the vision. We have some outcome we're driving toward (Miller, 2/20/97).

There isn't a passionate vision piece. I don't see mediation as being similar to leadership in that way at all. The mediator's job is not to inspire people, and its not to lay out a vision of what their lives might be like if we had some

kind of different solution (Hawes, 2/4/97).

Leaders go looking for problems, where-as mediators wait for problems to come to them. Leaders have a vision; they bring people along. Mediators guide people to an acceptable solution. (Badenoch, 4/7/97).

According to these interviewees, leadership requires having a vision, and mediation does not.

Some mediation experts differ with these interviewees on this point. As we saw in the literature review, transformational mediators, such as Bush and Folger (1995) have a model of mediation in which their “vision” is one of disputants leaving the mediation with empathy and respect for one another, no matter what the outcome. As Bush and Folger note, mediation tries to engender human growth and transform human character by equipping people with respect, consideration, and the ability to deal with problems more fairly and equitably. Bush and Folger’s transformative goals of empathy and respect seem to reflect the principles of Burns’ (1978) transformative goals of inspiration and consideration. These parallel outcomes suggest that in some ways, mediation can provide leaders with a vision. The goals of empathy and respect can be joined with specific organizational outcomes, the end result of which will be visions that consider the needs of both the organization and the follower.

There were several other critiques of the Mediation Model of Organizational Leadership offered by the interviewees. These are areas in which interviewees believe mediation principles cannot address the unique demands of leadership. First, mediation encourages balance (as we noted above). Two interviewees noted that balance can be detrimental to an organization: “imbalance is often needed to get an organization thinking about ways to improve”(Thornton, 1/29/97). Second, an interviewee noted that knowledge of the industry is not as important for the mediator as it is for the leader: “if it’s a

technological environment, [the leader] better have the knowledge. You can mediate in a system without knowing how that system works. You cannot lead in that system”(Stohl, 1/23/97). Third, another interviewee noted that mediators are much more patient than leaders. “Mediators see solutions unfolding, but can’t say anything. Otherwise, the solution would be theirs and not the disputants’. Leaders are often impatient. They step in and say here’s a problem and a solution”(Badenoch, 4/7/97). Finally, one interviewee noted this difference between leadership and mediation: “in mediation, people are disagreeing, whereas in leadership, people have bought into ideals, they agree. Mediation builds from that which you agree upon. You get to a place you agree, and work from there”(Badenoch, 4/7/97). Certainly, when parties enlist a mediator, they disagree. But, as this interviewee notes, mediation helps them find places where they agree, and helps them build from there. Perhaps this interviewee’s critique of mediation and how it differs from leadership is in fact the place where mediation can contribute the most to leadership: mediation can help leaders and followers identify commonalities, and establish a basis of agreement from which to grow.

In this chapter, I examined interviewee responses to the three research questions. I discussed interviewee perceptions of the factors that contribute to effective leadership, errors that leaders make which can lead to perceptions of ineffectiveness, and interviewee impressions of how mediation principles can and cannot address the unique demands of leadership. During the discussion, I verified several components of the MMOL as similar to leadership, uncovered components of leadership that are not addressed in the MMOL, and identified ways in which mediation can and cannot address the unique demands of leadership. In the final chapter, I examine the implications of this study, the limitations of

the study, and future directions for the development of the Mediation Model of Organizational Leadership.

Chapter Five: Conclusion

In this paper, I have examined the concept that mediation principles can be useful in leadership contexts, and have proposed a “Mediation Model of Organizational Leadership” that is based on mediation and communication principles. The inspiration for this study was Yarbrough and Wilmot’s (1995) suggestion that mediation principles can “serve as a lens through which to view our ordinary patterns of communication and all of our interactions, everyday”(p. xv). The study began by reviewing the mediation and leadership literature, noting where both disciplines rely on communication based principles, and where the strategies, skills, roles, and personal characteristics of mediators and leaders were similar. From these “overlapping principles,” a mediation model of organizational leadership was proposed. This model highlighted the mediation strategies, skills, roles, and personal characteristics that would be useful in leadership contexts. (See Table 9).

After reviewing the literature and identifying the mediation principles that seemed most relevant to leadership contexts, I conducted twenty moderately structured interviews. These interviews were comprised of in-person and telephone interviews with ten leadership scholars and ten leadership practitioners. The scholars selected were all organizational communication scholars, and the leadership practitioners were selected to include participants from the public, for-profit, and non-profit sectors. Interviews were conducted to determine three things: first, what strategies, skills, roles, and personal characteristics did the interviewees believe contribute to effective leadership? Second, what factors did these interviewees believe contribute to ineffective leadership? And finally, where did the interviewees believe mediation principles would be useful to leaders, and in what ways did they believe mediation principles would not address the demands of leadership?

The study was guided by the principles of qualitative inquiry: capturing and reporting interviewee responses in order to provide a deeper understanding of a phenomenon (LeCompte & Goetz, 1982). The interviewee responses to the three guiding questions were tape-recorded and transcribed, and then analyzed using two techniques. First, deductive analysis was used, comparing interviewee responses to elements of the MMOL. This allowed for verification of some of the principles proposed in the MMOL as useful in leadership contexts. Second, using the inductive constructs (Anderson, 1994) method of qualitative data analysis, interviewee responses to the research questions were organized and grouped into like categories.

In response to question one, interviewees identified various strategies, skills, roles, and personal characteristics they believed contributed to leaders' effectiveness. First, they identified eight strategies they perceived to contribute to effective leadership (these strategies are summarized in Table 10). Of these eight strategies, two were similar to strategies identified in the MMOL: building trust and cooperation and establishing a positive communication environment. Both of these strategies rely on communication skills to accomplish goals such as showing support for followers, expressing an interest in followers, and maintaining an informal atmosphere. Building trust and cooperation and establishing a positive communication environment are consistent, too, with leadership theories such as Burns' (1978) transformational leadership, and the Michigan and Ohio State studies' employee oriented (Katz et. al., 1950, 1951) and relational (Stodgil & Koons, 1957; Halpin, 1957) leadership strategies.

Next, in terms of the skills necessary for effective leadership, interviewees identified fifteen strategies they believe contribute to effective leadership. These are summarized in

Table 11 above. Of these fifteen skills, six were consistent with skills that contribute to mediator effectiveness. These include listening, empowering, framing, giving feedback, persuading, and modeling. These six skills are also identified in the leadership literature as skills that can contribute to leader effectiveness (see, e.g., Barge, 1996; Fairhurst & Sarr, 1996; Kouzes & Posner, 1987). Clearly, there is evidence from both the literature and from practitioners that some mediation skills can be useful in leadership contexts.

Interviewees identified a total of eleven roles effective leaders are asked to assume on various occasions (see Table 12). Five of these roles were consistent with roles mediators often assume. These include problem explorer, opener of communication channels, coach, liaison, and resource expander. These roles are consistent with roles identified in the leadership literature as contributing to effective leadership (see, e.g., Brion, 1996; Finch, 1977; Manz & Sims, 1984). Also, many of these leadership roles are related to problem solving and conflict resolution, which suggests support for a finding by Rahim, et. al. (1992) that much of a leader's work involves helping followers solve conflicts.

Lastly, with regard to the factors that contribute to perceptions of effective leadership, interviewees identified twenty-three (!) personal characteristics that they believe contribute to effective leadership. (See Table 13 for a summary of these personal characteristics). The eight personal characteristics that were consistent with mediation principles include trustworthiness, humorous, sensitivity, creativity, empathetic, optimistic, persistent, and patient. The interviewees also identified other personal characteristics that seemed consistent with mediation principles, but were not specifically mentioned in the mediation literature. It was proposed that these additional personal characteristics be included in the MMOL.

The interviewees identified many strategies, skills, roles, and personal characteristics they thought contributed to effective leadership that have also been shown to contribute to effective mediation. These findings are significant for two reasons: First, the interviewee responses provide support for the notions that a) mediation and leadership overlap in many respects, and b) mediation principles are useful in some leadership contexts. Second, because interviewees from each of the four interview groups mentioned them, many of the strategies, skills, roles, and personal characteristics of effective leaders (and mediators) may be useful in multiple leadership contexts.

While many of the strategies, skills, roles, and personal characteristics of leaders identified by the interviewees were consistent with mediation principles, interviewees also identified other strategies, skills, roles, and personal characteristics of effective leaders that do not correspond to mediation principles. Interviewees' responses also suggest that leaders must be able to deal with a variety of situations and followers. These findings suggest that the MMOL is not an all-inclusive framework for leadership. Instead, the MMOL should be viewed as a communication-based framework to be used in conjunction with other tried and proven leadership principles.

In response to the second research question about the factors that contribute to perceptions of leader ineffectiveness, the interviewees identified eleven factors they believe can shape a leader's effectiveness. Notably, poor communication skills or lack of communication skills were the factors most interviewees believed contributed to perceptions of leader ineffectiveness (eleven of the twenty interviewees). Certainly, this lends support to the notion that leaders can benefit from a leadership framework grounded in communication effectiveness. Also notable is that none of the strategies, skills, roles, or personal

characteristics of the MMOL were identified as factors that contribute to interviewees' perceptions of leader ineffectiveness.

Finally, the last research question asked interviewees where they thought mediation principles might be useful to leaders, and in what ways they thought mediation principles did not address the demands of leadership. There were six areas where interviewees believed mediation principles would be helpful to leaders. These include conflict resolution, establishing and maintaining balance, facilitation, flexibility, coaching, and shared responsibility/credit. There were also eight areas where interviewees believed leadership and mediation differed: vision, decisiveness, involvement, time, balance, knowledge, patience, and agreement. What the responses to this question indicate is that while mediation principles can be useful in some leadership situations, the effective leader must also be equipped with a clear vision of the future, deep knowledge and involvement in the organization, and a willingness to take responsibility and make difficult decisions.

The literature, interviews, and analysis of the interviewees' responses to the research questions have begun to lay the foundation for the Mediation Model of Organizational Leadership, a model of leadership grounded in mediation and communication principles. While further research, application, and investigation are necessary, the results of this study have shown how in some instances, contexts, and situations mediation principles and leadership principles do overlap.

Developing a model of organizational leadership based on mediation and communication suggests several theoretical implications for leadership, mediation, and communication. First, in terms of leadership theory, the MMOL seems to address the situational nature of leadership identified by contingency theories of leadership, because it

can provide leaders with strategies, skills, and roles that can be adapted to the leadership situation at hand. For example, House and Mitchell's (1974) path-goal theory of leadership suggests that the personal characteristics of the subordinate and the characteristics of the environment determine the leadership style that will be most effective. The MMOL is particularly suited to leadership in this regard because of the "diagnostic" nature of the mediation process: Mediators must diagnose the situation at hand to determine which strategy or strategies will be most effective (Moore, 1986; Yarbrough & Wilmot, 1995). This diagnostic step seems particularly useful for the situational/contextual nature of leadership.

The MMOL also addresses the leader-member-relations aspect of Fiedler's (1967) "least preferred co-worker scale." Recall that Fiedler hypothesized that leaders would be more successful if they had a more favorable relationship with their followers. The MMOL encourages leaders to build a trusting, cooperative relationship with their followers, and to develop a positive communication environment. Certainly, these aspects of the MMOL will be useful in developing a more favorable situation with followers, which is likely to increase follower perceptions of leader effectiveness.

Further, the MMOL provides leaders with various strategies, skills, and roles to use when making decisions in their organizations. Recall that Vroom and Yetton (1973) identified various decision-making styles (authoritarian, consultative, and group) available to leaders, and remarked that leaders must have the ability and flexibility to employ one or more of these decision-making strategies as the situation demanded. Our interviewees explained that the most effective leaders are able to make decisions using various styles, and O'Connor (1997) notes that leaders must have effective and flexible communication skills to

determine which decision-making strategy is appropriate for which situation, and to see that the decision is heeded by followers. The MMOL, with its' emphasis on flexibility and communication, offers leaders a useful framework for determining what decision making style is appropriate, and successfully making and implementing the decision.

Fourth, the mediation principles of respect, empathy, and understanding, cornerstones of the MMOL, are consistent with behavioral leadership theories. Specifically, the Michigan studies' employee orientation (see, e.g. Katz, et. al., 1950, 1951), and the Ohio State studies' consideration (see, e.g., Flieshman, et. al., 1955; Halpin, 1955) are similar to and address the same "person-centered" principles as do empathy, understanding, and recognition. As the Michigan and Ohio State studies found, leaders who use behaviors that demonstrate employee orientation or consideration are usually regarded as more effective than leaders who are exclusively production or task oriented. The interviewees noted many strategies, skills, roles, and personal characteristics of leadership that encourage showing support for and an interest in followers. This provides some support for the notion that leaders must be concerned with showing empathy, understanding, and respect for their followers. However, as Blake and Mouton (1982) point out, and as interviewees pointed out, leaders must also maintain a concern for productivity and completing tasks. The MMOL provides leaders with strategies to address both concerns for people and concerns for task. While most models of mediation are person-oriented, some also provide strategies for focusing on task or outcome (forcing, pressing, orchestrating) when the situation demands (Carnevale, 1986; Kolb, 1983; Sheppard, 1984).

The MMOL also seems consistent with Burns' (1978) transformational leadership, in which a leader establishes an interactive, caring relationship with her followers.

Transformational leaders encourage input from followers and involve followers in decisions. These principles of transformational leadership are especially addressed by the mediation principles of the MMOL, because of the emphasis in mediation on hearing from all involved parties and promoting collaborative decision making, such that decisions address the needs of all involved. Approaches that are designed to build trust and cooperation, promote a positive communication environment, and enlist input from all parties are mediation strategies that are useful in leadership contexts and consistent with the goals of Burn's (1978) transformational leadership.

Another concern for leadership theory and communication theory is the importance of communication competency. As we noted earlier, verbal and non-verbal communication skills are essential to a leader's success and perceptions of leader effectiveness (see, e.g., Brown, 1994; Clement, 1994; Fairhurst Sarr, 1996; Remland, 1981,1984; Reyneirse, 1994). As the literature review and interviewees explain, framing, modeling, listening, feedback, and awareness of non-verbal communication are issues both mediators and leaders must be aware of, and areas where both mediators and leaders must be competent. From the interviews and literature review, it becomes evident that communication competence is key to effective leadership. The MMOL is grounded in mediation and communication principles, and is particularly concerned with promoting empathy, respect, and a positive communication climate. Because of this communication focus, the MMOL is likely to help both leaders and followers become better communicators. This demonstrates that communication competency is necessary for effective leadership, and that efforts to assist organizations in learning and implementing ways to help both leaders and followers become better communicators are both necessary and essential.

This study also suggests that the trends in organizational leadership toward more democratic, transformational, person-centered leadership styles are continuing and will continue (see, e.g. Arnold & Plas, 1993; Burns, 1978; Fairhurst & Sarr, 1996 for discussions of these trends in leadership). Cheney et. al. (in progress) note the important role leaders play in the implementation and maintenance of participative, democratic decision making. The interviewee's responses suggest that person-centered and democratic orientations toward organizational leadership are useful. These orientations stress the importance of shared decision-making, compassion, caring, and empathy. Mediation principles and the MMOL are useful to leaders in this regard. Because they focus on empathy, respect, shared decision making and involvement, mediation and the MMOL can provide leaders with important strategies, skills, and roles to help them address expectations that they will include followers in making important decisions and treat followers in a caring and compassionate manner.

Mediation theory and practice can also benefit from the discoveries in this paper, both in terms of identifying other arenas in which mediation can be useful, and extending the notion that mediation can be a lens through which to view all interpersonal interactions (Yarbrough and Wilmot, 1996). First, interviewee remarks and overlaps in the mediation and leadership literature suggest that leadership is in fact a context in which mediation principles can be useful for solving conflicts and addressing the many demands placed on organizational leadership. Also, mediations' transformational goals of empathy and recognition (Bush & Folger, 1996) and others are consistent with many of the human-centered goals of leadership.

Further, this paper demonstrates how mediation principles can be useful in leadership contexts, a context where conflict is a large part, but not the only part of the equation. In

leadership contexts, decision making, building cooperativeness and trust, effective communication, compliance, power, authority, and balance are also important. These other elements are also important in other interpersonal relationships, and it seems likely that mediation principles would be useful in these as well. Proof of this comes from the application of mediation to such contexts as schoolyard disputes, divorces, and tenant-landlord disputes. Certainly, incompatible goals and scarce resources are a part of these situations, so too are cooperativeness, trust, communication, power, authority, and balance. These examples of the application of mediation to various contexts, and the findings of this paper, suggest that mediation can indeed be a “set of useful skills and a way of being in the world and doing our business”(Yarbrough & Wilmot, 1995, xv.), especially when our “business,” whether personal or organizational, includes building trust, cooperativeness, better communication, and concerns of power, authority, and balance. The question for communication and mediation scholars is: In what other interpersonal and organizational contexts might mediation principles be useful?

This study also has practical implications for leaders, followers or employees, and organizations. First, leaders can obviously benefit from improving their communication, facilitation, coaching, and trust building skills. This claim is consistent with both the literature review and the responses of the interviewees to the interview questions. The Mediation Model of Organizational Leadership can help leaders with communication, facilitation, coaching, and trust building, and also provide them with a greater repertoire of strategies, skills, and roles, such that they have the flexibility to deal with the variety of situations and followers they can expect to encounter. Further, the MMOL can provide leaders with important strategies, skills, and roles to assist them in developing more

democratic, participative, human-centered organizations.

For followers and employees, this study holds the promise that leaders and organizations will be more aware of their needs, consider their opinions in matters of importance, and look for ways in which to develop their leadership abilities. Followers and employees whose leaders and organizations employ and advocate mediation and communication principles can expect to have more say in the policies and plans that effect their daily life. They can expect organizations and leaders to show a genuine interest in their lives outside of the organization and for their leaders and organizations to allow a bit more flexibility in allowing them to attend to personal matters (especially in work organizations). Followers and employees can also expect leaders and their organizations to help them develop their communication and mediation skills, such that they can recognize and empathize with others' situations. Followers and employees can also expect leaders and organizations that adopt mediation and communication principles from the MMOL to be concerned with developing their leadership abilities. This focus will enable followers and employees to learn more organizational (i.e. career) and interpersonal skills, and to develop in such a way that they will be able to act knowingly, confidently, and properly (in terms of organizational norms) in situations where leaders are not present and important decisions must be made. Finally, followers and employees can expect to assume more responsibility in the organization, and with this responsibility, develop into and assume more leadership functions and have more say in what happens in their organizations.

Organizations can also expect some positive practical outcomes from adopting the Mediation Model of Organizational Communication. In addition to the personal and professional benefits leaders and followers can expect; organizations will likely experience

more member satisfaction, participation, cohesiveness, and commitment to organizational goals. First, organizational members (leaders and followers alike), because of a new-found recognition and empathy for one another's situations, will have improved communication and will experience more interpersonal satisfaction from spending time together in organizational functions. Further, organizations can expect more participation from organizational members, especially in terms of improvement and innovation. This will result from leaders efforts to encourage creativity and risk taking, and because leaders will strive to include followers in decision making and problem solving whenever possible. Commitment to organizational objectives will likely also increase, because followers will be involved in and therefore more invested in plans for the future. This prediction is consistent with both leadership expectations about commitment to organizational objectives (see, e.g., Burns, 1978; Bass, 1985; Kouzes & Posner, 1987; Manz & Sims, 1989) as well as mediation literature regarding commitment to mediation solutions (see, e.g., Moore, 1986; Pruitt, 1983; Yarbrough & Wilmot, 1995). Finally, organizations can expect members to experience increased satisfaction with their time spent in the organization (i.e. working, volunteering, or attending organizational functions). Leaders will be more satisfied because they will be perceived by followers as more effective (because of their concern for followers needs), and followers will be more satisfied with their time in the organization because they will be involved in organizational decisions, and because their leader will treat them with empathy and respect.

Limitations. While this study offers many theoretical and practical applications and implications, there are limits to this study that suggest further research must be conducted in order to make concrete claims about the effectiveness and usefulness of the MMOL. First, in

terms of sample size, only twenty people were interviewed, and the opinions of twenty out of the millions of organizational members around the world cannot produce findings that are generalizable to all organizations. However, since a qualitative orientation was used, and interviewees' perceptions of their organizational life were relayed as closely as possible, the study does allow for valuable contributions to the empirical record of organizational communication. The interviewee responses provide personal flavor and richness to the already expansive record of life in organizations and perceptions of leader effectiveness.

A second limit, also in terms of the sample of interviewees, is that a highly selective, networking method was used to choose the participants in the study. All participants were acquaintances of either the author or the author's advisors, which magnifies the risk that the results of the study may be biased. Because the sample included mainly acquaintances of the author or his advisors (there were a few participants that were not acquaintances of either the author or the advisors, but these participants were recommended by other participants), it is likely that the author, advisors, and participants share similar perceptions of what constitutes "good or effective leadership." The strongest defense that can be offered against this bias is the variety in the interviewees' responses. Recall that the interviewees identified 8 strategies, 15 skills, 11 roles, and 23 personal characteristics that they perceived contributed to effective leadership. Similar variety was found in the interviewees' perceptions of the factors that contribute to leaders' ineffectiveness, and their perceptions of how mediation principles might or might not address the demands of leadership.

In future studies, a larger, more diverse and random sample of interviewees should be used. This will help guard against the acquaintance bias that may have been present in this study, and may allow for more widely generalizable conclusions. A larger sample size does,

however, present other practical issues: employing multiple researchers and coding a greater number of interviewee responses could result in other reliability and validity issues. So, great care must be taken in future research to ensure a large enough sample (selected in a random fashion) is chosen, and that participants responses are captured and reported in such a way that results are both valid and reliable, and most importantly, useful in understanding organizational leadership.

Another limitation, also concerned with the sample, is that the sample did not include all types of organizations. Recall that interviewees came from academic, for-profit, non-profit, and public sector organizations in the United States. The findings of this study are limited to employing organizations, because it did not include subjects from other types of organizations (e.g., volunteer, social, religious organizations). While claims have been made in the paper about the usefulness of mediation and communication principles in a variety of leadership contexts, these assertions must be limited to the four types of organizations studied until research can be conducted in other types of organizations. Further, all of the interviewees were from organizations in the United States, which fails to address the many differences in organizations in other nations. One can expect the dynamics of international organizations to vary from those in the United States (see Cheney, et. al., in press, for some examples of this) and therefore the usefulness of the MMOL cannot be fully understood until studies are conducted with participants from organizations outside the United States.

Another limit of this study relates to the nature of the interviews: interviewees were asked for their perceptions of their leadership style and the factors they thought contributed to effective leadership. The concern is that their responses may have been biased in order to create a positive impression with the interviewer (LeComte & Goetz, 1982). Precautions

were taken to protect against this bias (such as confidentiality and permission to associate responses with names, interviews scheduled for a time convenient to the interviewee, and a very general introduction of the purpose and goals of the project) but in reality, methods to cross-check interviewee responses with actual behavior would have been the best assurance against this bias. By observing the interviewees in leadership contexts, the researcher could have verified interviewee responses were in fact the way they actually behaved in leadership situations. This is certainly one methodological step that can be added for future studies of mediation principles in leadership contexts, but this limitation must be kept in mind when considering the results and suggestions of this study.

Finally, the study did not address an important part of the equation: followers' perceptions of effective leadership. This study has a leader/managerial bias, because all interviewees currently occupy or have occupied leadership positions with their respective organizations. Interviews with followers of these leaders, or with other followers in the organization, could have provided more varied and richer reports of the factors that contribute to leader effectiveness and the usefulness of mediation principles in leadership contexts.

The possibilities for future research into the usefulness of mediation and communication principles in leadership contexts seem limitless! One step to be taken (as noted in limitations) is to expand the sample such that it include participants from different levels in organizations, and from a variety of types of organizations from around the world. Expanded and continued research is necessary to determine first, the factors that contribute to effective leadership, and second, the extents to which mediation and communication principles are useful in leadership contexts. Interviewing leaders and followers should be

paired with field research to verify interviewee responses and to identify ways in which mediation and communication principles are already used in organizations, and other situations in which these principles might prove useful.

Another step that can be taken is to provide for the practical training and application of mediation principles to leaders and followers in “real life” organizations. Besides organizations, leaders, and followers experiencing some of the benefits of employing mediation and communication principles (discussed earlier), follow up studies could be conducted with members of these organizations. These studies (and other future studies) could address questions such as: “In which leadership situations are mediation principles useful, and in which situations do they not address leaders’ and followers’ needs?” Also, “does applying mediation principles to organizational contexts improve involvement, participation, and job satisfaction for followers?” A third question to be asked would be “How do mediation principles impact followers perceptions of their leaders and organizations?” Results from studies in which organizational members have been trained in mediation principles should be compared to similar studies conducted in organizations where leaders and followers have not had training in mediation and communication principles.

A third step that should be taken is to uncover or identify other contexts in which mediation and communication principles might provide for improved interpersonal interaction. Mediation has already been applied to many contexts (tenant-landlord disputes, schools, unions, divorce, and not leadership), and from these applications it becomes clear that mediation may be useful in other organizational and interpersonal contexts. (It should be noted here that one context was suggested by interviewees: the usefulness of mediation principles to organizations as they try to communicate with and between internal and external

environments. These comments suggest another way in which mediation and communication may help in organizational contexts).

Finally, mediation, leadership, and communication scholars should continue to consider ways in which individuals and organizations can benefit from improved communication skills and greater awareness of communication principles. We have just begun to scratch the surface of the complex relationships between organizations, leaders, and individuals. Organizations rely on communication for their existence: without communication, there are no organizations. My hope is that this study has added useful knowledge to the fields of mediation and organizational communication, and important insights to the factors that contribute to effective leadership. I hope also that with further study, discussion, and application, organizations, leaders, and individuals alike can benefit from the communication skills and strategies, the person-centered philosophies, and the goals of recognition and empathy that comprise the Mediation Model of Organizational Leadership.

Appendix A

Interview Schedule (Adapted From Cheney, 1982)

I. Introduction

The interviewer will explain that the interview is aimed at identifying the strategies, skills, characteristics, and roles necessary for effective leadership. The interviewer will also explain that the project is associated with the University of Montana, that information will be strictly confidential, and that their name will be associated with their responses only with their approval.

II. Exploring the subjects' opinions about the key elements of leadership.

A. Explore their leadership style and leadership styles they think are effective.

For example, the interviewer might ask about characteristics they possess that help them be a good leader? What would their employees say these characteristics are? What skills does the interviewee possess? What roles do they play? What strategies do they employ? Can you tell me about another leader that you think is effective? What are some of their characteristics? (Are they humorous, caring, inspiring, motivating...?) What do they do that makes them effective? When you think about this person, what are some skills they possess that you think make them effective leaders? (Empathetic, smart, trustworthy...) Do these leaders seem to "wear many hats?" What are some of the roles these people assume?

B. Explore leadership styles they think are ineffective.

What would be some of the things leaders do or say that make them less effective? Can you give me examples of this? Compare them to the effective leaders you just talked about. What skills are they lacking? What roles don't they seem to ever assume? What methods do they use that are ineffective, and what methods could they use that would be more effective? What characteristics do they seem to lack?

III. Exploring the subjects' opinions about the applicability of the MMOL to leadership.

I will explain the concept behind the mediation model of organizational leadership: Applying the principles of mediation to leadership. The similarities between the two literatures will be discussed (skills, roles, personal characteristics) and interviewees will be asked how they think mediation could be helpful in leadership contexts, and how mediation will not address the unique demands of leadership.

IV Conclusion

The interviewer should wrap up the interview in such a way that creates a note of finality and provides the employee with a sense of comfort and closure.

Appendix B

List of interviewees

Scholars

Kevin J. Barge, Baylor University
Interviewed 2/24/97 (By telephone)

Michael Z. Hackman
University of Colorado, Colorado Springs
Interviewed 2/7/97 (By telephone)

Gail Fairhurst, University of Cincinnati
Interviewed 1/29/97 (by telephone)

Linda L. Putnam, Texas A & M University
Interviewed 2/10/97 (By telephone)

Fredric Jablin, University of Richmond
Interviewed 2/10/97 (By telephone)

Eric Eisenburg, University of South Florida
Interviewed Jan. 15, 1997 (by telephone)

Cynthia Stohl, Purdue University
Interviewed 1/23/97 (By telephone)

Leonard Hawes, University of Utah
Interviewed 2/4/97 (By telephone)

Chuck Bantz, Arizona State University
Interviewed 2/7/97 (By telephone)

Larry Browning, University of Texas
Interviewed 3/26/97 (By telephone)

Practitioners

Kelly Rosenleaf
Director, Child Care Resources (Non-Profit)
Former Missoula City Council Representative
Interviewed 2/7/97 (In person)

Diane Kuss
Informed Access: Boulder, CO (For Profit)
Interviewed 3/7/97 (By telephone)

James Marshall
JD Edwards: Denver, CO (For Profit organization)
Interviewed March 20, 1997 (in person)

Geoff Badenoch
Director, Missoula Redevelopment Agency.
Missoula, MT (Non- Profit organization)
Interviewed 4/7/97. (In person)

Terri Kendrick
WORD, Missoula, MT (Non- Profit organization)
Interviewed 1/29/97 (In person)

Sally Mullen
Director, Missoula Transportation District (Public)
Former Director, Blue Mountain Clinic
Missoula, MT
Interviewed 4/4/97 (In person)

Bryan Thornton
UC Bookstore (For Profit)
Missoula, MT
Interviewed 1/27/97 (In person)

Don Miller
Proctor and Gamble (For Profit)
Cincinnati, OH
Interviewed 2/20/97 (By telephone)

Janet Stevens
Chief Administrative Officer

City of Missoula, MT (Public)
Interviewed 1/28/97 (In person)

Bill Carey
Montana State Representative (Public)
Missoula, MT
Interviewed 2/22/97 (in person)

Appendix C

Sample Contact Letter

Joseph M. Straub
University of Montana
Department of Communication Studies
Missoula, MT 59802
Home: (406)728-7498
Office: (406)243-6604
Email: jmstraub@selway.umt.edu

Missoula, MT 59801

January 15, 1997

Dear

I am a graduate student in communication studies at the University of Montana and I am currently involved in researching and writing my masters thesis. Specifically, I am developing and exploring a contemporary, communication-based model of leadership. Further, I am considering those particular communication-related strategies, skills, roles, and personal characteristics necessary for effective leadership. Several of the faculty in my department, including Dr. Bach and Dr. Cheney, suggested I contact you because of your role as a leader in your organization and profession.

I am conducting interviews with other leaders like yourself to elicit opinions about what constitutes effective leadership in various contexts. Would you be available for a confidential in-person or telephone interview (of approximately 45 minutes) to discuss your views of the elements of effective leadership?

Your time and cooperation are greatly appreciated. You can contact me by phone (there are answering machines at both numbers) or by e-mail to discuss the time and specifics of our interview. I will try to contact you myself the week of January 27, 1997.

Sincerely,

Joseph M. Straub

Appendix D: Sample of interview transcription.

Interview with Janet Stevens
 Chief Administrative officer, City of Missoula, MT
 January 29, 1997

Question: I'd like to get a sense of your job responsibilities so we can put into a context or scope.

Janet: My responsibility is to manage all of the departments in the city from a supervisory perspective and also provide the mayor or and the council with recommendations on policy, and particular to the mayor, political strategies and advice on how to proceed.

Question: So on a daily basis, you're really interacting with everyone.

Janet: Everybody. And the community.

Question: That gives me a good sense of the scope of your job. Lets talk about your leadership style. What are some of the things you try to do as a manager, whether it be the way you address your employees. What are some the things you try and do as a leader?

Janet: Internally, within the organization, I try to keep it informal. So that anybody feels comfortable walking in. So they don't focus on the title of CAO, they focus on Janet, and how she can help them with whatever issues they have. I don't look at my interaction as CAO to city clerk, so secretary from the City attorney's office. Even in my travels throughout the city physically, the city meaning city hall here or any of our satellite organizations, that's informal. I'm more likely if I have a question to get up and walk down the hall than to pick up the phone. I do make extensive use of email, however, and other technologies, [but] unless its a simple question, and if I really need to see how a person is going to respond or what concerns they're going to have, then I do that face to face.

On the flip side of all of that, I try to make sure that employees are working with problems within their own departments and don't bring them here 1st. That they've tried to use all of the resources available to them outside the scope of my job. And that's one of the 1st questions I ask them, if they're coming in with a problem which is internal to their department. Then my role is to try to facilitate their communication. There is a communication problem generally if somebody comes up here. So I provide that role. And I provide that role department to department if there are struggles between departments. There is an element of formality to this office, however when it comes to particularly personnel related issues. Then I do put on my CAO hat, and its almost a quasi-judicial relationship at that point. With all the parties involved.

Q: Where you're getting at something beyond Jim took my stapler

J: (UmHum). Yeah, maybe a harassment claim or a kind of a situation where an employee feels they are not being treated fairly for one reason or another. With the public, I provide more of an ombudsman role, and work to help them problem solve, as well. Generally, the calls that come in to me are calls as a last resort. They've tried other locations, so that requires some investigation on my part. This office also (the person that's in this office) has to capable of communicating at all levels and all ranges of education. I need to be aware of the individuals I'm speaking to and what they're able

to understand and what they aren't. And that I think is a critical element to communication. Which is one of the reasons when we were talking about what you all laid out the other day (in an action plan for a training with supervisory staff) I raised the issue. You just need to be, I use as a matter of fact, on my word programs the grammar thing. It comes back and tells me I'm at grade 26, and I need to go back down and revise it by at least 10 grades.

(me: exactly)

That's one issue I think is really important. We have an individual working for the city as a department head that has a considerable problem. He is very bright, he has a masters degree in public administration, and all kinds of credentials, but he talks so philosophically, and is in such a key position that nobody understands him. I don't care what leadership position you're in its [clear communication] is just a critical element.

I think another element to good leadership is not feeling the need to be recognized. I think that just happens. So I'm not always looking for opportunities for myself to be recognized for something that the city does. Often times, its much better for the organization that ideas and vision come up from the bottom. If I can help them generate that, then I've done my job. So, to me, a leadership position isn't always being a visionary. Its providing the opportunity for others to be more creative.

Me: So, like a facilitator?

Janet: Well, maybe asking the right questions. Maybe giving a group of individuals the time they need, the tools they need to be creative. Putting the right team together that gives it the right mix. Enough people that understand the question and enough people that don't.

I think developing teams is another critical aspect.

Me: Along the lines of the composition [of the team]?

Janet: Composition particularly. Knowing when to bring a team together. Knowing when the problem is big enough and it deserves more than just a couple of people looking at it. And then also, as it relates to the public and political bodies, knowing when to get information to them in a timely manner, knowing what to give them, making sure that its enough information, but not an overload, and again, making sure that they can understand. Not using acronyms and talking the jargon.

Me: I remember you told a story about your word checker...

Janet: Its not talking down.

Me: Its like you are performing for several different audiences.

Janet: That's exactly right. And, you have to present yourself in a way, this is going to sound, well, I don't know how its going to sound. You have to present yourself in a way that is not offensive, that people feel connected to you. That they like you. Not that I generally try to get people to like me but I also understand that you have to understand that some people are comfortable talking to you like this [she leans forward] or sitting back, touching, not touching, all of those kinds of things have to be automatic.

Me: And, it seems like in your position, with what I know of it, you really are exposed to that with the many different groups that you deal with, whether it is the council people, the employees, the other members of the management teams. It seems like if it were something you were lacking it would really hinder you.

Janet: I'm also the president-elect of ser-optomist international, which is a women's professional service organization, and the federation that I will be president

includes 18 countries. And I was just in Japan last week....

Dealing with different cultures is another piece of that, and while I'm addressing it now as different countries, it's not only that, its different areas, different races, different religions. For instance, when I was in Japan, they have a high respect for people in offices like that, and the ser-optomist that were there... 75 year old women who were carrying my bags. Had I tried to carry them myself, it would have been highly offensive.

So you really do need to continue to hone your skills. We are not nearly as diverse here as some of the other cities. But I would suggest that in leadership positions, you really need to be aware of the different cultures. Diversity within the community you're working with. In this particular one, like a said, there not a whole lot of diversity, but we have got the Hmong community, we have the Russians, we have the native Americans, these are the ones that [may] require a different skill level.

Me: Right. And even what you say about not necessarily cultures as much as backgrounds, whether its socio-economic or educational. The ability to deal with that diversity, I can see that being very important.

Me: Any other things you see as key?

Janet: It is important to know what [scholars] & experts know, to stay on top. Not so much to implement everything as to glean from it, to pick what pieces will work. I don't believe you can pick up the "seven habits" and fit them all in. You can't pick up the 5th discipline and fit it into your organization. And you can use everything Tom Peters says, heaven forbid. He's great. I love to listen to him. But, you have to piece it all together, to make it work for you. So, its kind of ... it changes. You have to be flexible.

Me: Can you think of any other roles you might be asked to play, or hats you're asked to wear as a leader?

Janet: Mentor. Particularly for other department heads and other elected officials, given that I've had that background myself.

Problem solver. Visionary to some degree. I've always said that even though I'm an elected official, I don't make the vision, I just listen.

Me: One of the things I'm concerned with too, is identifying things that just don't work, whether it be from your experience, something you tried that didn't work out, or I'm sure in your situation you see, for instance the [philosophical] person you mentioned ineffective leadership styles. What would you say, from your experience, that leaders do, that are ineffective?

Janet: Blows them [as leaders] out of the water? One of the more noticeable is when they try to be autocrats and they are not inclusive in their thinking. They generally do not involve their employees in decision making. Not that they have to have a group decision making mechanism, but that they are not participatory. They tend to be more obsessed with their position than the job that they have to do. They do not make time to just chat with people. They have their nose to the grind-stone. And on the flip side, total mis-management of time, where you are always in that [me: chat mode?] yeah, or the 1st quadrant of the Covey model, [the country club management?] Yeah, but then, on the other hand always putting fires out, never being able to focus on the big picture, always dealing with small little things. That why I'm saying this is the person on the flip side. They let everyone in, doesn't leave time for them to gather their own thoughts, to get their own work done. It is a fine line. [Balance.]

Another thing that I find is a problem for some people, and it affects their leadership ability, is not offering training for their employees. And for two reasons. One is that they don't feel that they have enough time with the staff they have to allow them to attend, and secondly, maybe that they're worried that someone will be so well trained that they'll be able to talk about their job.

Me: And certainly, the literature talks about the most successful leaders as those who are training everyone to take their job. Which kind of ties into what you had said about what you had said about being obsessed with the title. There is a level of security.

Janet: Absolutely. Yeah. You have to have somebody coming in behind you. It would make me feel bad if I knew there wasn't anybody [capable of stepping in.] Of course, these people say that I'm not replaceable. [I'm being considered for an EPA position that is a presidential appointment.] And I keep thinking there are thousands of people who could come in and take this position.

[Janet has been in the position 1 1/2 years]

That's real critical. You have to provide the opportunity for employees to grow. And if you don't it really restricts your ability to grow. Because it is those training opportunities, not only the ones that you get, but also those that they get, that pushes your own envelope.

Me: Do you have any other [final] thoughts on leadership?

Janet: What I'm thinking of is how one evolves into leadership positions. And, I'm trying just to think back to how I evolved. 1st of all, I think you need to have confidence in your own decisions, and that confidence is recognized by others. And, that eventually, I guess that what I'm saying is that you have to recognize yourself as a leader first, and not go out one the street and say "I'm the leader, come along with me," because that never works. Like pushing a wet noodle. And it also doesn't mean accepting leadership positions. I think you have to be careful about that. You have to pick and choose what you personally think you'd be good at, which is why I'm saying that you have some ability. Because then you would never choose anything if you didn't think you could accomplish it. Which means that sometimes leaders take on too much, and they fail. There's a balance there that you have to make sure you're aware of.

Me: Do you think that that failure is one that happens and has to happen, or is it more going back to recognizing you limits? [Fine line]

Janet: Its some of both. You really do have to recognize your limits. And failure is good for you. It may not feel that way. It certainly is, and it gives you a new perspective.

Me: The other thing I've come across in my research, I'm also interested in mediation and conflict resolution, I've begun to see how mediation and leadership have a lot of parallels [Janet" um-hum.] The lit talks about the same personal characteristics being necessary... The same sort of strategies are sometimes employed, as are some of the roles... Its becoming clear that there are some parallels. What would be your take or opinion on a "Mediation model of leadership?" Do see that mediation as enough for a framework for leaders? Or, do you think there's more to leadership than just simply mediating?

Janet: I think there is a lot more to leadership than just mediation. Mediation is one of those roles that leaders play, but not necessarily in the reverse. I think in

leadership, the difference to me is that you have to be able to step forward and take charge. And mediation, to me, means being able to facilitate a resolution. That's not the entire focus of leadership by any means. What I think is that a mediator's skills have to be folded in to leadership. The leader has to have those skills, [Covey & his mannerisms] Covey's particular position about mediation and leadership is being able to understand problems and understand where people are coming from and making sure that you are capable of repeating succinctly enough what a person's issues are. That, carries from one to the other, mediator to leader. But it is hard to take the lead and direct if you don't really understand the problem. So I see those parallels.

Appendix E

Sample of interview notes (not recorded).

Interview notes with Geoff Badenoch
 Director, Missoula Redevelopment Agency
 April 7, 1997

Geoff's Background: With MRA since 1982, started right out of grad school as part time, promoted over 3 years, assumed director role and later appointed to director role. Reports to a 5 member, mayor-appointed board, has 4 people in his office that work with him. Interacts with all city departments, brings issues before city council. Also on several other boards including downtown association (a requirement of the job), credit union, carousel, pre-release, opportunity council

Factors that contribute to effective leadership.

Geoff noted that these are things he looks for in others as well as trying to do himself. The sorts of things that answer the question: Do I want to follow this person? Motivation: motivated by serving rather than by power. Willing to roll up their sleeves first. Desire to do. Vision: create and change things. Are we asking the wrong questions? Is there an opportunity to be seized? See where we are now, and where we are going (and how we get there). Intelligence, insight, understanding. People who do things to be in the limelight, for power, or for prestige don't last long: people don't trust them. Credibility: that you're going to do what you say you're going to do, and for the reasons you say you're going to do them. Accommodating: there are a lot of people who are disenfranchised, and the way they get un-disenfranchised is to get involved. That in itself is a form of leadership: they have the guts, drive, commitment, initiative to get what they need to change their situation. Many elected officials, in fact, were once disenfranchised people, and others began to turn to them. In the public sector, everyone believes they have a right to be at the table, and they do. Good leaders allow people access, and recognize and accommodate people. They also understand that good people can disagree. They avoid the temptation to vilify. Kemmis is a good example – he invited the people with whom he most disagreed to find a solution that worked best. You must find common interests, respect others interests, get past categorizing people based on how they voted on this issue or that issue. But accommodating does not mean equivocating or compromising. Another thing is strength and self-confidence: no one feels good about following a nervous leader. You have to believe, have confidence, and people will respect you and follow you. Ultimately, you must avoid gimmicks, and simply respect people and treat them like human beings. You'll get their creativity, hard work and loyalty if you do.

Admitting when you're wrong: people know where they stand with you.

Mistakes of ineffective leaders:

Not taking responsibility for their actions: Tell folks I'll take the heat, its up to me. You do your job here, but I won't ask you to go to the whipping post if it doesn't

work out. (No job worth doing is beneath your dignity: who will do it if you don't?) Poor leaders make "your kind of work distinctions."

Becoming too entrenched, not being open to new ideas. Sure, you're a good leader, so why change, right? The world demands you change. If you don't change your paradigm, you're doomed. Ultimate responsibility does not mean doing everything, it means taking responsibility for what others are doing. One must rely on others to do, think, plan. That's their job, and the leader needs to recognize when they do it well.

Poor leaders don't have a sense of humor. You must keep things in perspective... funny things happen. Good leaders see and share humor. A leader with no humor won't make people happy... they'll be effective **but...** Geoff employs gentle kidding, etc. Good leaders find out about people's lives, they let people be human, not schizophrenic, let the person who lives at your house come to work... people work to live, not live to work ... if you've got a sick kid, go take care of her. Good leaders ask after people: let them know they care about their lives... this usually leads to them gaining the respect and loyalty of their employees...

Mediation and leadership: Vision and insight seem to be common: leadership and mediation both need to understand what the problem (or conflict) is. A good mediator understands the world: knows that (a) the surface problem is not the issue, or (b), knows the environment (no one is this concerned about working on Thursday. There must be something else.)

A difference: in mediation, you have a conflict, people are disagreeing, where as in leadership, people have bought in to ideals, they agree. Conflicts are all about I have/you have, I want/you want. Mediation builds from that which you agree upon... you get to a place you agree and work forward from there.

An example is the Informed Consent theory used by the forest service. You must state the problem or opportunity in front of you in such a way that people agree yes, this is a problem. If you do this, someone may even have the solution.

In mediation, you must first agree on the problem before you can work on a solution. And, you don't have to surrender your values, but you do have to give consent. The idea of "least acceptable option" does not work if you can't agree on the problem.

Good mediators, like good leaders, don't take credit for the solutions. In mediation, it is important for people to take credit for the solution so they will buy in and comply with the solution. This is your solution. In business, leadership, the idea is that your contributions made this happen [these are a lot alike].

A difference is that leaders go looking for problems, while mediators wait for people to bring problems to them. Leaders have a vision, they look at their environment and how to fix and change that environment, going from A to B, and how to get there. The processes, people, and resources needed to get to be. They bring people along. Mediators guide people to an acceptable solution.

Mediators have more patience than leaders: mediators often see solutions unfolding, but can't say anything, other wise the solution would be theirs and not the disputant's. They are insightful and in tune. Leaders are often impatient: they step and say, "here's a problem and a solution."

Mediators are not contenders in everything, often, great leaders are: Odysseus. We remember leaders for having done something, whether good or bad: Ghandi (was he

a good mediator?), Hitler (definitely not a mediator), Roosevelt a broker rather than a mediator), Carter: who had integrity (mid east: mediator rather than leader), Reagan (charisma, sincerity... vision?) Raciot (not using his power).

A mediator, like a leader, needs confidence: Just like people need to have confidence in their dr., their lawyer, their leader... do people feel like their time spent with this person will be useful? (Goes back to discomfort with nervousness).

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