

AN ASSESSMENT OF THE RELATIONSHIP BETWEEN
COMMUNICATION AND LEADERSHIP

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PREFACE

This study, and the entire doctoral program, was undertaken in an attempt to learn both the basis and practical applications of administrative theory and leadership. Inarticulation, failure to recognize human worth and dignity, insufficient preparation and lack of understanding of problems and their consequences contribute to the failures of leadership and leadership communication. To begin to understand this phenomenon, a search was initiated for communication factors that contribute to leadership. Leaders were interviewed, face-to-face with the researcher, regarding their communication experiences and philosophy. In order to keep the study manageable, the scope of the investigation was limited to formal positions of leadership in state-supported institutions of higher education in Oklahoma.

Prior to conducting the study, many people graciously took the time to talk with me about the subject of communication and the frustration each of them felt in being left out of considerations that should play a part in administrative decision-making and leadership. They often had to depend on rumors to find out that they were expected to fulfill the unrealistic promises or policies made by the boss. "If they had asked me before they decided, I could've told them it wouldn't work," was a typical complaint.

Successful leaders are students of the organization of people that they attempt to lead. Successful students are products of

educational and environmental enrichment. Any success that I achieve is due to the enrichment of my life by others, it is not mine alone. I have tried to use the common sense and intelligence that I inherited from my family in order to understand, accept and put to good use the wisdom and encouragement of the people who have touched my life. Whether they contributed directly or indirectly to this thesis, I wish to thank and acknowledge the assistance of everyone who has offered me friendship, expertise and the opportunity to learn: my family and my friends.

TABLE OF CONTENTS

Chapter	Page
I. THE RESEARCH PROBLEM	1
Statement of the Problem.	1
Significance of the Study	2
Definition of Terms	3
Background of the Study	4
Assumptions	6
Limitations	7
Summary	8
II. REVIEW OF THE LITERATURE	9
Introduction.	9
Leadership.	10
Communication	14
Summary	20
III. RESEARCH DESIGN.	21
Introduction.	21
Population.	21
Sample.	22
Instrumentation	23
Data Collection	25
Treatment of the Data	26
Summary	26
IV. PRESENTATION AND SYNTHESIS OF DATA	27
Introduction.	27
Demographic Profile	27
Presentation of the Data.	28
Synthesis of the Data, Case by Case	53
Summary	63
V. ANALYSIS, CONCLUSIONS AND RECOMMENDATIONS.	65
Introduction.	65
Analysis.	65
Conclusions	70
Recommendations for Further Research.	82
Concluding Statement.	84

Chapter	Page
BIBLIOGRAPHY	87
APPENDIX	90

CHAPTER I

THE RESEARCH PROBLEM

Statement of the Problem

Research in education relies heavily upon the subjective evaluation of observable behavior. It is behavior that education attempts to influence or modify. If education is to succeed, the elements of behavior should be examined in an organized and logical manner. Educational administration is generally researched using survey methods, and survey research depends upon perceptions and attitudes of people. The descriptive case study is a form of research that blends the attitudes and perceptions of the researcher and subject to form conclusions about behavior, in this case, communication and leadership. Education should make use of all available means of research, and if education is to be on the leading edge of scientific research and development, then research should focus on the leadership function of education.

"Part of the effort to determine individual behavior takes the form of altering the conditions of behavior, including a conditioning of the individual by training, by the inculcation of attitudes . . ." (Barnard, 1968, p. 15). Altering the conditions of behavior is a form of education and leadership communication. Communication is generally included in listings of leadership qualities, however, other leadership qualities have received more attention from researchers. Before

leadership communication activities can be researched experimentally in an effort to predict behavior, communication must be subjected to fundamental research. The phenomenon of leadership communication exists, and now the research efforts must be directed toward the nature of the phenomenon.

Research on the topic of leadership suggests that communication is a fundamental element of leadership. What is not found in the literature is any research that indicates the magnitude or direction of the relationship between communication and leadership. The literature does not reveal any study that identifies specific communication factors which could be incorporated in a curriculum for leadership education. The purpose of this study is to assess the relationship between communication and leadership and offer some conclusions on the role communication plays in leadership activities.

The research assessment consists of a descriptive study of the communication background, activities, style and philosophy of leaders. A goal of the study is to generate information concerning factors of communication that could be introduced into the curriculum for the education of leadership.

Significance of the Study

The greatest body of educational research examining learning and teaching behaviors may never see the light of day unless people can be educated to lead others to accept the discoveries of research. Based upon personal observations, readings and interviews, the conclusion is that leadership appears to falter or fail when communication efforts of the leader falter or fail.

As Barnard indicated previously, leading involves altering the conditions of behavior. A premise of education is the alteration of behavior by introducing the learner to ideas and activities that promote changes in attitudes and observable behavior. There are additional ingredients to the process of education beyond the introduction of information, and those are the factors of communication that support the relevancy and benefit of new ideas and experiences.

If the directions, discoveries, and applications of educational research cannot be communicated so that they are accepted and built upon, then the leadership function of education has not been realized. "We have not yet learned to educate for leadership" (Austin, 1966, p. 60). If this statement is true, then leaders must discover the missing ingredients to successful persuasion and alteration of behavior. The failure of leaders to anticipate or resolve crises is a reflection of leadership education. Crisis and leadership communication is an aspect of this study on the relationship between communication and leadership.

Definition of Terms

Leadership is a cornerstone of higher education administration. Leaders are generally promoted from the ranks of faculty, rather than coming from the ranks of professionals in administration. Moving from the classroom to the executive office has inherent difficulties, not the least of which is the establishment of an image of leadership. The creation of an image relies on communication. Of all the components and qualities of leadership, communication appears to be the least understood.

These definitions are representative of the ideas and definitions found in the literature of communication and leadership.

Leadership

Leadership is a behavioral process manifested by a person who leads or attempts to lead others. For purposes of this study, leadership is designated as a position of formal authority.

Communication

Communication is a process for the purposeful exchange of information and ideas.

Leadership and communication are expressed as processes for establishing and maintaining relationships between people. The processes are deliberate and purposeful.

Background of the Study

The descriptive case study technique permits the interviewer some latitude in ". . . probing into the content of, and reasons for answers to questions" (Kerlinger, 1964, p. 468) and to generate information concerning communication and its relationship to leadership. A study of this type is the first step in educational research toward identifying fundamental factors that contribute to leadership communication. In a descriptive study, factors are observed and evaluated, and their contribution to behavior is assessed. Leadership is the sum of its parts and the object of this research is to dissect leadership communication and examine the parts.

In order to stay within the scope of the doctoral dissertation,

it was decided to research communication from the point of view of leadership in higher education. Leadership can be designated in conjunction with a formal position of authority. The leaders were chosen because they hold the position of president of a four-year public university, supported by funding from the state of Oklahoma. The leaders were interviewed on the subjects of their communication background, activities, philosophy and style, and with regard to the current crisis in funding public higher education in the state of Oklahoma.

The administration of every institution falls under the direction of a board of regents whose members, appointed by the governor for nine-year terms, are selected on the basis of their alliance to the institution and its mission. The members of this operating board of regents appoint the president to his office. There is a cluster of institutions that is governed by the same operating board. This cluster of institutions became the population for the research and the presidents of institutions operating under the same board of regents became the subjects for the research.

Funding for public higher education in the state of Oklahoma is accomplished through legislative appropriations of state revenues to the Oklahoma State Regents for Higher Education, a coordinating board for the statewide system of higher education. The regents, in turn, allocate funds to each institution in the system. Unanticipated shortfalls in state revenues have resulted in decreased state appropriations to the regents and reduced allotments to member institutions.

In 1981, the financial crisis was developing as a result of several factors: rising interest rates on bank loans, unsecured bank loans for oil exploration, and reductions in crude oil prices. In

1982, a federally insured, major metropolitan bank in Oklahoma collapsed and the exploration and production of crude oil in the state sharply declined, stopping the flow of windfall profits into the state's treasury. Public education had been a major benefactor of the windfall profits and now was expected to shoulder a major portion of the burden of revenue shortfalls. The funding crisis has focused attention on the communication function of leadership, at the state level, as well as the institutional level. Leadership responses at both levels are addressed.

Assumptions

The primary assumption is that leadership is observable behavior, and that an assessment of the relationship between communication and leadership can be accomplished by interviewing leaders concerning their communication efforts. The study is promulgated on the assumption that it is possible to start with leadership and assess communication background, activities, style and philosophy retrospectively.

The assumption is made that leadership is an integral part of the presidency of an institution of higher education. The president holds the highest position of authority in an institution of higher education in the state of Oklahoma. There are more than 40 such institutions in the state system of education. Interviewing the president of every institution is impractical and unnecessary, since one of the purposes of the research is to begin the process of uncovering the communication factors of leadership.

Because of the diversity of the student population and the mission of the institution, the leadership of a four-year institution is more

complex than that of a two-year institution, so two-year institutions were eliminated from consideration. The leadership of a doctorate-granting research institution is more complex than that of a four-year institution, but there are only two such comprehensive institutions in the state system, so the population was narrowed to public four-year institutions.

The assumption is made that the crisis in funding public higher education focuses attention on communication and leadership as the institutions absorb reductions in state-supported financing, while trying to maintain services. Attention is drawn to the efforts of leaders to define the crisis and address the consequences; communication plays a key role in this process.

Limitations

The descriptive case study utilizing a personal face-to-face interview has some limitations. Interview questions are difficult to construct because of possible ambiguity and bias. The questions must be submitted to a panel of judges for evaluation of ambiguity and validity. The interviewer can inject personal bias or provoke biased responses as a result of the presentation of the questions.

There is some lack of control because factors are not being manipulated; predictive results are not possible. The lack of randomization of subjects and the small sample size limit the generalization of the results, however, common sense can balance the perspective between results and generalizations.

The descriptive case study results are generally limited to analyses in terms of nonparametric statistics; counting, ranking and

content analysis, according to Kerlinger (1964). Nonparametric statistics analysis is suitable when the study does not rely on stringent population and sample parameters.

Summary

The system of education fails to produce individuals grounded in the fundamental elements of leadership, particularly the requisite skills of communication. A descriptive case study of leaders should provide enough information to assess the relationship between communication and leadership. This is the first step in educational research that is designed to serve as a frame of reference, rather than providing predictions of behavior. The results of the study might be suitable for incorporation in the curriculum of leadership education, a logical consequence to the research and a possible next step in observing the effects of communication on leadership.

CHAPTER II

REVIEW OF THE LITERATURE

Introduction

The areas of literature reviewed for this research proposal included: education, administration, educational psychology, industrial psychology, social psychology, the sociology of groups and organizations, speech, public opinion research, leadership, management, marketing, industrial engineering and communication. The review of literature focusing on communication and leadership covered the past fifteen years, which appears to represent the major body of research.

The focus of the review of the literature was to research the relationship between communication and leadership. Although a universal consensus was not found on the definition of leadership, two common themes emerged: leadership is manifested in relation to people in groups or organizations and communications is an important part of leadership. All of the writings indicate that a leader is a person who guides or conducts others, establishing a relationship with people. The authors intimate that communication is an element important to leadership; however, there has been no systematic exploration of the communication element, or how and why it functions in leadership. The following review offers material relevant to communication and leadership.

Leadership

Education and leadership are forms of behavior modification.

Leadership is a process that always occurs in relation to a group of people. In 1938, Chester I. Barnard published The Functions of the Executive which detailed his ideas on administration and leadership.

Leadership is the reciprocal process of mobilizing, by persons with certain motives and values, various economic, political, and other resources, in a context of competition and conflict, in order to realize goals independently and mutually held by both leaders and followers (p. 425).

Leadership is a reciprocal relationship between leaders and followers based upon needs, wants, motives and values. Leadership is a process that provides for vital group needs by exerting influence toward the attainment of group goals. Communication is how the needs and motives are made known to others; communication is how the leader initiates influence. "The influence relationship is based upon the motivations, perceptions and resources relevant to the attainment of the group's goals" (Patton, 1978, p. 54).

Anyone attempting to lead should have the pattern of attitudes and reaction tendencies common to the group. "The successful leader must have membership--character in the group he is attempting to lead" (Brown, 1964, p. 459). The leader emerges from a group of people who share many of the same perceptions and motives. "Effective leadership begins with the willingness to take responsibility for ensuring that the group's physiological and psychological environment is conducive to productive interaction" (Applbaum, 1982, p. 324). Barnard seems to agree by stating, "In most cases the end sought or the action taken represents motives of composite origin--social and physiological" (p. 18). Robert Kamm states specifically that, "In order to

lead, there must be achieved on the parts of the followers, an acceptance of, and a belief in the one who would lead" (1982, p. 5). The leader emerges from the group and directs the group members toward goal achievement, drawing from the expressed social, psychological and physiological needs and motives, as well as from the resources of group members and the environment.

"The group leaders' resources may be of many different types: formal authority, competence, centrality, ability" (Burns, 1978, p. 294). Robert B. Myers' pool of resources is reported by Kamm: "insight, initiative, cooperation, originality, ambition, persistence, emotional stability, judgment, popularity, and communication skills" (1982, p. 8). Leaders must use all of their personal resources to gain acceptance by the followers and stimulate goal-oriented behaviors.

Leaders must be competent in personnel and resource management. Groups are social systems that have formal and informal channels of communication (Hart, 1981), exert peer pressure, have a history, have their own perspective and can withdraw their support of leaders at the first sign of weakness, whether it is real or perceived. Because of the dynamic process between group and leader, any decision made by the leader must first be considered in terms of impact on the group.

"Yesterday's decisions and actions inevitably become today's problems. The effective executive must make decisions in terms of effects on the future" (Drucker, 1967, p. 104). A leader's perceptions of the impact of decision-making come from observing group members (Stone, 1981), assessing the human and physical resources of the group and learning the history of the group. ". . . a leader must be concerned with where a group has been, where it is at the present time and,

finally, where it is going" (Eisenberg, 1978, p. 191).

Kamm quotes Maccoby: "The primary tasks of leaders are to understand both motives and resistances to change . . . and explain the significance of the individual's role in the common purposes" (1982, p. 40). Felix A. Nigro once indicated that a leader must accept the probability that some subordinates may be more intelligent or more talented than he is (1963). The leader must be a student in that he must learn about the people he intends to lead and understand that group members have or may have leadership capabilities that can work for the group.

"The single most important foundation for any leadership course is history . . . our problems should be held against the light and wisdom of the past" (Stockdale, 1982, p. 24). History gives us a sense of perspective about the impact of our actions. History is a direct communication link with the successes and failures of previous leadership efforts.

There appears to be some support for a definition of a great leader as a great teacher. "Every great leader I have ever known has been a great teacher, able to give those around him a sense of perspective and to set the moral, social and motivational climate that prevails among his followers" (Stockdale, 1982, p. 24). Burns agrees with the teaching aspect of leadership: "Leaders can also shape and alter and elevate the motives and values and goals of followers through the vital teaching role of leadership. This is transforming leadership" (1978, p. 425).

Leadership, then, is called upon to transform resources and ideas into acceptable goals. Transforming leaders bring about change by

challenging followers to reach for what is beyond their grasp. "Goethe once wrote that you limit a person's potential by appealing to what he is and that, rather, you must appeal to what he might be" (Stockdale, 1978, p. 15). Drucker (1967) states the case somewhat differently:

The executive must set his sights on contributions, thereby raising the sights and standards of everyone. The executive must be able to stretch the capabilities of each employee in order to maximize the contribution" (p. 62).

Leadership is the education of those who would be led through changes in perceptions, attitudes and behaviors toward and beyond the attainment of group goals.

Corporate leaders are recognizing the shortcomings inherent in rewarding ". . . individual results without considering the longer-term impact on the company" (Atlas, 1981, p. 2). People are being fast-tracked into positions of authority, who have not been educated for leadership, particularly in academic institutions. "It is in the operations management of higher education that professional development of executive--managerial personnel tends to be weakest" (Millett, 1978, p. 52).

Evidently education is failing its own members. Madeline Green (1981) has come to some conclusions about leadership education:

. . . academic administrators have both little formal preparation for their jobs and little opportunity for professional renewal. Sabbaticals for administrators are the exception rather than the rule. Ironically, 'lifelong learning' is far more available to students and to the community than it is to those who provide it (p. 12).

Green calls untrained administrators "amateur managers" who participate in on-the-job training. To combat the influx of "amateur managers", "some colleges and universities have entered into consortium arrangements for the managerial orientation of new department chairmen"

(Millett, p. 54). Leadership and communication are dynamic processes for the development of human resources through education. Education is the tool for motivating and modifying behavior, as well as the medium for the exchange of information.

Communication

The strengths and weaknesses of education for leadership can be examined by researching the communication element of leadership. Leaders are beginning to pay attention to the importance of education and communication. A senior vice president of the First Atlanta Corporation stated, "If I could choose one degree for the people I hire, it would be English. I want people who can read and speak in the language we're dealing with" (Friedrich, 1981, p. 61). Perhaps the first prerequisite of communication is knowing the language, an acquired skill to be practiced and enhanced. Friedrich's article continues with comments from a corporate leader and an academician:

Reginald H. Jones, retired chairman of General Electric thinks that the top business schools do a good job, though they could do better at teaching communication skills. Stanford Business School Dean Rene McPherson states that: 'our students' writing ability was shockingly bad. The school began to evaluate students' papers for prose style and to have oral presentations taped and judged for coherence' (1981, 62-63).

"The successful leader does not talk down to people. He lifts them up. He must show that he respects the people whose support he seeks" (Nixon, 1982, p. 51). Leadership and education involve communication. The leader must educate the followers or he will not succeed. The followers must educate the leader or risk being led toward inappropriate goals. Communication is an exchange of information that must be uniquely tailored for the audience.

The actions and utterances of leaders frame and shape the context of action in such a way that the members of that context are able to use the meaning thus created as a point of reference for their own action and understanding of the situation (Smircich, 1982, p. 273).

Because leadership should serve this frame of reference function, educating for leadership communication is vital.

Educating for leadership means teaching skills aimed ". . . at interpersonal communication, at informing people about the communication strategy, at persuading them to do the work necessary to implement the strategy" (Rogers, 1978, p. 18). The existing criticism is that schools are turning out graduates that are not competent in leadership skills. ". . . there are some who wonder whether the essentials of management, particularly the quintessential mystery of dealing with people, can be taught at all" (Friedrich, 1981, p. 61).

Another shortcoming of leadership education is the ". . . subordination of creative thinking and performance recognition to a narrow, stifling market-oriented environment" (Berkwitt, 1969, p. 40). Open, two-way communication gives all group members the opportunity to question and test personal theories before committing resources to a project. Warren Bennis (1976) states the case for information gathering:

What it boils down to is that the man at the top has to develop a process through which he not only gets the right information, but also has at his disposal a system that can, with impunity, question his assumptions--which may be prematurely or even wrongly formed (p. 136).

A leader should give voice to the minority opinion in order to have alternatives upon which to base decisions. The minority opinion can be examined by not subordinating creative thinking and by opening both the formal and informal channels of communication to the free exchange of information and ideas.

Communication occurs in relation to people: individuals and groups. Lois Hart (1981) explains, "Achieving effective communication is especially complex because communication includes so many dimensions and demands. . ." (p. 23). The dimensions are functional and spatial, while the demands are organizational and interpersonal skills. If the goal of communication is to motivate behavior, then the dimensions and demands mentioned by Hart should be examined more closely. The examination should lead to a communication strategy to complement leadership.

A primary theme of the communication studies reviewed seems to be: consider the audience.

A major tenet of communication therefore is that the initiator of a communication knows something about the person or persons he wants to express his meaning to and then takes that knowledge into account in expressing himself (Fallon, 1981, p. 3).

"The trouble with executives as communicators is that in written report or speech--not to mention house organ, inter-office memo and business letters--they do not consider the audience" (Wakin, 1968, p. 68).

Why is it necessary to research and target your message for a particular group? "People need to understand a communication in order to give their best support to it. They need to accept an idea before they will do more than simply go through the motions" (Fallon, 1981, p. 29). "Many group problems result from the inability of leaders . . . to communicate with other group members" (Beal, 1962, p. 85). If a leader cannot effectively communicate information to his followers, then the group will not achieve its goals and may initiate a search for a new leader.

Organizations that are unable or unwilling to effectively create and exchange messages within their systems and between their institutions and environment will ultimately die. This is particularly true of institutions of higher learning (Goldhaber, 1978, p. 2).

Herbert Simon takes that notion a step further, "Without communication there can be no organization, for there is no possibility then of the group influencing the behavior of the individual" (1976, p. 154). "If a manager is a poor communicator--especially a poor listener--hours of people's time and dollars of company profits are wasted" (Fallon, 1981, p. 2). The adage that time is money is appropriate when considering effective and efficient communication and leadership. Everything we do consumes time, and once wasted, time cannot be retrieved or reproduced.

Communication means conveying information to influence behavior. Fallon (1981) states, "Writing is the single most effective method for objectively recording and storing and sharing complex information" (p. 209). Whether the communication is verbal or nonverbal, there are a number of elements to consider before presenting the information. Rice (1981) gives five essentials of communication: "know your product, know your customer, know yourself, plan your approach, and aim at satisfaction" (p. 30). William Keefe (1971) offers four purposes that communication should achieve: "it must be heard or received, understood, accepted and acted upon" (p. 44).

There is a communication cycle that incorporates the ideas presented by Rice and Keefe. The initiation of the message is accomplished by the leader after discerning the intended meaning of the information and the receipt of the information. The leader then conveys the message in a form and at a time that is uniquely suited to the

proposed recipient or recipients. The message must be received intact by the intended recipient and the recipient must attach the same meaning to the information that the leader intended. Finally, the recipient of the message must initiate a response, directed to the leader, indicative of understanding and acceptance of the information. These are dimensions and demands of communication for leadership. Failure at any point in the cycle will confound the issue and negate the leadership and the value of the communication.

The cycle of communication is a system that allows leaders and followers, teachers and students to learn and to share responsibility and accountability. "Leadership is dependent on the capability to marshal followers by communicating appropriate symbols and cues to establish consensus" (Darrow, 1979, p. 15). How does communication influence behavior, establish consensus? "Communication strategy using interpersonal media from credible sources has the highest probability of motivating behavior" (Rogers, 1978, p. 3). ". . . personal communication has a higher level of credibility than indirect or mass communication" (deSantis, 1978, p. 29). Edward Wakin (1968) issues advice on the subject by stating, "If advertising has taught us nothing else, it is that the quickest way to get a message across is by using direct, clear language" (p. 66).

While the leader must consider the audience, the audience considers the source of the communication. Norman Maier (1964) believes that "A leader's idea can get accepted if he conducts a permissive and stimulating discussion" (p. 471). Acceptance of the idea indicates that the group believes that the idea has merit. Discussion of the merits of the idea gives people the opportunity to present minority

views, "which lead to the improved quality of group thinking" (Maier, 1964, p. 471). Emphasized is the education function of leadership and communication, and that each must be relevant to people.

Each success in communication and leadership brings the group closer to goal achievement. Philip Van Auken (1981) states a case for communication and education, "There can be little question that inadequate or inarticulate communication can quickly destroy the effectiveness of any instructional approach" (p. 32). To be effective, leadership and communication must be understood. Leaders must not only send messages, they must also receive messages by listening to what others have to say. In the preface to Keefe's book, he explains:

The best rationale for trying to listen professionally: to be able to sort out of verbal exchange those obvious or hidden, but unexpressed, items of information that give depth and clarity and deep focus to mere words (1981, n.p.).

To grow and learn as a leader and follower mean listening to the intent of the words as well as reading between the lines. Keefe (1981) again:

The experienced listener knows or learns how to put across ideas or ask questions so that he can be understood. He avoids the pitfalls of language that goes over another's head, that confuses the issue or that is idiosyncratic to the point where only a small circle of initiates can grasp what is being said (n.p.).

There is a proverb that states: Nature gave us two ears and only one mouth so that we can listen twice as much as we speak.

Education for leadership should be able to expand the realm of influence through communication. Dr. W. Robert Parks is quoted as saying leadership is manifested through ". . . closely reasoned and clearly-expressed oral and written communications" (Kamm, 1982, p. 72). Communication competency is the ability of an individual to demonstrate

knowledge of the appropriate communicative behavior in a given situation (McCroskey, 1982). Leadership and communication are skills that must be acquired and practiced in order to be effective in influencing behavior.

Summary

The authors identified in the literature review suggest that leadership involves an assessment of the membership and the goals of the group or organization. Communication operates in the areas of assessment of the group, the exchange of information, and evaluation of the acts of leaders and followers. Leaders, somehow, are supposed to motivate behavior that is compatible with group goals, and communication is the key to that process, but the literature indicates that leaders are not as adept at communication as they might be. The literature indicates that leaders may lack the education and experiences associated with the process of communication, which is the purposeful exchange of information and ideas.

CHAPTER III

RESEARCH DESIGN

Introduction

The nature of the research is to assess the relationship between communication and leadership. The assessment is accomplished via descriptive case studies, utilizing a personal face-to-face interview with leaders. This chapter presents the rationale for choosing the population, sample, method of data collection, instrumentation and treatment of the data.

Population

The study was executed by means of the survey method commonly used in educational and social science research. A descriptive case study was employed in interviewing leaders on the communication element of leadership. The area of study was higher education administration. The sample for the research was culled from the general population of four-year public institutions of higher education in the state of Oklahoma.

Every higher education institution has an operating board of regents that appoint the president. Leaders are defined by the formal position they hold as presidents of four-year public institutions of higher education in the state of Oklahoma. The population is

exclusively male. The presidents were interviewed for their philosophy, background, style and activities in communication as an integral part of leadership.

Sample

A sample of the population of presidents was chosen on the basis of characteristics shared by public four-year institutions of higher education in the state of Oklahoma: educational mission, number of students enrolled, homogeneity of student population, and a common operating board of regents. The operating board of regents appoints the president to his office in the administration of each institution. Because of the diversity of student populations, missions of the institutions and levels of bureaucracy, two-year institutions and the two state comprehensive research institutions were eliminated from consideration because of their inability to provide a substantial basis for comparison.

Diversification of characteristics included the geographical distribution of the institutions and the diversity of leadership experiences of the presidents.

The institutions were chosen because of similar characteristics which would lend themselves to a basis of comparison. On the basis of the characteristics, a six-member sample emerged from the population. The presidents were chosen because they held a formal leadership position, the assumption being that leadership is an integral part of a university presidency. Leadership has been designated as a function of the position of authority held. The position of president is the highest position of authority in an institution of higher

education in the state of Oklahoma.

The number of subjects was small due to the case study approach and the exclusive nature of the population. Donald Rogers and Gerald Goldhaber (1978) have conducted communication audits and have supported previous findings that sample population size for surveys can be small and still yield relevant information.

Composition influences sample size as a function of the number of categories necessary to describe the significant characteristics of the audience. Prior information can also reduce needed sample size. The more information, . . . the fewer the number of factors that need to be considered. The more general the questions asked, the greater the error which can be tolerated and the smaller the minimum sample needed (p. 59).

The research question involved the general nature of communication and leadership, so the number of categories necessary to describe the significant characteristics was minimal.

Instrumentation

A review of research literature did not reveal a tested survey instrument that would assess the relationship between communication and leadership. A pool of original questions was developed in anticipation of devising an instrument with which to conduct a personal interview. The pool of questions generated covered the broad areas of communication background, activities, style, and philosophy. The questions were modified and refined until three primary categories of investigation into communication emerged: personal demographic information, personal philosophy and style of communication, and communication strategy during a crisis. Questions were arranged within each category to follow a logical sequence: each question was a logical

consequence of the previous question.

The questions were designed to elicit as much factual information as possible, as well as reasons for communication philosophy and style. Questions were deliberately designed to be open-ended in order to supply a frame of reference, yet minimize any restraint on possible responses. To enhance validity, leading questions were avoided.

A reasonable period of time, sufficient to conduct a personal face-to-face interview, was estimated to be 90 minutes. Interview questions were constructed in consideration of this time frame.

The interview questions were submitted to a panel of judges, in order to discover ambiguous wording and to determine validity. Each member of the panel had recently held or was currently holding a position of leadership in a public higher education institution. The judges determined that the questions were valid.

In order to acquire confidence in asking questions and to identify unanticipated difficulties, practice in conducting interviews was recommended. After validity of the instrument was established, a pilot study was undertaken to allow the researcher to conduct interviews, and further test the validity of the instrument and the amount of time required to conduct the interview.

To reduce biased responses, it was decided that the subjects would not receive a copy of the interview questions in advance of the interview, and that the subjects were assured a measure of anonymity--responses would be reported in the aggregate instead of reporting individually identifiable answers.

The interviews for the pilot study were conducted using the presidents of two, two-year public colleges. The responses to the pilot

study interviews were not used in the data base. The 90-minute time frame for conducting the interview was verified and accepted. As a result of the pilot study, adjustments in the instrument were not necessary.

Data Collection

Beginning in March, 1984, the six university presidents were reached by telephone by the chairman of the thesis advisory committee who summarized the nature of the study and background of the researcher, and then asked each president to participate in the study. The presidents were then telephoned by the researcher and their availability for a personal face-to-face 90 minute interview was determined and an appointment secured. The face-to-face interviews took place between March 19, 1984 and April 24, 1984.

At the outset of the interview, the researcher explained the basis of the interview and that anonymity would be afforded them; this was done in an effort to promote response veracity. The leaders were told that their answers would be reported in the aggregate. Each president was given a copy of the interview instrument, so that he might read the questions as they were being asked by the researcher. A request was made, and agreed to, by each president to allow the interview to be recorded on cassette tape, to assist the researcher in accurately transcribing the responses.

The instrument was administered by the researcher who recorded responses in writing during the course of the interview.

Treatment of the Data

Narrative descriptions of the responses of the six leaders are presented, case by case. Synthesis of the data highlights the results that have specific bearing on the relationship between communication and leadership. An assessment of the relationship between communication and leadership is offered, using the results that indicate communication factors shared by the leaders.

Summary

This chapter has presented the research design for the assessment of the relationship between communication and leadership. Subjects were chosen on the basis of holding the authority position of president of a public four-year institution of higher education in the state of Oklahoma.

The instrument for the research was of original design, tailored specifically for the population sample and incorporating the element of a crisis situation in order to focus attention on communication and leadership. The research instrument was tested for validity by a panel of judges and introduced in a pilot study. The instrument was deemed ready for use and was administered to the subjects.

CHAPTER IV

PRESENTATION AND SYNTHESIS OF DATA

Introduction

The responses to the interview questions are reported for each of the six leaders, case by case. The president and his corresponding institution are identified only by a letter of the alphabet, starting with the letter "A" through "F." Each of the six case studies is described in terms of the responses given to the interview questions and in the same numerical order as they appeared on the interview instrument, beginning with question number nine.

Questions one through eight describe demographic information and are reported as an amalgamation of the responses, rather than case by case. This description provides a profile of the presidents and their institutions without jeopardizing the promise of anonymity made to them before the interviews took place.

Demographic Profile

1. Five of the six presidents were born and reared in Oklahoma.
2. The dates of birth for the presidents ranged between 1923 and 1941; at the time of the interviews, the presidents were between the ages of 42 and 61.
3. Five of the six presidents were educated in Oklahoma, each

president holds a doctorate, and each president holds at least one college degree in the area of social sciences: history, psychology or general social science.

4. The tenure of the presidents range between six years and 17 years. At the time they began their tenure, the presidents were between 36 and 49 years of age.

5. Only one of the six presidents had been previously employed at the institution where he now serves as president.

6. All six of the presidents had held positions in instruction and administration in Oklahoma; four of them had worked in public school systems and five of the six had prior university experience.

7. Each institution has at least 2,000 students; four of the six institutions have student populations ranging between 4,200 and 7,500 students.

8. Each institution has at least 80 faculty members and four of the six have faculties that number between 160 and 250 members. Each institution has at least 100 staff members and four of the six have staffs that number between 100 and 200 members.

Presentation of the Data

Case Study "A"

9. The president described the basic mission of the institution as being determined by the Oklahoma State Regents for Higher Education. He emphasized the teaching and service functions of his institution over the research function.

10. The president reported that he had regularly scheduled meetings with the following advisory groups: administrator's council,

representatives of faculty groups, and the presidents of organizations. The meetings held with the organization presidents were on a monthly basis with no formal agenda and were usually luncheon meetings held in a cafeteria on campus.

11. The president acknowledged that he had not consciously sought to acquire communication skills prior to his appointment in a department of radio and television broadcasting for a public school system. Since that appointment, he has sought technical assistance on mass communication from experts in that area. He indicated that he believes that people in leadership positions have a responsibility to provide opportunities for administrators to utilize and experience mass media communication activities and facilities. He stated that he provides just such an experience for his junior administrators by inviting them to appear on his television program, sponsored by the institution.

12. In describing his philosophy of communication, the president stated that the function of a university is to teach and to communicate through a process of participation that involves people. He believes in utilizing every available medium of communication to maximum advantage. He indicated that he seeks people for information wherever they might be, instead of waiting for others to come to him.

13. The president stated that he does not follow any particular ideology of communication philosophy; his style has evolved from personal experiences.

14. The president's philosophy on participation in internal governance follows that of the Oklahoma State Regents for Higher Education policy, which is described in the institution's policy handbook.

15. Accurate information is channelled via the organizational

structure of the institution. The president indicated that he relies upon faculty for information and the normal procedures of governance.

16. For methods of communication within the institution, the president avails himself of opportunities to be seen on campus: walks across campus during class breaks, lunches with students and staff in campus cafeterias and attends campus activities. The president said that his policy is to make himself available to anyone who needs or wishes to visit with him. This policy of availability extends to the staff of the institution who are to provide every opportunity to serve the students and visitors to the institution.

17. Communication methods used with people outside of the institution include a regularly scheduled television program hosted by the president and his attendance at community activities and functions.

18. The president indicated that the changes he has initiated have been the establishment of a public relations department and an emphasis on increasing the communication between the president and the rest of the institution as well as enhancing the consistency of communications.

19. Any decision on whether to use verbal or nonverbal communication is determined by the situation; the president prefers to use verbal communication within the institution.

20. The president stated that he makes use of experts in preparing the means of delivery for the communication. He rehearses his message and practices his technique of delivery. He consults advisers as to the clarity of meaning intended in the communication.

21. The president feels that his most effective means of communication is via the television and radio media which rely on oral

presentation. He believes that his oral presentations are effective because of his thorough preparation, rehearsal and review.

22. To avoid misunderstandings, the president indicated that he relied on his methods of preparation for communication: research, review and rehearse.

23. The president indicated that his philosophy on correcting misunderstandings was to "do it up front", meaning to confront the person and the nature of the misunderstanding. He also indicated that there were misunderstandings that were not addressed and allowed to die of their own accord, due to the prevailing nature of the situation that spawned the misunderstanding.

24. Administrative decisions are implemented directly through the line and staff structure of the organization.

25. The president said that the transmission of vision occurs because of his preparation and his philosophy of being redundant. By redundancy, he explained that he meant that he builds a case for the point he wants to make and then reiterates it over and over again. He said that he has learned that he must involve the faculty early in the decision-making process and that to keep them involved requires the kind of redundancy he mentioned previously: keep the issue before them. He also mentioned that he has learned that the transmission of his vision does not include mandating change; threats do not work.

26. The president related his perception of the funding crisis as that of state-wide confusion on both the nature of the problem and any possible solution or consequences. He stated that the situation was difficult to explain, but that the basis of the problem was the shortfall in state revenues.

27. The president first learned of the funding crisis directly from the governor in October of 1982.

28. The president informed his staff the day after he spoke with the governor by calling a special meeting.

29. The crisis information filtered down to the rest of the university community via a memorandum directly from the president and through meetings held with various segments of the university community.

30. The president indicated that the crisis has necessitated increasing the speed at which decisions are implemented; the urgent nature of the funding crisis leaves no room for discussion.

31. The president spoke of the responses by the members of the university community for ways to reduce expenditures and the implementation of the reductions.

32. The president spoke of the necessity of two-way communication between the president and the people who provide the funding of the institution: the chancellor of the state regents, the governor, and the leaders of the state legislature. The president indicated that he was satisfied with the communication he has received.

33. Sources of accurate information were found to be the state's financial representatives. Such information was often exchanged on an informal basis.

34. The success of the communication efforts was reflected in the general condition of the university, according to the president. The condition was said to be a reflection of communication received and understood.

35. Perceptions as to obstacles to effective communication were

expressed in terms of insufficient preparation and understanding of the problems and consequences of funding higher education by those with access to mass media. This sort of misinformation has served to reinforce the resistance to raising taxes that would help alleviate the shortfall of revenue and the resentment toward legislators who seem to lack the commitment to do whatever is necessary to solve the problems.

36. The president indicated that the change in the manner of implementation has been the expedition of the process.

37. The president recounted a similar experience early in his career, but he emphasized that the magnitude of the current crisis was much greater than his previous situation.

38. There was no further discussion on the aspect of communication during this crisis.

Case Study "B"

9. The basic mission of the university was described by the president as the teaching of liberal arts, support areas, and preparing teachers.

10. The president reported that he had bi-weekly administrative staff meetings, regular meetings with the presidents of the student and faculty senates, and that he met with the general faculty at their request.

11. The president spoke of his efforts in conducting workshops on communication and counseling skills. He also indicated that experience had taught him to follow up oral discussions with written policy or statements that were the fruits of the oral discussions.

12. The president described his preference for one-to-one communication, a situation that allows him to "read" people, observing them and giving them his full attention. There are situations in which he prefers to set an agenda for discussion prior to meeting with the participants, in order to give them time to prepare and be ready to contribute. He believes in seeking information, and the people with the information wherever they may be.

13. The president said that his communication philosophy is dynamic, in that it varies with the people who are party to the communication.

14. With regard to internal governance, the president quoted the policy statement of the state regents and indicated that the policy was found in the faculty handbook.

15. The president said that he relied upon his top level administrators to channel accurate information to him.

16. The president stated that he employed group meetings as his method for communicating within the university. He indicated that he felt more at ease with this method and that it was compatible with his philosophy and style of communication. Policy decisions and statements stemming from the group meetings were committed to writing.

17. In communicating with people outside of the university, the president stated a preference for more formal communication, especially when developing strategies.

18. Changes in communication initiated by the president are primarily those concerned with the president's responsiveness to student issues and demands. The president feels that the importance of the students' rights and expectations deserves a prominent place among the

affairs of the university, and that increased feedback would be to the benefit of all.

19. The president stated that the nature of the information determined his use of verbal or nonverbal communication.

20. This president uses whatever means are available in the preparation of communication, including researchers and legal counsel. He rehearses the points he wishes to make, and familiarizes himself with the issues to such an extent that he uses a few notes when delivering his message, rather than a full text.

21. The president feels that he is most effective when expressing himself verbally and in person. He expressed his comfort in dealing with people face to face, a technique he acquired during his tenure in guidance counseling. He stated that he knows how to interview and be interviewed.

22. The president quickly responded that he does not avoid being misunderstood, since he cannot accurately predict what someone will choose to believe or not believe.

23. To correct misunderstandings, the president said that he goes over the issue again, unless the sensitivity of the issue would preclude such action.

24. The president indicated that administrative decisions were implemented through cooperative effort. He explained his response by stating that when he initiates an activity for development and planning, he leaves the issue with the appropriate committee and expects the members of the committee to research and prepare their recommendations in such a manner that alternatives are generated and that the best possible course of action will result. His philosophy is that

there is always a better idea.

25. The president indicated that the vision for the university is a reflection of the mission and future for the university. His philosophy is to work with people, recognizing the worth of the individual and their contributions. A cornerstone of his philosophy is to seek out trends, anything that would be part of the future for the university.

26. The president's perception of the funding crisis was that it will get worse before it gets better, and that the underlying problem was a bad tax base for the state.

27. The president first suspected that a funding crisis was a possibility when, in 1981, interest rates for loans began to decrease, and the state began losing interest money from deposits because of the lower rates.

28. The president informed his staff of his suspicions at a regular staff meeting in 1981.

29. The president presented his views on funding in memoranda and at the regular pre-school faculty meeting in August, 1982.

30. The president spoke of the necessity of being more astute on the issue of funding and reduction in funding. Changes have occurred in the area of communication, most notably the increase in regular communication that serves to keep the funding issue and information on the minds of those involved in the administrative processes of the university. By keeping the issue before the university community, the president believed that anxieties would be lessened and that people would be more likely to give their best efforts as a mutual expression of trust.

31. The university community had not been formally surveyed, but the grapevine network of communication was in full use by the president.

32. The president stated that he sees to it that he gets the information he needs when he needs it, not leaving the process to chance or others. He has his own formal and informal networks of communication that includes the presidents of other universities within the state and the community served by his university. He expressed his satisfaction with the communication he has received.

33. The president reported that his sources of accurate information have been his friends in the legislature. The rapport he has established with these legislators has been mutually beneficial.

34. Investigation by the president is the primary tool of evaluation. The president carries out his investigations by visiting with students at the student center on campus, daily. He said that he makes a point to talk with a variety of people in order to get a broad sampling of opinions.

35. The president stated that the greatest obstacle to effective communication was "stupidity." The president stated that he works hard to stay informed on the issues concerning his university and that he works just as hard in keeping the university community informed. He believes that he has established such a level of trust between himself and his constituency, that the people he serves are confident of his ability and comfortable in letting the president be president, without interference or undue criticism.

36. The president stated that there has been no change in the implementation of decisions.

37. The president related a similar incident that took place at this institution prior to his appointment as president.

38. There was no further discussion of crisis communication.

Case Study "C"

9. The president described the basic mission of the university as teaching general education in order to prepare students for their chosen career, especially in service areas.

10. The president reported that he meets with top level administrators on a weekly basis, and the faculty periodically. He stated that he attends student activities regularly.

11. This president is an author and a voracious reader. His skills in communication are an outgrowth of these activities as well as his study of history and the work he did with the federal government.

12. The president described his philosophy of communication as the art of listening intelligently to what others have to say. As he listens, he mentally plots his strategy for understanding what is being said and how he can best make himself understood. He aggressively seeks others for information and ideas. He emphasized that he devotes a great deal of energy to mental strategies, especially long-range planning.

13. The president cited existentialism as a fundamental component of his communication philosophy.

14. The president stated that he had an open door policy on internal governance and that the policy was stated fully in the faculty handbook.

15. The primary means for channeling accurate information to the president was the president himself; he actively seeks out people and ideas.

16. The favorite method of communicating by this president was verbal, that is, let others talk while he listens. Experience and study have taught him how to listen, in order to discover the meaning behind the words.

17. The president communicates with people outside of the university by taking an active interest in community organizations, being accessible to those outside the immediate environment, and keeping abreast of politics.

18. The president indicated that the flow of communication to and from his office was more free than it had previously been.

19. The president stated that a decision to use verbal or nonverbal communication was made on the basis of which would effectively minimize conflict. He went on to state that he generally reserved nonverbal communication for indirect means of communicating.

20. The president indicated that he relied upon self-preparation in advance of communicating. He does ask for critiques prior to delivering his message.

21. The president favors the written word for effective communication, in addition to listening intently to the spoken word. He indicated that he practices listening, giving his full attention to the speaker in order to understand the message.

22. The president avoids being misunderstood by practicing how to understand others.

23. The president corrects misunderstandings by listening, detecting the underlying cause, and then presenting his point in terms the person can understand and accept.

24. The president's decisions are implemented through the normal line-staff structure of the organization.

25. The president explained that he transmits his vision to others by listening to what they have to say in order to obtain their point of view. He then uses that angle to persuade and motivate others to acceptance and action.

26. The president's perception of the crisis was that it was an unfortunate situation.

27. The president first learned of the crisis in October, 1982.

28. The president relayed the information to his staff at that time, October, 1982.

29. The crisis information was presented to the university community via group meetings.

30. The crisis prompted the president to confirm teaching assignments for the coming year earlier than usual. This allowed the faculty to make their future plans with a greater degree of certainty.

31. The university community was surveyed during group meetings.

32. The president indicated that his knowledge of politics and politicians served him well in obtaining the information he needed and that he was satisfied with the communication he had received.

33. The president spoke of his personal friendship with the governor and its value in fostering an exchange of information and ideas.

34. The president has judged the success of his communication

efforts to be good. His faculty is staying instead of seeking employment elsewhere, and there have been no cuts in the number of faculty.

35. Because of the perceptions and remedies expressed by leaders and citizens, the president perceives a lack of reality on the part of the people in positions of governance and the people affected by the crisis.

36. The president indicated that the crisis has not affected the implementation of administrative decisions.

37. The president related an experience of a similar nature that occurred while he was on the staff of a university in the state.

38. There was no further discussion of communication aspects.

Case Study "D"

9. The president described the basic function of the university as teacher education and liberal arts.

10. The president reported that he meets with his administrative staff on an "as needed" basis. He meets with the general faculty each semester and with the faculty council twice each semester. He arranges "get-acquainted" lunches with members of the faculty and staff in an effort to expose as many different facets of the university to as many people as possible, in an amiable atmosphere.

11. The president conducts seminars on the management of stress. He indicated that he needs the stimulation of such seminars and workshops in order to rekindle his spirit.

12. The president described his communication philosophy as a policy of being honest, open and forthright. He believes that the president is the architect of the university, a facilitator who should

actively seek information and ideas and blend them together.

13. The president does not subscribe to a communication model.

14. The president stated the state regents' policy on internal governance and that the policy appeared in the faculty handbook. In explaining the governance guidelines, he stated that the university was not a democracy, but that each member of the university community had a responsibility for the governance of the institution.

15. The president indicated that experience has taught him what to look for in accuracy of information.

16. A primary method employed by the president in communicating is to be visible, and therefore accessible. He attends campus activities whenever possible.

17. In communicating with people outside of the university, the president relies on formal methods. He believes in participating in community activities and he believes that the community looks to the university for leadership.

18. The president said that one of his first activities as the new president was to walk through the business district of the town adjacent to the university and introduce himself to the local business people. He wanted to let them know that he was just as ready to serve them as he was to serve the students of the university.

19. The president stated that his decision on communication methods was instinctual and that he equated nonverbal communication with visible acts.

20. The president's response was that the situation usually dictated the involvement of others.

21. In describing effective means of communicating, the president

emphasized the joint faculty-administrator "get-acquainted" lunches he mentioned previously. He believes that such conferences foster a mutual appreciation of honesty.

22. The president spoke of the perpetual hazard of being misunderstood. He thinks that it is important to know when to be silent and to learn how to listen with an open mind. He finds that misunderstandings occur because of inarticulation, the inability to clearly and cogently state ideas.

23. In order to correct misunderstandings, the president goes directly to the source and attempts to clarify the point to be made.

24. Administrative decisions are implemented through the chain of command; the vice president of administration and the vice president of academics direct the implementation of decisions from the president.

25. The president transmits his vision by developing rapport and trust with people. He recounted his experience in learning that people do not respond well to threats; therefore, if you want to persuade someone to your point of view, you must recognize and acknowledge the worth of the individual.

26. The perceptions of the president were that the state was slow to realize the crisis.

27. The president stated that he had some early hints that a funding crisis was developing. His personal investigation uncovered comments that lent credence to his suspicions. His suspicions began taking shape in February and March of 1982.

28. The president first informed his top level administrators of his information at a luncheon in July of 1982.

29. Information concerning the funding crisis was presented to the rest of the university community in January of 1983.

30. The crisis has prompted intensified efforts to keep the university community informed concerning the implications and effects of policy decisions. There has been a general increase in awareness of the role of faculty in internal governance and the role of the state in supporting higher education. The president emphasized that he has tried to find ways to reinforce key people in his administration in order to keep the talent he recruited and feels is necessary to the administration of the university.

31. The president said that the university community had been surveyed for their views on the funding crisis with the holding of meetings using a town hall format. The president also described his method of "snack bar diplomacy" where he visits with the people of the university in their own territory, rather in his office.

32. The president reported that he considered communication from the chancellor of the state regents and from the governor to be necessary for him to fulfill his leadership role. The president expressed his displeasure and dissatisfaction in not receiving information in a timely fashion. The president was pleased with the information and cooperation he received from his own staff members he considered vital to the operations of the institution.

33. The president's most reliable sources of accurate information continue to be his friends serving in state government.

34. The president spoke of the difference in attitudes and the results of meetings and conferences as indicators of the success of his communication efforts during the funding crisis.

35. The president expressed his perception of an obstacle to effective communication during the crisis as a lack of leadership at top levels of state government. The president explained that the reluctance of state leadership to take the initiative in acknowledging the crisis and planning toward a resolution of the problem had given rise to a grass roots campaign among citizens and state college presidents to examine the issues and educate both the legislators and the citizenry on the causes and effects of revenue shortfalls.

36. The president indicated that there had been no changes in decision implementation due to the funding crisis.

37. The president indicated that he had experienced similar crises, but not with this measure of pervasive uncertainty.

38. There was no further discussion on communication and the funding crisis.

Case Study "E"

9. The president described the basic mission of the university as teaching.

10. The president indicated that he met regularly with his administrative staff, and once a month with the academic deans and non-academic deans council. He reported that he met most frequently with his vice-presidents and business manager.

11. The president had not sought to acquire skills in communication other than to critique the presentations of others.

12. The president's communication philosophy is to provide rumor control; facts are investigated by his staff, then he takes control of the issue.

13. The president said that his communication philosophy was not based upon any particular ideology.

14. The president explained that his philosophy on internal governance was detailed in the faculty handbook. He indicated that his challenge as president was to educate the faculty on the nature of their responsibility in governance and to facilitate their acceptance and execution of that responsibility.

15. The president said that he depended a great deal upon his vice-president for academics for accurate information. The vice-presidents attend the various meetings of faculty and staff organizations and the minutes of these meetings are relayed to the president by vice-presidents.

16. The president stated that he employed both formal and informal methods in communicating with people inside the institution.

17. In communicating with people outside of the institution, the president spoke of the use of his director of public relations and his personal role as host of a monthly television program.

18. The president described the changes he had initiated since he assumed his post as a complete reorganization of the communication system. He said that he has opened the channels of communication for a more free exchange of information and emphasized the accessibility of the president.

19. The president said that he utilizes verbal communication at every opportunity.

20. When preparing communication, the president said that he makes use of a speech writer for a rough draft of the presentation but writes the final version personally. He indicated that he confers

with the appropriate vice-president on matters germane to the situation.

21. The president said that he believes that he is most effective when communicating with small groups of people, and that he prefers one-on-one communication. He believes that he can better understand what is being said, and can be better understood, in a situation where few people are present.

22. The president indicated that one does not avoid being misunderstood. Personally, he reacts to the tone of voice of the speaker in order to detect any misunderstanding.

23. To correct any misunderstanding, the president said that it must be dealt with, not ignored. He deals with misunderstandings as quickly as possible and one-to-one with the person involved.

24. The administrative decisions are implemented via the organizational structure of the institution.

25. In explaining how he transmits his vision, the president said that different people require the use of different means of communication. He said that it is necessary to make an effort to share and offer encouragement as a basis for transmitting his vision. He indicated that trial and error of experience has taught him about individual differences and that people will not cooperate when any sort of threat is imposed.

26. The perception of the funding crisis expressed by the president was that it was the "worst situation in memory."

27. The president indicated that he first learned of the funding crisis from the announcement of state senator Marvin York in October of 1982. Mr. York was speaking as president pro tempore of the State

Senate.

28. The president relayed the information to his top administrators during a regular meeting of that body in November, 1982.

29. The information was presented to the rest of the university community in several ways: via the administrative structure, luncheons hosted by the administration, and a series of meetings for the purpose of making adjustments in the budgets of the university. The budget meetings serve to keep the community informed on the latest developments.

30. The president indicated that one effect of the crisis has been to increase the frequency of communication flowing in and out of his office. Special faculty meetings have been called in order to provide faculty members with a forum on the subject of budget cuts and employment.

31. The university community was surveyed on the subject of the funding crisis at special faculty luncheons for selected members.

32. The president indicated that communication must come from the legislature and the chancellor of the state regents. He expressed his satisfaction with the communication he had received, but indicated that he felt that the students had been left out of the discussions on the causes, effects and solutions surrounding the funding crisis. He also emphasized the importance of internal communication and the success achieved in that area.

33. Sources of accurate information for the president have been the chancellor of the state regents, the educational adviser for the governor, the legislature, and the Higher Education Alumni Council of Oklahoma. The president indicated that he screens the information he

receives from each source for relevancy and consistency.

34. The president said that in order to judge the success of his communication efforts it was necessary for him to know the truth of the matter and to keep the faculty well informed.

35. The president described obstacles to effective communication as the false statements coming from the media. He believes in fighting fire with fire so he counters those false statements with statements of his own issued through the local news media.

36. The president said that he has found it necessary to act more quickly when implementing administrative decisions.

37. The president spoke of similar crises that he had encountered in his career, but he said that none of them approached this one in scale.

38. There was no further discussion of crisis communication.

Case Study "F"

9. The president stated the basic mission of his university was to provide the educational opportunities for students to learn how to make a living and how to make a life.

10. The president indicated that he did not hold regular staff meetings. His open door policy allows a sufficient and satisfactory exchange of information and ideas. He does meet on a regular basis with the deans' and faculty council, meets twice each month with the presidents of campus clubs, and he lunches each Monday with anyone and everyone as part of a continuing dutch treat affair that provides campus and townspeople alike the opportunity to visit with the president.

11. The president related his experience in acquiring communication skills by describing his doctoral thesis. His research had formed his philosophy on how people learn and change their attitudes. He has authored several texts and has experience in television broadcasting.

12. The president's philosophy of communication is predicated on how people form their opinions. He stated that he listens to the words and the meaning of the words. He seeks information and people who have the information he desires. He maintains that honesty is the best policy for a president, and he endeavors to sustain the credibility that he has achieved. He said that one must work toward interacting with people and not threaten, in order to achieve lasting results.

13. The president reiterated the model for his communication philosophy: the manner in which people form and change their attitudes. Assessment of attitudes is fundamental to communication efforts.

14. The president noted that the prevailing philosophy on faculty participation in internal governance was the state regents' policy, which appears in the faculty handbook.

15. The president said that he had a personal network of communication that provided him with accurate information. He mentioned city government leaders and members of the local chamber of commerce as an example of his network.

16. The president stated that he makes use of memos and notes in communicating with people inside the university, on an informal basis.

17. In order to communicate with people outside of the institution, the president uses his position as a member of local boards of directors, clubs, committees and organizations to present his point of view and to seek the point of view of others.

18. The president indicated that the major change that he has initiated in the system of communication was to be available to anyone wishing to visit with him.

19. The president admitted that he did not consciously deliberate before using verbal or nonverbal communication.

20. The president stated that he has made use of researchers, public relations analysis, and legal counsel when preparing communication. He related that he asks for critiques of drafts, and for issues to be studied from the perspective of public relations.

21. The president feels that his most effective means of communicating is one-to-one interaction, a philosophy based upon his study of values and attitudes.

22. The president said that to avoid being misunderstood he "reads" people, a kind of nonverbal feedback to him. By this method he knows when he is understood correctly and when he is not.

23. When misunderstood, the president stated that he investigates the matter quickly. He has learned not to make promises that he cannot keep, and he has learned to be consistent when communicating. He believes that misunderstanding is a cumulative value attitude that can be detected and disarmed.

24. The president uses the organizational structure to implement administrative decisions, generally through the vice-presidents. He stated that policy is committed to writing.

25. The president explained that he transmits his vision to others by overwhelming them with information. He attempts to convert others by sharing information with them and offering his understanding of their point of view.

26. The president's perception of the funding crisis was that the crisis existed for the entire state, not just for higher education. The president indicated that the tax structure of the state was to blame for the problems attendant to declining revenues.

27. The president said that he learned of the crisis from the governor on November 6, 1982.

28. The top level administrators learned of the crisis at the same moment as the president because they were in attendance at the meeting between their president and the governor.

29. The rest of the university community was informed of the crisis in November of 1982, through special meetings and published accounts in newspapers.

30. The president indicated that the crisis had increased the need for formal communication from his office. The communication attempted to explain the organizational philosophy and procedures that were being affected by the funding crisis.

31. The university community was surveyed for their views on the funding crisis as part of the special meetings mentioned previously. The crisis prompted cuts in positions and services and the advance knowledge of such cuts did invoke a certain amount of disruption. The president explained that some staff members expressed their discontent in knowing well in advance that their employment would be terminated.

32. The president expressed his satisfaction with the communication he has received from the chancellor of the state regents and the legislature. He stated that he has found it necessary to visit with the university comptroller and the deans on a daily basis, during the funding crisis.

33. The president said that he has found all of his informational sources to be accurate, but that attitudes have had to change.

34. The president indicated that he judges the success of his communication efforts by the reaction of the people affected. He acknowledges success when he observes beneficial attitudinal changes in the people affected by the communication.

35. The president perceives conflicting accounts from the media as obstacles to effective communication. He believes that when information is left out of a news account that people jump to the wrong conclusions.

36. The president has not made changes in decision implementation.

37. The president stated that he had experienced similar crises in his career. He pinned the blame on insufficient planning for growth as a cause for a similar financial crisis.

38. There was no further discussion on the subject of communication and the funding crisis.

Synthesis of the Data, Case by Case

The profile of the demographic information of the six presidents revealed several characteristics that are shared by these men. Each of them holds a degree in an area of social science and all of them

hold doctorates. All six men have instructional and administrative experience in Oklahoma and four of the six have experience with public school systems. Each president oversees the administration of a university that includes at least 185 faculty and staff members and a population in excess of 2,000 students.

The characteristics of education, instruction and administration shared by these men indicate a foundation that will lend support to the factors of leadership communication to be presented in the case by case synthesis of the data which follows.

Case Study "A"

This leader had a fairly typical career before becoming president. He climbed the ladder of educational administration in a sequential fashion.

This leader diligently pursues the art of communication from a technological standpoint. He is familiar with educational television and radio broadcasting for public schools and supports the development of mass communication at the university. He hosts his own television program and provides an educational experience, in a practical setting, for the administrators serving under him. These practices underscore his statement that the function of the university is to communicate and teach.

The president utilizes a variety of communication methods to gather information for himself and to disseminate that information to the university community. He has also studied how people relate to one another and he uses it to his best advantage to promote and facilitate interaction. To choose the communication medium and

technique that will have the greatest impact, he relies upon his experience in evaluating situations and people.

The funding crisis did not have any substantive effect on the communication efforts or philosophy of the president. His handling of the situation is consistent with his expressed opinions.

This leader emphasized that it never hurts to listen, that he is willing to accommodate others and that one is never so good that there is no room for improvement. He believes in being prepared and is not tolerant of people who are not prepared. To him, leadership is being prepared to communicate, being prepared to lead and being prepared to serve.

During the interview, the president seemed sincere in his convictions and was gracious with his time. At times, it appeared that the president was so engrossed in his recollections that he was abruptly silent when an interview question was interjected. The president related several stories to illustrate his many points.

Case Study "B"

This leader's educational career appears to be an unusual combination of science and social science. When questioned about the departure from science, the president said that he enjoyed working with people toward the resolution of their problems. Counseling, cooperation, information and communication tempered with mutual respect and honesty define the philosophy followed by this president.

The president's leadership activities take their direction from his communication philosophy. The mission of the university and the organizational structure are compatible with the expectations and

needs of the students and community served by the institution. He conducts workshops on communication to acquire as well as to hone his skills. He is devoted to being accessible and visible. He takes every opportunity to seek the ideas and opinions of others. His communication philosophy is successful to the extent that frequent meetings with staff, faculty and students are not necessary. When meetings do take place, the president has made sure that all parties are to be prepared for meaningful interaction and that courses of action will be the immediate result of the meeting.

The personal communication network maintained by the president helped him to prepare himself and his institution well in advance of the official announcement of the funding crisis. The changes resulting in budget cuts and overall reduction of expenditures has gone much more smoothly than might have been expected.

The president expressed sensitivity in answering the interview questions and in his thoughtful consideration of each question before answering. He listened intently to each interview question asked and paused to think before answering. His answers were consistent with his expressed views and the manner in which he treated the interviewer. The president seems to practice what he preaches: be honest, have respect for others, be forthright and conduct a personal investigation of the issue at hand. This president and leader makes use of his intuition and experience in order to understand the verbal and nonverbal messages delivered to him.

Case Study "C"

The educational and professional career of this leader has followed one general route: explore the social relationships of societies and nations. A lifelong study of history has enabled this leader to learn how people relate to one another under varying circumstances. His tenure as president attests to the success of his efforts to correctly identify and resolve the problems inherent in providing the services of education in a public university.

The president has an insatiable appetite for the written word, so he reads everything he can. He also takes the time to seek others and let them tell him what is on their minds. He conducts his investigation for information in this manner. The information is analyzed through his historical perspective. After considering the information, the president considers the audience and customizes his message so that it will be understood and accepted by the recipient.

This leader is a mental strategist who is able to listen to the words and the meaning behind the words, formulate a strategy and then deliver an answer that is relevant and cogent. The president has achieved success because his fascination for history and people has taught him how to communicate. He plans a communication campaign; he listens in order to obtain the speaker's point of view, uses that angle in offering his own point of view, and then he listens again for signs of mutual understanding.

The president has dealt with the funding crisis in a manner consistent with his philosophy of communication. He used his own network of communication to gather information about the crisis, he exchanged

information with others and developed a strategy for dealing with the reductions in expenditures and employment positions. The president's handling of the funding crisis has seemingly provoked little resentment and the president reported that his faculty members are not seeking employment in a more financially stable environment.

The sense of history that this president possesses guides him toward the underlying symptoms of generic problems. This gives him a head start in identifying potential problems and in formulating a strategy for dealing with them. He believes in dealing with the facts and reality in a straightforward manner and his statesmanship is indicative of that philosophy.

Case Study "D"

The presidency of a public university would not seem to be a logical next step in the professional career of this leader. However, like the other presidents, he was a leader in his own right before his appointment as president. His background in public service to the state has prepared him for the intricacies of university administration.

Policies, rules and procedures are the primary means of communicating the acceptable behavior of citizens of a society. The president is prepared to research the facts and formulate conclusions within a framework of rules, policies and procedures. He is also aware that there are hidden meanings to the words and actions, verbal and nonverbal behavior, of others and that it is his responsibility to uncover the truth.

This president is aware of the problems associated with leadership

and communication: loss of perspective, stress, isolation, and diminished effectiveness. To counter these problems, this president conducts and attends workshops and seminars on the management of stress. He said that he enjoys this activity because it serves to rekindle his spirit. This activity and statement serve to highlight the philosophy of this president to aggressively seek the truth and provide opportunities for others to do the same. This leader believes it is his duty to be a facilitator in the marriage between resources and people.

As a facilitator, the president creates opportunities for interaction among segments of the university that might not otherwise interact. He sponsors get-acquainted lunches and promotes the idea that it is to one's advantage to be available and to listen to others.

The communication philosophy of this president has had a positive effect in promoting cooperation among the members of the university community affected by the funding crisis. The president dealt with the crisis immediately and let his communication strategy take care of keeping people informed and keeping the lines of communication open. His methods let people know right away of the effect the crisis was going to have on them.

The president's desire to be visible and accessible may be affecting his ability to sustain the level of interaction that he prefers. He was attentive and courteous throughout the course of the interview. He concentrated on listening carefully to each interview question, but it was an intense effort, the sort of concentration that attempts to force an opening in a sea of thoughts, rather than the sort that alerts the senses to incoming information.

The external demands on the time and talents of the president and the demands he places on himself may result in diminished ability to communicate and lead effectively. His ability to manage stress and rekindle his spirit can allow him to ameliorate the difficulties encountered. His ability to establish rapport with his audience and to keep an open mind and open channels of communication should make it easier for him to recognize the magnitude and pertinence of problems and issues that are a part of any presidency.

Case Study "E"

The presidency of a public university is a logical step in the sequence of the professional career of this leader. He has made a study of administration in an educational setting and he is proficient in administration. This president stands atop the bureaucratic structure of his institution, directs the top line administrators in their duties and then expects and allows them to function within established administrative guidelines.

Skill in communicating with others has come from the trial and error school of experience, for this leader. He recognizes the differences between leading and managing: people are led, resources are managed. He is adept at managing the affairs of the institution. He also shows great insight into the relationship of leadership and human interaction. He has established and maintains regular lines of communication with the university community. He stated that rumor control was a fundamental element of his philosophy of communication. The president believes that it is his duty to isolate the rumor, determine the facts and reveal the truth of the matter as quickly as

possible. Preoccupation with rumors dissipates energy among employees that would normally be directed toward the service of education.

This president uses every available means and media of communication to seek the facts and deliver his message. He has a full-time public relations department and he is the host of his own television program. Although he has a multitude of modes of communication, he realizes that individual differences mean using different approaches, when trying to achieve effective communication. Each attempt to communicate stems from the perspective of one who investigates the issue to discover the facts and then acts quickly and decisively.

The president has dealt with the funding crisis in a manner consistent with his philosophy of administration and leadership. Communication is the essential ingredient in human relations. Everyone has the responsibility to investigate the issue for the facts and deal with the matter in an open and forthright manner. Having accomplished that, people can move on to other matters.

Case Study "F"

The educational and professional careers of this leader have had mirrored movements from the educational application of science, to educational administration and then to the study and application of human values and attitudes. Science and social science may not appear to be related; however, they both encompass logical relationships and expectations. Logical relationships and expectations are both tenets of communication and leadership.

This leader has done a great deal of study involving communication as a function of how people form and change their attitudes and

values. He has put his knowledge into practical application by authoring several textbooks and participating in television broadcasting.

This president has established his credibility by practicing what he has learned about attitudes and values. He listens intently to the words of a speaker and endeavors to correlate the words and meanings to underlying attitudes. His assessment then allows him to communicate using methods and media that have the greatest chance of sustaining or changing the attitude of the recipient of the communication.

In order to change values and attitudes, the president arms himself with as much information as possible and he uses the information to overwhelm people. Two requirements are that the information be accurate and that the president be honest, because mass communication presents too many opportunities to be caught issuing a false declaration.

The funding crisis has been dealt with in a manner consistent with the president's communication philosophy. He is not afraid to let people know what is going on and actually encourages them to be as informed as possible. He realizes that people do not respond to threats or mandates in a positive and accepting manner. Different people react differently and they require communication that is in keeping with who they are and what they need to know. The president has tried to explain the scope of the crisis to the university community and it appears that the president feels that the community has a realistic grasp of the situation.

Summary

This chapter has offered a presentation and synthesis, case by case, of the data collected from personal interviews with six leaders serving as presidents of public universities in the state of Oklahoma. The data represent information regarding the communication background and philosophy of each leader and how they operate in conjunction with a current crisis situation common to all six leaders and universities.

Individually and as a group, they are self-reliant men who actively pursue and participate in a free flow of communication and the facilitation of human interaction. They lead others to action from a position of strength fortified by information and honesty.

The investigation of communication covered the three areas of background, philosophy and style, and crisis response. Communication factors that contribute to leadership emerged from these three areas.

The backgrounds of the six presidents form a pattern of communication factors which relate to education and experience. The education of these men encompasses extensive university training and a concentration in history, psychology or general social science. Each man has experience in creating an image of credibility through a medium of communication: publishing, broadcasting, or establishing regular lines of communication.

Philosophy and style of communication form a pattern of leadership communication factors. Philosophy and style evolve from education and experience. These presidents conduct their own investigations for information and ideas. They practice dealing with facts instead of suppositions and they practice forming messages that have

that have clear and consistent language.

The responses to the financial crisis have been consistent with the communication background and philosophy expressed by the presidents. The frequency of communication through formal and informal channels has been increased. The objective has been to communicate information, to those people affected by the crisis, that will minimize confusion and apprehension.

Initiators of communication must deal with prevailing attitudes and perceptions. The presidents have found ways to gauge the effectiveness of their crisis communication strategies in relation to these attitudes and perceptions.

The next chapter presents some conclusions on the contribution to leadership communication suggested by the factors and patterns presented in this chapter.

CHAPTER V

ANALYSIS, CONCLUSIONS, AND RECOMMENDATIONS

Introduction

In this final chapter, the relevancy of the data is discussed. An assessment of the relationship between communication and leadership is offered. The results of the research indicate that there are communication factors that these leaders have in common. Such an interpretation is subject to the limitations of descriptive case study research using a small sample. Possible applications of the research are presented, in the latter part of the chapter. Recommendations for further study in communication and leadership conclude the discussion.

Analysis

The presidents used a variety of terms to describe their experience, philosophy, and style of communication. In order to cull the factors of communication from the responses given by the presidents, it was necessary to employ words or phrases that represented the essence of the response.

The following compilation of communication factors is presented in descending order relative to the number of presidents who share the factor.

Six presidents share these factors:

holds a college degree in a field of the social sciences.
 have experience as a teacher.
 maintain an open-door policy of accessibility.

Five presidents share these factors:

hold regularly scheduled meetings with advisory groups
 or individuals.
 aggressively seek people for information and ideas.
 maintain high visibility by walking through campus during
 breaks between classes, dining in campus facilities or
 attending campus activities.
 prefer verbal communication over written communication.
 consult with experts on the content of communiques.
 resolve misunderstandings quickly.
 do not threaten or mandate change.
 establish a personal communication network.
 recognize individual differences
 prefer face-to-face, one-on-one or small group meetings.
 facilitate opportunities for interaction.
 investigate issues personally.

Four presidents share these factors:

promote mutual honesty and respect.
 evaluate communication by gauging the reactions and
 attitudes of university personnel.
 require two-way communication with policy makers.
 participate in local community activities

Three presidents share these factors:

have experience in television broadcasting.
 use media technical assistance.
 use formal written communication to transmit policy.
 keep issues before the people to enhance acceptance.
 read people by listening intelligently for underlying
 meanings.

Two presidents share these factors:

author books and articles.
 participate in workshops or seminars regarding communi-
 cation.
 review and rehearse communication presentation.

The presidents also described obstacles to effective communication:

insufficient preparation.
 insufficient understanding of problems and consequences.
 conflicting and misleading news media accounts of issues.
 failure to recognize the full reality of the situation.

lack of leadership by some people in higher authority.
inability, at times, to fully articulate concerns and
needs.

For the purpose of assessing leadership communication, factors can be grouped into five general categories which operate dependently. The categories are: education and experience; personal research, study, and investigation; interaction efforts and opportunities; enhancement of reciprocal understanding; and, obstacles to effective communication.

Education and Experience

hold a college degree in a field of the social sciences
have experience as a teacher
have experience in television broadcasting
author books and articles

Personal Research, Study and Investigation

aggressively seek people for information and ideas
consult with experts on the content of communiques
establish a personal communication network
investigate issues personally
evaluate communication by gauging the reactions and attitudes
of university personnel
read people by listening intelligently for underlying meanings

Interaction Efforts and Opportunities

hold regularly scheduled meetings with advisory groups or individuals
maintain an open-door policy of accessibility
resolve misunderstandings quickly
prefer face-to-face, one-on-one or small group meetings
facilitate opportunities for interaction
require two-way communication with policy makers
participate in local community activities
participate in workshops or seminars regarding communication

Enhancement of Reciprocal Understanding

maintain high visibility by walking through campus during
 breaks between classes, dining in campus facilities or
 attending campus activities
 prefer verbal communication over written communication
 do not threaten or mandate change
 use media technical assistance
 recognize individual differences
 promote mutual honesty and respect
 use formal written communication to transmit policy
 keep issues before the people to enhance acceptance
 review and rehearse communication presentation

Obstacles to Effective Communication

insufficient preparation
 insufficient understanding of problems and consequences
 conflicting and misleading news media accounts of issues
 failure to recognize the full reality of the situation
 lack of leadership by some people in higher authority
 inability, at times, to fully articulate concerns and needs

These factors and categories operate dependently and provide a framework for leadership activity. While the factors are derived from the responses of the presidents, the categories supply a frame of reference for the factors. The boundaries of the framework and the contents of the categories will change in proportion to particular situations or activities associated with leadership.

Each president has studied a discipline of the social sciences: history, psychology or general social science. The social sciences explore the development of relationships between societies and individuals. The development of relationships can be manifested through instruction and the projection of self-image through broadcasting and publication; these are experiences that these leaders have in common.

All of the presidents conduct some form of personal research. Some of them depend on a personal communication network for accurate

information or to filter and evaluate communication from other sources. Most of the presidents said that they make a point of regularly leaving their office either to walk through the campus or linger at the cafeteria so they can actively engage people in conversation. By listening carefully to what people have to say and by observing the people of the university as they go about their daily business, the presidents are able to evaluate the effects of their communication efforts.

When developing the ways and means of communication, these presidents strive for interaction. All of these presidents want to be accessible to the people who need them. They have an open-door policy that serves as a conduit for expression. These presidents prefer face-to-face meetings so they can use their experience and knowledge to exchange information, resolve misunderstandings and facilitate understanding and cooperation.

The presidents utilize their education, experience, research, and capacity for interaction in order to understand the needs and motives of others and to make themselves understood. The other categories of communication factors provide the structural support for the attitudes and values relative to understanding. The presidents state that these factors are effective in promoting understanding through communication.

An obstacle to effective communication is the antithesis of a factor that contributes to leadership: insufficient education and training, lack of personal preparation, inability to interact effectively with the organization and its people, and the lack of understanding of problems and consequences. Ineffective communication promotes ineffective leadership.

These communication factors sustain the leadership efforts of the presidents interviewed. The following sections of this chapter present the basis for this analysis and the assessment of leadership communication.

Conclusions

Any discussion of the results and conclusions of the research should consider the effectiveness of the interview instrument. It was an original design that was intended to invoke the types of responses that would provide insight into the research question.

The instrument performed as expected and provided responses relative to the relationship of communication and leadership. In the course of responding to the interview questions, the leaders sometimes gave answers "out of turn," rather than in the structured, numerical order. When that occurred, it was a simple matter to make a note of the response and then to ask the leader for a confirmation or an elaboration of the response later on.

The interview format and instrument were chosen in order to elicit as much information as possible from the leaders regarding communication. The most disappointing aspect of the research was the lack of specificity of the responses. None of the leaders could identify, with any consistency, how they evaluated the information they received, how they processed it, or what the determinants were for choosing the method of communication. For the most part, these leaders did not identify people or experiences that had shaped their philosophy or style of communication, a problem that could be addressed in an extension of this study.

The factors shared by the universities proved to be a workable foundation upon which to build an assessment of the relationship between communication and leadership. The universities serve primarily undergraduate students by offering liberal arts and teacher preparation. The primary function is to provide strong, fundamentally sound instruction. That is what the academic communities have wanted, and apparently, that is what they are getting from the universities. Enrollment at each institution has either remained stable or has increased.

Each of the six leaders holds a doctorate. Each leader earned at least one college degree in the area of social sciences. Three of the presidents earned degrees in history, two earned degrees in psychology and one earned a degree in social science.

What do those disciplines within the social sciences have in common? Social science, history and psychology offer a perspective on how people socialize, how they live together and relate to one another, and the circumstances that affect and modify behavior. These leaders have systematically studied people, behavior and circumstances that affect human relationships. Education depends upon communication and successful communication depends upon being educated about human relations. Successful communication and education depend upon knowing the history of human relations, the psychology of human relations and the social context of human relations. By studying the social sciences, these leaders have learned the underlying motives that pervade human relations, ". . . motives of composite origin--social and physiological" (Barnard, 1938, p. 18).

Each of the leaders indicated, or said outright, that much of

their philosophy on communication and leadership was the sum of their experiences and on-the-job training. Each leader had a chance to observe and learn about human nature and administration before becoming president. Each president had been an instructor, and had the experience of educating and communicating. These experiences constitute what Brown (1964) meant when he said, "The successful leader must have membership . . . in the group he is attempting to lead" (p. 459). Leaders who emerge from the group they are attempting to lead have a foundation for credibility.

Every president has participated in at least one of the following communication activities: authoring books or articles, producing or hosting a television program, conducting seminars or workshops, or counseling. These activities demand that one must attract and then sustain the attention of the audience. These activities also emphasize some of the items in the pool of leadership resources described by Myers, ". . . insight . . . initiative . . . ambition . . . communication skills" (Kamm, 1982, p. 8).

The communication strategy of each leader involves investigation; an idea that was not present in the literature of communication and leadership. All of the presidents conduct personal investigations to discern the facts and truth of an issue. They are fact finders who aggressively seek information. Sometimes the investigation is used to make a decision, sometimes it is used to collect information about trends, and sometimes it is used just to keep the network operating and the channels of communication open.

The presidents meet regularly with the people who render the greatest service, as perceived by the president. The presidents

mentioned that they regularly leave their offices to walk through the campus and mingle and talk with students, faculty and staff. These men take the presidency to the people, in cafeterias, snack bars or along sidewalks. Most of the presidents mentioned that a favorite source of information was custodial and maintenance personnel. These communication activities are what Bennis (1976) described as the processes that every leader must develop in order to get the right information.

All of the presidents endeavor to work closely with the people of the community where the university is located. The presidents hold memberships in civic organizations and boards of directors of various community enterprises; this is another example of the group membership characteristic mentioned by Brown (1964). Not only is each president active within his community, but top level administrators are encouraged to do the same. As a group, the presidents indicated that the success of their institutions was dependent upon meeting the needs of the community. The communities have communicated their wishes to the universities and the institutions are responding.

A factor of communication common to the presidents was the art of listening. In the literature review, Fallon (1981) and Keefe (1971) described the pitfalls of being a poor listener, the merits of knowing something about the audience and using that knowledge to express meaning. The art of listening involves concentration, knowing the meanings of words, achieving perspective, possessing a sense of history, and having knowledge of human behavior, particularly attitudes.

Every president prided himself on being able to "read" people. When questioned, they answered that reading people meant

observing everything from posture, or body language, to grammar. Verbal and nonverbal communication is what these presidents "read" from people; it includes the art of listening. The art of listening can be acquired and practiced. The presidents believe that their ability to read people is greatly enhanced if communication takes place face-to-face and in small groups. This higher level of credibility through personal communication is a perception supported by deSantis (1978).

The crisis in funding public higher education in the state of Oklahoma has had the effect of highlighting the importance of communication and leadership research. Because they were in touch with governmental leaders, the crisis did not come as a complete surprise to any of the presidents. The surprise was that the funding crisis was of enormous proportions and that the leadership of the state was reluctant to acknowledge it or bring it under control. The economic decisions of the state government during the years of windfall profits contributed to the conditions that precipitated the financial crisis. "Yesterday's decisions and actions inevitably become today's problems" (Drucker, 1967, p. 104). State officials were faulted for their lack of demonstrated leadership; state leaders did not recognize or correctly interpret the trends in revenue collection; and they did not communicate with the people who are responsible for budget decisions.

The lack of leadership and full disclosure, at the state level, prompted a grass roots revolt in which the citizens demanded that state leaders open the channels of communication. The university presidents attempted to educate the citizens and legislators on the causes and effects of revenue production and shortfalls. As Barnard (1938) stated, "Leadership is a reciprocal process of mobilizing

resources . . . in order to realize goals independently and mutually held by both leaders and followers" (p. 425).

The presidents used their personal communication networks to investigate the crisis and to influence the leaders of the state. The presidents wanted the legislators to get the right information that Bennis (1976) had mentioned. They wanted to restructure the state's tax base to increase revenue; that was their alternative to decreasing state funding to public higher education. The influence exerted by the presidents was not entirely successful. The budget of every institution has been reduced.

In the literature review, attention was called to Fallon's (1981) idea that people need to understand an idea before they can accept it. The presidents used meetings and personalized letters in order to explain the effects of the funding crisis to university personnel and to invite comments and suggestions. This action is part of what Burns (1978) described as ". . . the vital teaching role of leadership" (p. 425). For the most part, the presidents utilized small group meetings to state the position of the university. This was in keeping with their philosophy that the facilitation of interaction and mutual understanding take place in an atmosphere where their personal credibility is high, in face-to-face meetings. In such an atmosphere, they could utilize their ability to read people. The presidents also took the opportunity to use the educational function of leadership to facilitate faculty and staff realization of duties and responsibilities. Smircich (1982) would evaluate these activities in terms of shaping a frame of reference for the actions of group members.

The presidents indicated that it became quickly apparent that

people wanted to know, with certainty, the security of their position of employment. The presidents stated that such information was best communicated by formal means, such as statements issued through local news media and through written policy statements circulated via the organizational structure of the institution. This idea is promoted by Fallon (1981) in the literature review, "Writing is the single most effective method for . . . sharing complex information" (p. 209).

This pattern of communication was predicted by Hart (1981), "Achieving effective communication is especially complex because communication includes so many dimensions and demands . . ." (p. 23). All of the presidents said that the frequency of formal communication had been increased, in order to ease the apprehension of employees and students. They all emphasized the necessity of being honest and consistent when communicating. The complaint stated most often among the presidents was that of the absence of truthful and consistent information coming from mass communication media. Apparently, newspaper accounts of the causes and effects of the funding crisis varied widely, and at times completely misinformed the audience. The presidents became astute at recognizing the possibilities for misunderstandings to occur. They also became aware that they must act quickly to correct misinformation. The actions of these leaders in reading people and events served to maintain their image of leadership.

The presidents, in varying phrases, expressed their recognition of the value and worth of people, paralleling the statement by Nixon (1981) that a leader " . . . does not talk down to people . . . he respects the people whose support he seeks" (p. 51). The presidents said that an understanding of individual differences affects the

president's ability to persuade and motivate others to action. All of the presidents felt that their communication methods worked to their best advantage in facilitating interaction.

Every president expressed a concern for the public relations aspect of communication. Each president perceived a need to establish his image as president and leader. The image is based upon communication that is honest and consistent. As Darrow (1979) stated, "Leadership is dependent on the capability to marshal followers by communicating appropriate symbols and cues . . ." (p. 15). The idea of public relations is a frame of reference for choosing appropriate symbols and cues. All of the presidents said that they maintained their image by being visible and accessible and measuring their communication efforts against their public relations standards.

Assessment

Was leadership manifested by the presidents? Yes. These presidents exhibited behavior designed to create an image of credibility and acceptance and to motivate others to action. The exhibition of leadership behavior cannot occur without some form of verbal and non-verbal communication.

To educate is to communicate the experience of what is known and the speculation of what might be. Education and communication are mutually dependent, one does not operate without the other. Education cannot occur without the successful transmission of visions. The transmission of a vision utilizes the purposeful exchange of information. The vision of education encompasses knowledge, ideas, attitudes and relationships. Communication is a process for the

purposeful exchange of information and ideas.

Leadership is a form of behavior modification, and the key is communication. The presidents, as leaders, established an image of credibility and an atmosphere of trust. They had all studied historical models of social relationships and these presidents are now operating within a society that is a public university. The communication efforts of these presidents help to establish and maintain the human relationships necessary to sustain leadership.

Leadership is expressed as a relationship with another individual. The presidents use their ability to communicate their perspectives, knowledge, ideas and experience in order to modify the behavior of members of their organizational group; the group includes the members of the university, the members of the local community, and the members of the hierarchy of higher education.

The leaders of these universities have mastered many factors of communication with which to modify behavior and sustain their leadership position. These factors of communication include: personal investigations, experience with the various media of mass communication, formal and informal communication networks, the art of listening, the facilitation of interaction and understanding, knowledge of social relationships, consistency, honesty, and the recognition of human worth and dignity. All of these tools of leadership communication and education are used to transform the resources of the organization into the means of achieving the goals of the organization. The people of the organization are led through changes in perceptions and attitudes and their behavior is modified accordingly. This is a basic tenet of Burns' (1978) transforming leadership.

Perceptions, attitudes, ideas, visions, experience and information are all part of communication and leadership. What you are doing at this moment is a part of communication. You are reading printed words that have been designed to attract your attention to the perceptions, attitudes, ideas, experiences and knowledge that are part of the foundation of communication and leadership.

The relationship that exists between communication and leadership is one of dynamic perceptions. The ever-changing nature of these perceptions is in direct proportion to the events and values of human relations. As in physics, for every action there is a reaction. The actions and reactions of leaders and followers provide the ground rules for communication. For every act of leadership, there is a corresponding reaction of the followers, and vice versa.

The role of communication is in the assessment of the context, message, relevancy and responses of the actions and reactions of leaders and followers. Communication is the essence of this continuing educational process of modifying behavior; relating the experience of what is known and speculating on what might be.

Applications

The applications of the results and conclusions of the research can be made whenever communication takes place. Communication can be evaluated in terms of the establishment of relationships and the modification of behavior.

The original intention of the research was to discover some specifics on the topic of communication that could be incorporated in courses of instruction for leadership. That application can still

be made. A course in leadership should include practical experience in investigating sources of information, studying social behavior in organizations, studying the psychological roots of attitudes and values, practice in listening and practice in communicating verbally and nonverbally to make oneself understood.

Leadership is a form of behavior modification. The leaders that were interviewed had modified their communication behavior, as a result of their study and on-the-job experiences. A simulation of these experiences can be carried out in a laboratory designed in conjunction with the curriculum of leadership education.

When someone is called upon for a presentation of any kind, and the presentation turns out to be irrelevant, incomplete or misleading, people can be heard to say that the presenter did not do his or her homework or does not know what he or she is talking about. In other words, the presenter was not prepared. Any leader's ability to lead is dependent upon successful preparation. Communication experience and effort is a process of preparation for the purposeful exchange of information and ideas.

The curriculum of leadership education should contribute to the preparation of leaders by promoting the study of the historical perspectives of human relations. Several authors that were mentioned in the literature review decried that lack of skill in dealing with people and the inability of leaders to articulate their ideas and intentions. It would appear that the curriculum should include the study and practice of language arts: vocabulary, grammar and their appropriate use.

Perhaps the greatest challenge in the application of these

findings will be in educating leaders to be teachers. Burns (1978) described that process as the transformation of resources and ideas into acceptable goals. Transforming leadership challenges followers to reach beyond their grasp, from the known to the unknown. If leaders are to succeed in such a transformation, then they must learn how to teach others; they must learn how to communicate.

One of the applications of this research could be the development of criteria that could be used in evaluating the preparation efforts of leaders to communicate and educate. The presidents that were interviewed expressed their perceptions on the absence of preparation and open communication efforts on the part of state leaders, in connection with the funding crisis. These presidents were offering an evaluation of leadership that was based upon communication criteria.

Some of the authors cited in the literature review touched on the subject of creative thinking, how to promote it and how to subordinate it. The presidents that were interviewed did not indicate that they have or do not have any method for promoting creative thinking. The necessity for promoting creative thinking is evident in the criticism of state leaders, by the presidents, for their inability to address the problems associated with revenue shortfalls.

Descriptive case studies are limited with regard to statistical analysis, but that is also an advantage. The design allows the researcher to freely explore relationships without a general preoccupation with statistical comparisons and analyses. Even in light of the limitations, any application of the research results will still be a test of the relationship between communication and leadership.

Recommendations for Further Research

There are several recommendations to be made. The research should be replicated in order to broaden the data base. The section of the interview instrument that deals with the funding crisis could be amended to fit a new situation, dropped, or incorporated into one or both of the other sections. It would be useful to devise an instrument that would elicit specific responses to specific questions about the people and experiences that have shaped an individual's philosophy and style of communication.

Research could be conducted by studying the factors of communication noted in this study. In an experimental setting, a researcher could observe the effects of the influence of communication factors on leadership and on perceptions of leadership effectiveness. The factors that might be suitable for study include: articulation, knowledge of policy and procedures, long-range planning, written and oral interpretations of events and attitudes on the subject of leadership, parameters of decision-making, and the assessment of group or organizational goals. The manipulation of the cycle of communication identified by Keefe (1971) would also provide an evaluation of leadership; communication ". . . must be heard or received, understood, accepted, and acted upon" (p. 44). A breakdown in any part of the cycle will negate the intended effect of the leadership act.

This research explored the communication aspect of leadership from the point of view of the leader. The scope of the research should be expanded to include the exploration of the leadership aspect from a communication specialist's point of view. Both points

of view could be compared, and the effectiveness of leadership communication could be evaluated.

Historical research would be desirable, in order to gauge the validity and reliability of the instrument and the thesis. Biographical and autobiographical accounts of leaders would serve to expand the data base and probably prompt changes in the interview instrument that could elicit responses with increased specificity.

Additional study of the relationship existing between communication and leadership could be conducted using negative aspects of communication, such as, the perceptions that accompany the release of misinformation, the disregard of human dignity, the closing of channels of communication, or the cessation of leadership preparation.

An interesting arena for the further study of communication and leadership would be politics. The political arena might support a longitudinal study of communication and leadership. A possible outcome of the study might be an index of successful communication strategies that would be of value to candidates, and of special value to voters who could use it to evaluate the potential leadership effectiveness of a political candidate. A variation of this theme would be the development of criteria that would assist in the evaluation of leadership preparation. The outline of the criteria could be made from the five categories of leadership communication factors described previously: education and training, personal research, interaction, understanding, and obstacles to effective communication.

Concluding Statement

One area of communication and leadership that was not explored in the interviews was the use of time to contemplate or meditate upon the importance of the elements of communication and leadership. The presidents indicated, for the most part, that they had not given a great deal of thought to the dimensions of communication and the corresponding importance to leadership.

As a research design, the descriptive study is extremely useful in promoting the creativity of the researcher to invent the means or modes of research that generate a great many possibilities of phenomena association.

The gracious cooperation exhibited by the leaders was gratefully received. The leaders were sincerely interested in assisting with the research. Since all of the leaders expressed a preference for personal face-to-face communication in order to foster mutual understanding, it appears that the personal interview is a good method for conducting leadership and communication research.

The evidence gathered through the review of the literature and the personal interviews with leaders suggests that communication has as many parts contributing to the sum of the whole as does leadership. The evidence further suggests that leaders have not made a concerted effort to learn, appreciate and utilize the dynamics of communication; their knowledge of communication has been through the trials and errors of on-the-job training. Perhaps the research of communication and leadership can provide a new strategy that will supplant on-the-job training with the strategic planning required

of effective leadership in an increasingly complex social system.

This descriptive study of leadership communication has presented the presidents' points of view. There are no statements made concerning the effectiveness of their leadership or the relative significance of the results. Six presidents reported what they chose to report.

Face-to-face personal interviews were conducted in order to allow the researcher to observe any nonverbal clues of significance. Although there were no clues that would alter the results of the study, there were some nonverbal clues of interest. Observations included the ease with which most of the gentlemen participated in the interview; the effects of practice, perhaps. The researcher was greeted enthusiastically, ushered into the office, offered refreshment and usually guided toward a comfortable seating area. There were some presidents who altered the ritual by seating themselves behind a desk, opposite the researcher. The techniques of guidance counseling suggest that interaction is facilitated by the removal of obstacles or barriers to the free flow of communication; however, some people are not comfortable in the presence of strangers unless they can place an object between themselves and the visitors or be able to lean against something or manipulate or hold something in their hands.

The levels of insight, sensitivity, and shrewdness displayed by these gentlemen was a surprise. They went beyond superficial answers to superficial questions in order to explain their philosophy, but they were still unable to explain the paths of logic that brought them to their philosophy. As part of their personal research efforts, it could be said that the presidents conduct their own descriptive studies. Conducting descriptive study research is a costly and time

consuming endeavor, and it is difficult to determine if these presidents comprehend the logistics and complexities of investigation. The researcher must be astute in eliciting significant responses.

For this research and interview study, time was the largest expenditure: developing and studying the research question, constructing and testing the interview instrument, securing appointments, driving 2,000 miles to conduct the interviews face-to-face, sorting and analyzing the data, and finally, rendering logical and applicable conclusions. Time is a budgeted commodity of leaders and the demands of leadership may not be conducive to thorough research preparation and execution.

These leaders are aware of the advantages of education and communication expertise; there is more for them to learn and more to be learned from them. All of them offered advice on leadership and communication: keep it simple so the audience can understand, do not make threats or show disrespect because it will promote alienation, do not postpone leadership decisions because it worsens the situation, and in a crisis, leadership communication is expected to stabilize the environment by informing people and minimizing confusion.

Education, leadership, and communication are complex issues and successful achievement in each area depends on the ability of the individual to recognize and utilize the concepts of each area.

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APPENDIX

INTERVIEW QUESTIONS USED TO ASSESS THE RELATIONSHIP BETWEEN COMMUNICATION AND LEADERSHIP

This instrument will serve to generate information regarding the relationship between communication and leadership during a crisis in funding higher education in Oklahoma.

By focusing on the element of communication as a function of leadership, it is hoped that communication components unique to leadership will be identified. Communication, for our purposes, is defined as a process for the purposeful exchange of information and ideas.

Please be assured that the results of these interviews will be reported in the aggregate, rather than as quotes attributed to any individual participating in the interviews.

* * *

I. Demographic Information

1. Where were you born and reared?
2. What is your birthdate?
3. Which colleges or universities have you attended; what was your major field of study; what degrees have you earned and when were they granted?
4. How long have you been president of this institution?

5. Have you held other positions at this institution? If so, describe them.
6. What was your professional experience, on or off campus, prior to your arrival at this institution?
7. What is the approximate number of students enrolled at this institution?
8. What is the approximate number of: faculty? support staff?
9. What is the basic mission of this institution?
10. With which advisory groups or individuals (administrative, faculty, staff, students) do you have regularly scheduled meetings?
11. How have you sought to acquire skills in communication? Have you: done special readings? attended workshops or seminars? published books or articles? made presentations at workshops, seminars, organizational meetings or conventions? conducted workshops or seminars in communications?

* * *

II. Personal Philosophy and Style of Communication

12. Describe your personal philosophy of communication.
13. Is your communication philosophy or style based upon a particular ideology? If so, please identify it.
14. What is your philosophy on faculty and staff participation in internal governance? Is there any written policy to that effect, e.g. a faculty handbook?
15. What methods or individuals do you rely upon to channel accurate information to you?

16. Which methods do you employ, both formal and informal, in communicating with people inside the institution? Why?

17. Which methods are used in communicating with people outside of the institution? Why?

18. Since assuming the presidency, what changes, if any, have you made in the existing system of communication?

19. How do you decide whether to use verbal or nonverbal communication?

20. In the act of preparing verbal and nonverbal communication, is there anyone whose expertise and/or advice you seek? (for example, speech writers, researchers, legal counsel).

21. What do you feel are your most effective means of communicating? Why?

22. How do you avoid being misunderstood?

23. How do you correct any misunderstandings?

24. How do you implement your administrative decisions?

25. How do you transmit your vision: how do you persuade others to your point of view and motivate them to action?

* * *

III. Communication Strategy During Crisis

26. What is your perception of the current crisis in funding higher education in Oklahoma?

27. How did you first learn of the funding crisis?

28. When and how did you first inform your top-level administrators of the funding crisis?

29. When and how did you present the crisis information to the rest of the university community?

30. In what ways has this crisis affected your communication philosophy and style? (for example, frequency of communications, selection of a medium, use of resources).

31. Have you surveyed the university community for views on the funding crisis?

32. What communication from others do you consider to be necessary and sufficient for you to fulfill your leadership role during the current crisis, both from within the institution and outside the institution? Have you received such communication? Did the communication reach you in a timely fashion?

33. What have you found to be sources of accurate information during this crisis?

34. How do you judge the success of your communication efforts during this crisis?

35. What do you perceive as obstacles to effective communication during this crisis?

36. How has this crisis affected the manner in which your administrative decisions are implemented?

37. Have you experienced similar crises in your professional career?

38. Is there an important aspect of communication during this crisis that you feel we have not covered? If so, please explain.

copy 3

VITA

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Thesis: AN ASSESSMENT OF THE RELATIONSHIP BETWEEN COMMUNICATION
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