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RENATO JOSÉ DE SOUZA

**Enacting Leadership in Formal and Informal Organisations: An Empirical
Investigation on Collective Leadership Practices**

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Linha de Pesquisa: Estudos Organizacionais

Orientador: Professor Thomaz Wood Jr.

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Banca Examinadora:

Professor Thomaz Wood Jr.
FGV EAESP - Orientador

Professora Joana Sabrina Pereira Story
FGV EAESP

Professor Carlos Osmar Bertero
FGV EAESP

Professor Eduardo Davel
Universidade Federal da Bahia

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ABSTRACT

This dissertation analyses the production of collective leadership practices in two Brazilian multinational organisations (formal organisations) and in three community-based organisations located urban slums districts in Sao Paulo, Brazil (informal organisations). It examines the unfolding and development of leadership practices using a heuristic framework that encompasses six lenses of leadership: Person, Position, Process, Performance, Place and Purpose. This heuristic framework is used to investigate how collective leadership is created in these organisations. The dissertation is comprised of three articles. The first article is a theoretical essay that aims to discuss multiples lenses on studying leadership and their impact on how it is approached and theorized. The second article and third articles present the empirical findings from a systematic inquiry into individual, relational and collective leadership practices within community-based organisations and private sector organisations, respectively. Drawing on interview and observational data, I examine the factors (e.g., Position, Process, Performance, and Purpose) that either facilitate or hinder the emergence and impact of collective leadership. This dissertation advances in refining both theoretically and methodologically the collective-based approaches to leadership by providing a model for empirically examining these processes. It also lays out a framework for empirical inquiry in collective leadership across sectors. This multiple lens framework helps to foreground the ‘initiators’ of a collective effort and the ‘maintainers’ of collective practices, while it emphasises the multiple dimensions of collective leadership practices that inform how leadership development is articulated and practiced.

Keywords: Collective leadership, Relational Leadership, Leadership Practices, Formal Organisations, Informal Organisations

RESUMO

Essa dissertação analisa a produção de práticas de liderança coletivas em duas multinacionais brasileiras (organizações formais) e no contexto de favelas urbanas em São Paulo, Brasil (organizações informais). Ela examina a emergência e o desenvolvimento de práticas de liderança utilizando um modelo heurístico que é composto por seis lentes de liderança: Pessoa, Posição, Processo, Performance, Lugar e Propósito. Este modelo heurístico é utilizado para investigar como liderança coletiva é criada nessas organizações. Essa dissertação é composta por três artigos. O primeiro artigo é um ensaio teórico que objetiva discutir múltiplas lentes no estudo da liderança e o impacto dessas lentes na maneira como liderança é teorizada. O segundo e terceiro artigos apresentam resultados empíricos de um estudo sistemático sobre práticas de liderança em organizações comunitárias e no setor privado. Por meio de entrevistas e observações não-participante, eu examinei os fatores (p.ex. Posição, Processo, Performance e Propósito) que facilitam ou dificultam a emergência e o impacto da liderança coletiva. Essa dissertação contribui para o avanço teórico e metodológico de abordagens coletivas de liderança propondo um modelo para pesquisar empiricamente os processos de liderança. Ela também oferece um modelo para a pesquisa em liderança em setores distintos. Esse modelo que considera múltiplas lentes ajuda a entender os ‘iniciadores’ de um esforço coletivo, bem como os ‘mantenedores’ de práticas coletivas de liderança, enquanto ele destaca as múltiplas dimensões da liderança coletiva e como ela se desenvolve e é posta em prática.

Palavras-chave: Liderança Coletiva, Liderança Relacional, Práticas de Liderança, Organizações Formais, Organizações Informais

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INTRODUCTION

This is an inquiry in the field of Organizational Studies, and investigates the topic of Leadership. It examines the emergence of leadership in distinct contexts aiming to contribute to a better understanding of its emergence and development. Leadership continues to be one of the most studied and researched topics in management (Bolden et al., 2011; Ford et al., 2008), attracting great interest among both scholars and non-scholars (Storey et al., 2016). That can be explained partly by the fact that leadership is seen as both the problem and the solution to address complex contemporary economic and social issues that affect private organisations and governments (Storey, 2016; Rickards, 2015). Organisations, in particular, consistently revisit and re-assess their leadership models and, as a consequence, heavy investments have been made in the development of leaders, who are seen as valuable and rare intangible assets that provide organisations with a competitive advantage (Jackson & Parry, 2018).

On one hand, leaders are seen as those capable of influencing the results of an organisation and shaping organisational identities (Scott & Lane, 2000). On the other hand, the paradigm of almighty leaders who determine the fate of organisations has been challenged, especially following corporate scandals and many companies performing well below market expectations (Kellerman, 2004). Moreover, the very notion of what constitutes leadership has become increasingly diffuse (Jackson, 2005). Constant internal changes in organisations have led to the appearance of organisational formats and managerial mechanisms that make the distinction of those who lead from those who follow less obvious (Kellerman, 2012). For example, leadership has been noticed at different levels of organisations, as distributed leadership (Gronn, 2002), lateral leadership and shared leadership (Pearce et al., 2007). These concepts point to the fact that leadership can emerge in group of individuals making a concerted effort, at different levels of the organisation (Raelin, 2018). They also reiterate the lateral influence exerted by peers on the development and actions of leaders and followers in a specific group (Pearce et al., 2007).

Furthermore, models traditionally used to explain the leadership phenomenon, such as charismatic leadership and transformational leadership (Mumford et al., 2008), seem unable to deal with the growing complexity both inside and outside organisations (Crossman & Crossman, 2011), leading theoreticians and practitioners to look for alternative models. These models have started to consider the relational and processual aspects of leadership, which depend less on the figure of the

‘leader’ and more on the context and relations among individuals. They consider leaders as part of organisational systems that are constantly evolving and, therefore, require perspectives that capture the growing complexity in such environments (Dinh et al., 2014).

In this scenario, the emergence of leadership has been object of continuous interest in studies on leadership (Knippenberg & Knippenberg, 2007). Traditional views aim to understand how those known as ‘managers’ or ‘leaders’ shape their own leadership identities when performing the role that is expected of them in organisational environments (Clarke et al., 2009; Watson, 2008). In these cases, the preferred notion of leader identity is that of an existing ‘essence’ that is detached from the social context (Storey, 2016) and whose emphasis is on the leader’s personality traits and styles. On the other hand, non-traditional perspectives approach leadership as a process that is co-created within the social relations among individuals (Uhl-Bien, 2006). In that sense, ‘leaders’ and ‘followers’ are responsible for creating social and organisational reality (Carsten & Uhl-Bien, 2012; Fairhurst & Grant, 2010) and, consequently, the identities of leaders and followers are mutually constructed and co-produced (DeRue & Ashford, 2010).

This study aims to help achieve a deeper understanding of the creation and development of leadership based on a social-constructionist approach of leadership (Ybema et al., 2009; Gergen, 1999; Berger & Luckmann, 1967), which emerges from interpretive schemas that are shared and collectively constructed by members of a group or organisation (Gioia et al., 2013; Pratt, 1998). From that standpoint, it seeks to shed light on the role played by the leader-follower relations in the emergence of leadership in distinct contexts of formal and informal organisations. Thus, two specific contexts will be the object of the present study (community based organisations and private sector organisations) in an attempt to understand how context (informal and formal) might result the enacting of distinct leadership practices associated with individual, relational or collective forms of leadership. The initial umbrella research question that originated this study was ‘What types of leadership practices emerge from leaders-followers relations in the context of urban slums and private sector organisations?’

The research question is relevant because it explores undertheorized aspects of the literature on leadership available in Organisational Studies. First, the role of followers in the creation and development of leadership: literature on leadership has an essentially leader-centric perspective, without adopting a relational perspective (Luhmann & Eberl, 2007). I acknowledge the need for a well-balanced approach to leadership, one that is not totally focused on the leader, nor on the

follower, one in which both leaders and followers are seen as co-producers in a relationship that involves leadership and its consequences (Shamir, 2007).

Second, the research on the emergence of leadership among Brazilian community leaders: although research on leadership in social movements has been produced in Sociology (DeCesare, 2013; Morris & Staggenborg, 2004; Crossley, 2002), in Organisational Studies, theoretical contribution in the leadership field has been mostly originated from the public administration area (Fonseca, Porto, & Borges-Andrade, 2015; Santos et al., 2013). However, there have not been empirical studies that focus specifically on the question of community leadership and how it is constructed based on the relationship with members of the respective communities. Given how little theorization there is on the subject matter, this study can help to improve understanding of how leadership is formed and constructed in informal organisations and contribute to the development of leaders in those communities.

Finally, although several studies related to the construction of leadership can be found in the literature on leadership, there are no specific empirical studies that compare the emergence construction of leadership in formal and informal organisations. In formal organisations, aspects such as structure, hierarchy and organisational processes mediate the relationship between organisational actors (Hall, 1972; Blau & Scott, 1962), whereas in informal organisations, relationships between community members and leaders are not necessarily mediated by such structures and formal processes and tend to be more diffuse, dynamic and diluted, such as in communities, for instance. This comparison will give an insight into two different contexts and contribute to the national literature in the leadership field.

The dissertation is comprised of three articles. The first article, set forth in Chapter 1, is a theoretical essay and aims to discuss ‘the multiples lenses of studying and approaching leadership’, which also point opportunities for empirical enquiry into leadership. The second article, set out in Chapter 2, presents the empirical findings from a systematic inquiry into individual, relational and collective leadership practices within three community sector organisations based in São Paulo, Brazil. The third article, set out in Chapter 3, presents the empirical findings from a systematic inquiry into individual vs. collective leadership in two private sector organisations based in Brazil. Both empirical articles endeavour to examine when, where and how relational and collective leadership emerges (Raelin, 2011; Ospina & Foldy, 2010), and to understand the various the forms that it takes (Friedrich et al., 2009).

I utilize the definition of collective leadership that conceives it as ‘an interactive process involving leading and following within a distinctive place to create a mutually important identity, purpose and direction’ (Jackson & Parry, 2018, p.12). With this definition, I envisage collective leadership as both an aspirational and a realized set of practices that can be situated along a continuum between strongly individualised and strongly plural leadership (Uhl-Bien & Ospina, 2012). Guided by this definition I have utilized a heuristic framework that encompasses six lenses of leadership: Person, Position, Process, Performance, Place and Purpose. I use this framework to examine the various ways in which collective leadership is co-constructed through social interaction (Jackson, Nicoll, & Roy, 2018).

This study draws on a 24-month empirical research conducted in five research sites located in Brazil. Three research sites are based in urban slums districts in São Paulo: two NGO organisations, the first is based in Capão Redondo and aims to promote social inclusion of women and children; the second is based in Campo Limpo and aims to fight violence against women; the third research site encompasses several community leaders and residents based Jardim Angela, who fight for reducing social and economic vulnerability of this region. Two research sites are private sector organisations, the first is one Brazilian multinational organisation, which operates in the paper and allied products industry, and the second is a Brazilian multinational organisation that operates in the sector of construction materials (cement, concrete, and aggregates). Within the slum-based organisations, I conducted 58 semi-structured interviews with community leaders and residents, and I collected 144 hours of observation of meetings, events and activities. Within the private organisation, I conducted 67 semi-structure interviews with formal leaders and his direct and indirect reports, and I collected 69 hours of observation of meetings. This approach was taken to examine both the individual perspectives on collective leadership as well as some of the collective leadership communicative practices. I analysed interviews and observation data using the multiple lens framework to highlight both the similarities and differences between the five organisations.

The systematic application of the multiple lens framework foregrounded the factors and conditions that come into play in the individual, relational and collective leadership practices that are engaged in at these five locations. Within the slum-based organisations, four lenses (Place, Person, Purpose, and Process) stand out to reveal collective leadership practices. The slum-based organisations strongly emphasised shared place and purpose to address social and economic

vulnerabilities. They differed to the extent that they went about doing this (i.e. Process) and how the social actors (i.e. Person) engage in the leadership process. By contrast, in the private organisation, other sets of practices were more prominent in efforts to create collective leadership. In one of the cases, collective leadership has been primarily fostered by the attempts of the formal leader (i.e. position-person) to create a collective decision-making process (i.e. performance-process); in contrast, in the second case, individual leadership is facilitated by figure of the formal leader (position-person) and the management process in place (i.e. place-process).

With its strong empirical focus, this exploratory study aims to directly address a number of the questions and issues related to the emergence of leadership practices in both formal and informal organisations. I will close the dissertation by reflecting on how this high level framework should be further refined both theoretically and methodologically and by identifying further opportunities for empirical inquiry into relational and collective leadership. Moreover, in line with our research question, I will compare what factors and conditions either facilitate or hinder the emergence and impact of collective leadership in both formal and informal organisations.

CHAPTER 1

THE MULTIPLE LENSES OF STUDYING AND APPROACHING LEADERSHIP

Introduction

Much has been written about leadership. This is undoubtedly one of the most studied and researched topics in the management field (Wood, 2005). However, ‘there are as many definitions of leadership as people who tried to surround the concept’ (Bass, 1997, p. 7), and leadership remains an ‘essentially contested concept’ that is constantly being discussed and debated (Grint, 2005). Over the course of the twentieth century, one of the key concerns in management is how a ‘leader’ can improve the organization results through an influential process over his/her subordinates (Kellerman, 2008). Therefore, many models and theories have been proposed in an attempt to improve leaders’ effectiveness. Although such models have migrated, mainly in the final decades of the twentieth century and the initial years of the twenty-first century, from top-down approaches, based on centralized command and control, to a more fluid and dynamic boundary between leaders and followers, leadership theory essentially remains with a focus on leaders (Bennis, 2008).

However, management and leadership scholars have increasingly paid attention to the transformations that are occurring both inside and outside organizations that have required theoretical and practical changes in the way that we approach leadership (Storey, 2016), mainly regarding the relationship between ‘leaders’ and ‘followers’ (Rickards, 2015). The first of these transformations is a global political awakening, which has led to the questioning of the role of governments, organizations, institutions, and the people in formal positions of authority (Chaleff, 2009; Dixon & Westbrook, 2003). The second transformation is the arrival of the so-called *Millennials* to the labour market, with implications to the leadership and followership styles in the workplace (Crisan, 2016; Chou, 2012), as well as the granting-claiming of leadership identity (DeRue & Ashford, 2010). The third transformation is the increasing questioning of formal power relations based on positions of authority, with the so-called ‘followers’ not only requiring more autonomy and an active voice in the decision process inside organizations (Bennis, 2000), but also being more critical towards the ‘leader’ and demanding more participation in social and community decisions (Kellerman, 2012). The fourth transformation is the growth of integration and interconnectivity allowed by the internet, with an impact on the work dynamics inside

organizations and the role of social media in de-constructing leadership as a mechanism of collective organization, since there is no need for a single person to take the lead of a group in the virtual world (Huffaker, 2010; Hamel, 2007). The fifth transformation is related to the corporate scandals that challenge the paradigm of the omnipotent leader who is responsible for defining the organization's destiny, as well as the role of followers in the emergence of toxic and unethical leadership (Kellerman, 2004). Finally, the sixth transformation is the social movements and the uprising of leaderless organizations, which reveal radical forms of organizing and participatory-democratic alternatives to leadership (Sutherland, Land & Bohm, 2013).

Recently, research in the Organizational Studies field has started to investigate the role and influence of the people called 'followers' in the co-production of leadership and its results. The emergent literature on followership points that both leaders and followers are co-producers of leadership, built through relations of individuals (Kellerman, 2008; Shamir, 2007). This perspective does not mean that leaders are no longer important in the leadership process. However, it is possible to consider the enactment of leadership in a range of organizational situations (Collinson, 2014; Alvesson & Spicer, 2012) and that there are several co-authors responsible for its emergence, mainly in the role of 'followers' (Blom & Alvesson, 2014). Thus, leadership would be a result of mutual action between the 'I' and the 'other' (Luhmann & Eberl, 2007) in a relational mechanism (Cunliffe & Eriksen, 2011; Uhl-Bien, 2006). This alternative notion moves away from leader-centric leadership theories that still focus on organizational roles or the traits and characteristics of leaders.

Additionally, other streams of research have pointed to 'collective' and 'collaborative' forms of leadership (Simpson, 2018). Collective leadership can be considered an umbrella term for a host of 'leaderships' that locate leadership in the various configurations and constellations of individuals, groups and connected parties and that are something beyond discrete and often heroically depicted individuals (Denis et al., 2012). As Collinson (2017) indicates, 'we now live in some kind of collective, post-hierarchical, symmetrical and 'leaderful' organizational world' (p. 4), which is a result of the current era of increasing complexity, based on knowledge (Uhl-Bien et al., 2007). Here, leadership is centred neither on the individuals participating in the process nor on the relation of influence but on the collective accomplishment that is created by all participants of the leadership process (Crevani, 2018; Raelin, 2018; Contractor et al., 2012).

These parallel research streams open numerous promising paths for theorizing about and studying leadership and thus enable leadership scholars to gain a more nuanced and holistic picture of this complex social phenomenon. This article contributes to leadership studies because it provides a systematic review of the three main streams of or approaches to leadership (e.g. individual, relational, and collective). Leadership perspectives have drawn on a broad range of disciplines, including psychological perspectives (e.g., Antonakis, 2011; Chatman & Kennedy, 2010), sociological approaches (e.g. Parry, 2011; Guillen, 2010), political and philosophical perspectives (e.g. Collinson, 2011; Hartley & Benington, 2011). The article offers a typology that epitomises the essential view of each approach as well as the historical treatment of leaders and followers in leadership research. Moreover, it allows a span of analysis ranging from micro-level approaches (e.g. individual traits) to macro-level approaches that focus on leadership processes, and outcomes for a collective. These streams are summarized in the following table:

Table 1: Three approaches to leadership research

Stream or Approach	Focus	Historical treatment	Selected Empirical Studies
I	Leader: single formal organizational leader	From Frederick Taylor's foundational view that managers are superior and employees inferior, this stream has evolved through the 'Trait approaches' (pre-World War II), 'Behaviour Approaches' (post-World War II), 'Contingency Approaches' (60's and 70's); and 'Charismatic and Transformational Leadership' (mid 80's and 90's).	Shalit, Popper, & Zakay, 2010 Bass & Riggio, 2006 Bono & Judge, 2004 Judge, Piccolo, & Ilies, 2004 Bass, 1985 Vroom & Jago, 1978
They	Followers: role of followers in the leadership process	This stream has evolved since the work of Meindl et al. (1985) on 'Romance of Leadership', through the 'Implicit Leadership Theories' (mid 80's and 90's); the 'Relational views' which emphasize the mutual influence process among leaders and followers (90's and 2000's).	Carsten et al., 2010 Bligh, Kohles, & Meindl, 2004 Sivasubramaniam, Kroeck, & Lowe, 1997 Rush, Thomas, & Lord, 1977 Eden & Leviatan, 1975
We	Collective: complex, multi-level, dynamic process that emerge from the interactions of several actors in a network	This stream evolved from the notions of 'distributed', 'shared', and 'collaborative' leadership (2000's), to the idea of 'plural leadership' (2010's) and leadership-as-practice (2010's).	Rhiannon & Lloyd, 2018 Holm & Fairhurst, 2018 Crosby, 2017 Cullen-Lester & Gerbasi, 2017 Ospina & Foldy, 2010

Additionally, after describing the three approaches, the article presents a modified and expanded model of Grint's (2005) leadership heuristic framework that can be used to examine the various ways in which leadership is co-constructed through social interaction (Jackson, Nicoll, & Roy, 2018). I envisage that by laying out this framework for further empirical refinement and by identifying opportunities for empirical inquiry into leadership across sectors, we will be able to understand the multiple perspectives and configurations in which leadership is co-constructed (Gronn, 2015).

This is particularly useful when we consider the leadership research in the Brazilian context. It has been closely aligned with the 'I' approaches to leadership, based on single individual leaders and their traits and characteristics, in a formal position of authority. In Brazil, research on leadership tends to focus on the influence of personality traits (Garcia-Santos & Werlang, 2013; Vilela & Chlee, 2010), as well as leaders' values and attitudes that impact organizational performance (Fonseca et al., 2012; Sobral & Gimba, 2012; Echeveste et al., 1999). Additionally, earlier studies related to management and leadership (Barros & Prates, 1996; Tanure, 2004) have

demonstrated the distance between ‘leaders’ and ‘followers’, i.e., followers being passive receivers of the influence of leaders, in a relationship ruled by personalism, paternalism and loyalty to leaders. Scholars have also emphasized the need for leaders to manipulate the so-called ‘typical Brazilian cultural traits’ to improve the competitiveness of organizations (Tanure & Duarte, 2005). Outside the formal organizational environments, such as in communities (slums, quilombolas, etc.) and social movements, leadership has been understood as a phenomenon related to the psychological traits or behaviours of a leader (Borges & Pinheiro, 2012). I believe that the advancement of the leadership studies in the Brazilian context requires the re-organization of the analysis in order to approach the multi-faceted and multi-contextual leadership phenomenon in a less traditional way, by ‘demystifying the constituent process of leadership (Gardner, 1995).

The remainder of this article is structured as follows. First, I present a review of the three streams of literature concerning leadership. Second, I present the multiple-lens framework. Third, I present the final remarks and the main contributions of the article to theory and practice of leadership.

The ‘I’ Approaches to Leadership

The ‘I’ approaches to leadership represent the research on leadership that has focused on formal organizational leaders. These approaches use more ‘traditional’ leadership theories that focus on the single actor form of leadership. Traditional writing in the organizational field has been mostly dominated by the perspective that leadership is held and manifested by a single person (Pearce & Manz, 2005), who is often referred to as the ‘great man’ (Reicher, Haslam, & Hopkins, 2005). This perspective has led to leadership research that is focused on understanding the traits, personalities, behaviours, and skills of the individual (Crevani, Lindgren, & Packendorff, 2007; Conger & Kanungo, 1998). According to this perspective, there is a vertical top-down influencing process between the leader and his or her followers (Pearce & Conger, 2003). This approach has been the dominant paradigm in leadership studies for many years.

These traditional leadership studies and research tend to separate leaders and followers, and privilege leaders as the primary agents in organizational dynamics (Collinson, 2005). Therefore, a set of theories that focus on the single leader have been developed over the years in an attempt to answer the question ‘what makes an effective leader?’ (Bresnen, 1995). Furthermore, leadership development still means leader development (Day et al., 2014) based on a mechanistic type of

competency framework (Ford, Harding, & Learmonth, 2008). According to these traditional approaches, followers either are not considered or are seen as passive recipients or moderators of leaders' influence (Oc & Bashshur, 2013).

Table 2: Traditional Leadership Theories

Theory or Group of Theories	Focus	Selected Authors
Traits	Specific personality traits explain leaders and leadership and facilitate its effectiveness	Judge et al., 2009 Bono & Judge, 2004
Styles and behaviours	Certain abilities, competencies, and leadership styles may produce better leadership results	Gordon, 2011 Glynn & DeJordy, 2010
Contingency or Situational leadership	Leader adapts his style to the situation or adjust the situation to her/his style	Yukl, 2011 Thompson & Vecchio, 2009
Charismatic and Transformational leadership	Charismatic, visionary, inspirational, and authentic leadership	Balthazard et al., 2009 Avolio & Bass, 1988

The first traditional approaches are based on personality traits that can explain the emergence of a leader or his/her effectiveness in influencing organizational results (Yukl, 2001). A leader would be endowed with extraordinary features and attributes recognized by followers, who respond to him/her positively. On the face of it, a leadership identity would be granted to any individual who is extraordinarily effective in influencing other individuals and producing collective responses (Judge et al., 2009).

These initial leadership theories were followed by other approaches that prioritized the behaviours or styles of leader that best produce the desired results. These theories focus on the leader's behaviour, such as the theory X/Y of Douglas McGregor (Gordon, 2011). According to this view, leaders can have a steering behaviour (theory X), encouraging behaviour (theory Y), or both behaviours. Although very different, any behaviour can succeed because what matters is that the leader be granted authority by his/her followers (Shamir, 2007).

A third approach, which is known as contingency or situational theory, proposes that there is no one single universally effective way to lead. Instead, the leader must be able to rely on a range of 'characteristics' and 'styles' to be adapted according to circumstances (Thompson & Vecchio, 2009). Therefore, this theory focuses on how leaders adapt to the changes and needs of an organization and drive followers in the same direction (Yukl, 2011). There is not one best leadership style, but the circumstances dictate the behaviour that is required of the leader.

According to this perspective, followers are one of the ‘situational’ elements or variables that leaders need to manipulate to achieve the desired results.

More recently, there has been an extension of these three perspectives, especially charismatic leadership and transformational leadership (Uhl-Bien et al., 2014). Charismatic leadership seeks to emphasize the emotional responses of followers to the leader’s articulation of an inspirational vision and mission, as well as the skills and personal talent of charismatic leaders to influence followers in a profound and extraordinary way. Transformational leadership, in opposition to so-called ‘transactional leadership’, advocates that the leader should inspire, motivate and challenge followers to achieve high levels of performance. The leader does this to the extent that he/she inspires a visionary leadership and anticipates the needs and skills that the team members should develop by exerting a transformative action on them (Howell & Shamir, 2005; Avolio & Bass, 1988).

Leadership theories that focus on the leader have migrated from a hierarchical-vertical perspective, with centralized command and control, that is based on the characteristics, behaviours and styles of the leader to perspectives in which the leader-follower dyad has become more flexible and dynamic while the role and influence of the follower is recognized and valued. However, these models still remain with an excessive focus on the figure of a single leader (Bennis, 2008).

The perspectives that have permeated leadership theories and practices do not consider that leadership is a process co-created in the social relations between individuals (Collinson, 2006; Graen & Uhl-Bien, 1995). In this process, leadership can only occur if there are followers (Knippenberg & Knippenberg, 2007), and the relations and practices of leaders and followers are mutually constituted and co-produced (Collinson, 2005). They are interdependent (Hollander, 1992b). This leads us to the next approach to leadership.

The ‘They’ Approaches to Leadership

A second group of leadership theories can be classified as the ‘they’ approaches because their focus is on followers, not leaders. Follower-centred approaches emerged as a response to the leadership perspectives that are focused on leaders, and they emphasize the role and impact of followers on the construction of leaders and leadership (Bligh & Kohles, 2012). They aimed to oppose the romanticized, heroic vision of the capacity and ability of leaders to drive organizational performance (Meindl et al. 1985).

The follower-centred theories of leadership did not follow a clear path or sequence as the leader-centred theories that evolved over time. We can observe the follower-centred theories as concurrent ideas and approaches that aim to put followers in the centre of the discussion on leadership. One of the first research streams has a cognitive and emotional approach and can be traced back to the 1970s; it is called ‘implicit theories of leadership’ (Rush, Thomas, & Lord, 1977; Eden & Leviatan, 1975). It argues that followers have models and schemes of a leader or of the behaviour of good and bad leaders. These schemes are built through the socialization and past experiences of followers with ‘leaders’. Therefore, in the organizational context, followers compare their models and pre-existing schemes with the actual behaviours of leaders. Because of this comparison, followers may or may not grant a leadership identity to a leader and consequently, may or may not be willing to follow a leader (Epitropaki et al., 2013; Schyns & Schilling, 2011).

These cognitive and affective approaches to followers are paralleled by more relational approaches that emphasize the mutual influencing process between leaders and followers. Hollander (1992a; 1992b) understands leadership as an influencing relationship that evolves over time between two or more persons in the pursuit of common goals. In this regard, the leader-member exchange theory (LMX) envisages leadership as a ‘transaction’ or ‘exchange’ between leaders and followers who are engaged in a relationship (Graen & Uhl-Bien, 1995). When this relationship is better, the outcomes achieved by the leader-follower dyad are better.

Other follower-centred approaches are based on organizational roles. In formal organizations, roles are seen as an essential starting point of the creation and confirmation of leadership and followership identities (Alvesson et al., 2008). Four groups of theories try to make sense of the role of followers in the emergence of leaders and leadership as summarized in Table 3:

Table 3: Followership Theories

Theory or Group of Theories	Focus	Selected Authors
Types and Characteristics of followers	Types of followers and distinct features and styles of followers who contribute to producing leaders and leadership (e.g. conformists, passive, alienated, implementer, partner, individualistic, isolated, bystanders, participants, activists)	Chaleff, 2009 Kelley, 2008, 1992 Kellerman, 2008 Howell & Mendez, 2008
Followers beliefs and schemas	Followers act according to their beliefs and schemes regarding their and their leaders' roles	Can & Aktas, 2012 Carsten et al., 2010
Followers as modellers of leadership	The degree or stage of development of followers influence leaders' actions and the emergence of leader(ship)	Blom & Alvesson, 2014 Howell & Shamir, 2005 Dvir & Shamir, 2003
Constructionists' approaches	Construction of leadership as a relational process in which 'followers' and 'leaders' engage in a relationship in a given social context, which produces leadership and its results	Uhl-Bien, 2014 Uhl-Bien & Pillai, 2007 Collinson, 2006; 2005

Types and Characteristics of followers

Three streams of study focus on followers as the main organizational agents and seek to determine, similar to the leader-centric traditional theories, the types of followers and distinct features and styles of followers who contribute to producing leaders and leadership. Two streams are based on a two-dimensional model, namely, independent/critical thinking compared with dependent/uncritical thinking and active compared with passive engagement (Kelley, 1992), or high versus low support for the leaders and high versus low challenge to the leaders (Chaleff, 2009). The third stream ranks followers into five types, according to their degree of engagement Kellerman (2008).

Although concerned with the understanding of a follower-centred perspective of leadership, these three approaches do little to advance a relational view of leadership or investigate the influence of the 'types' of followers in the emergence of leadership in an organizational context. Therefore, they contribute little to advance the debate, and they reinforce a stereotypical idea about followers (Uhl-Bien et al., 2014). In addition, the ideas proposed by these authors have not been empirically tested to check their validity in organizational environments, both formal and informal.

Followers' beliefs and schemes

Carsten et al. (2010) proposed the first empirical research concerning how followers describe themselves and act according to their beliefs and schemes regarding their and their

leaders' roles. Researchers have identified followers who report themselves as 'passives' who assume a role that entails an obedient attitude and deference towards leaders. Some followers report a more 'active' scheme, and they identify the importance of expressing their views and providing their contributions when requested by a leader. Other followers have a more 'proactive' attitude, and they assume their role with an attitude of partnership and co-responsibility with a leader regarding the results of the group and the organization.

By examining followers' beliefs and schemes through an empirical study, this research sheds some light on how followers understand their role in the emergence of leadership. However, it also contributes by encapsulating followers into basic 'types', similar to the previous research stream, which reinforces the stereotypes about followers (Western, 2013).

Followers as modellers of leadership

Another line of thought argues that followers are the modellers and influencers of the actions of leaders and even the emergence of a leader (Howell & Shamir, 2005; Dvir & Shamir, 2003; De Vries et al., 2002). Accordingly, the degree or stage of development of followers, for example, their motivations, moral values, independent/critical thinking, task knowledge and engagement, has an influence on the emergence of leaders and how leaders behave in an organizational environment. Followers who are autonomous, critical and effective at what they do inhibit or limit the action of leaders. Thus, followers define not only the type of leadership they need but also when the intervention of a leader is required, as a form of 'leadership by demand' (Blom & Alvesson, 2014).

Constructionists' approaches

Constructionists' approaches to leadership investigate the relational mechanisms, which are not necessarily restricted to the organizational hierarchy, of the construction of leadership by individuals who engage in a relationship in a given social context (Fairhurst & Grant, 2010; Uhl-Bien & Pillai, 2007; Collison, 2005). These notions seek to oppose most research regarding the identity construction of leadership that favours approaches focused on the figure of the leader and how he/she builds his/her own identity (Sveningsson & Alvesson, 2003). The identity construction of leadership is seen as the direct result of the leader-follower relationship.

Therefore, leadership identity construction is a dialogic and reflexive process that occurs in day-to-day interactions (McInnes & Corlett, 2012) as a result of reciprocal action between

individuals and social structures (Ybema et al., 2009). It recognizes the discursive and socially constructed nature between the 'I' and 'they' (Ybema et al., 2012), which means acknowledging the relationship between 'leaders' and 'followers' and the multiple, fragmented and often contradictory nature of leadership (Collison, 2005). Thus, leadership identity is co-created through a 'claiming' and 'granting' of the identities of leaders and followers (De Rue & Ashford, 2010).

It is noteworthy that the 'they' approaches to leadership have not attracted much attention from leadership scholars. Few empirical studies have been conducted to explore the 'followership' dimensions of leadership (e.g., Carsten et al., 2010; Collinson, 2006). These initial studies were soon replaced by the notion of leadership is a 'collective process', which goes beyond the notion of 'leaders' and 'followers'. This takes us to the last approach to leadership.

The 'We' Approaches to Leadership

The 'we' approaches to leadership recognize that leadership is co-created in the relational interactions between people as a dynamic process that develops and changes over time (Uhl-Bien & Ospina, 2012). These views represent a 'growing body of organizational research and theorizing that examine leadership not as the property of individuals and their behaviours, but as a collective phenomenon that is distributed or shared among different people, potentially fluid, and constructed in interaction' (Denis et al., 2012, p. 2). These scholars locate leadership in the ways that actors engage, interact, and negotiate with one another to influence organizational understandings and to produce outcomes (Barge & Fairhurst, 2008). In this case, leadership is viewed as a 'we' or collectivistic phenomena that involves multiple individuals who assume leadership roles over time in both formal and informal relationships (Yammarino et al., 2012).

During recent years, there has been an emerging debate that emphasizes leadership as a collective activity rather than as the actions of formal leaders. Leadership is seen as preferably a collaborative and collective responsibility where the responsibilities, competencies and decision-making need to be distributed to several individuals rather than to one (Crevani et al., 2010; Collinson & Collinson, 2009; Huxham & Vangen, 2000). The idea of collective leadership is emerging as a theoretical umbrella that captures diverse scholarship on the 'plural' (e.g., Denis et al., 2012), 'shared' (e.g., Pearce & Conger, 2003), 'distributed' (e.g., Gronn, 2002), 'networked' (e.g., Balkundi & Kilduff, 2006), 'collaborative' (e.g., Collinson, 2007), 'integrative' (Crosby & Bryson, 2010), and 'complexity' (e.g., Uhl-Bien et al., 2007) leadership. Some scholars use collective

leadership to reference the constellation of individuals who contribute within a network (Raelin, 2018), while other scholars use it to study decentred practices in place that result in a collective achievement that is caused by all participants of the leadership process (Contractor et al., 2012). The table below summarises some of the current approaches:

Table 4: Collective Leadership Theories

Theory or Group of Theories	Focus	Selected Authors
Distributed, and shared leadership	Collective leadership as an interpersonal influence relationship; leadership dispersed among some, many, or maybe all of the members; or leadership is distributed among team members rather than focused on a single designated leader	Pearce & Conger, 2003 Gronn, 2002
Complexity, and social network leadership	Collective leadership as a recognizable pattern of human organizing as they form into a system of action; leadership resides in the interactions between people thereby constituting a network of relationships that emerges and shifts over time	Hazy & Uhl-Bien, 2015 Carter et al., 2015 Uhl-Bien et al., 2007
Leadership as Practice	Collective leadership as an unfolding interrelated construction process; leadership that emerges and unfolds through day-to-day experience; to find leadership, then, we must look to the practice within which it is occurring.	Raelin, 2018 Raelin, 2016 Carroll et al., 2008
Plural Leadership	Collective leadership imply plurality: that is, the combined influence of multiple leaders in diffuse power settings. It re-examines the ‘who’ and ‘where’ of leadership by focusing on the need to distribute the tasks and responsibilities of leadership up, down, and across the hierarchy.	Denis et al., 2012 Sergi et al. 2012 Fletcher, 2004

There have been several attempts to redefine leadership in terms of the processes and practices organized by people in interactions (Crevani et al., 2010). For example, Carroll et al. (2008) and Raelin (2016) identify the need to study leadership as practices rather than as competencies held by individual managers. Gronn (2002) suggests the study of leadership activities rather than leaders as the unit of analysis, and Drath et al. (2008) propose an ontology based on the definition of leadership as activities with certain outcomes. Therefore, leading and following become ‘two sides of the same set of relational skills that everyone in an organization needs in order to work in a context of interdependence’ (Fletcher, 2004, p. 648).

These collective views of leadership taken together combine the ‘practice turn’, the ‘discursive turn’, and the ‘relational and interactional conceptions’ of leadership by diverging in what they prioritize: practice studies focus primarily on everyday interactions, discursive studies focus on talk and conversation, and relational studies focus on relations and interactions (Denis et

al., 2012). Although all of these different approaches see leadership as something that is caused by the collective itself, how they conceptualize and study the collective nature of leadership varies deeply. As a result, there is no agreement on what collective leadership truly is and how we can study it. Collective leadership could be, then, defined as ‘a dynamic process in which constellations of individuals emerge, often within a network and across multiple levels, to contribute knowledge, skill, and meaning to the task at hand’ (Raelin, 2018, p. 61).

Among these perspectives is the movement known as ‘leadership-as-practice’ (L-A-P), which focuses more on ‘where’, ‘how’, and ‘why’ leadership work is being organized and accomplished than on who is offering visions for other people to do the work (Raelin, 2011). A practice is a cooperative effort among participants who choose through their own rules to achieve a distinctive outcome. In this sense, L-A-P is less about what one person thinks or does and more about what people can accomplish together. It is thus concerned with how leadership emerges and unfolds through coping in day-to-day experiences.

However, to understand the leadership phenomenon, the notion of individuals and collectives has been revealed to be problematic (Crevani et al., 2007). On the one hand, leaders are expected to be individuals (e.g., Fletcher, 2004), while many decisions and actions are collective by nature. On the other hand, shared leadership practices might become problematic in some situations due to a relative lack of clarity of the roles and responsibilities in the organizational environment. It is also problematic that organizational actors may get stuck, since all changes may depend on consensus (Crevani et al., 2007). On a more general level, by advocating an interactional, communicational, relational, emergent, and processual view of leadership, this perspective runs the risk of diluting the distinctiveness of leadership. If leadership is a collective organizing process (Hosking, 1988), what differentiates it from other organizing processes? When studied as a mundane activity to which every actor can contribute (Alvesson & Sveningsson, 2003), ‘leadership’ may easily disappear or become difficult to distinguish from other phenomena, such as decision-making, problem-solving or simply teamwork (Denis et al. 2012).

Therefore, there is clearly room for further empirical work, especially work that addresses the dynamic and emergent nature of collectivistic leadership approaches. Leadership does not reside “in” people but is produced through their recurrent interactions. Leadership is viewed as collectivistic because it is the result of these interactions and social processes (Sergi et al., 2012). This leads us to another critical issue that is overlooked in the streams of research identified by

Yammarino et al. (2012): the fact that in many contexts, such as knowledge-based organizations or inter-organizational collaborations, there is an inherent pluralism embedded in their structures and modes of working. Sharing leadership is not a question of choice but is rather a practical solution devised to cope with the plurality that is already present in these contexts.

A Multiple Lens Leadership Framework

As mentioned above, the idea of collective leadership is becoming increasingly influential among leadership scholars under many guises: ‘shared’, ‘distributed’, ‘networked’, ‘plural’ and ‘relational’ leadership are just a few of the terms in use. The umbrella term ‘collective leadership’ recognizes the intrinsically collective nature of leadership (Ospina & Foldy, 2015) in opposition to the traditional leader-centred perspectives. Under this umbrella term, scholars attempt to redefine leadership as a property of the collective, whether it is a group, an organization or a social system (Cunliffe & Eriksen, 2011; Uhl-Bien, 2006). They focus on social interactions guided by the underlying assumption that leadership is co-constructed in multiple configurations and requires a rich appreciation of context (Gronn, 2015). As collective leadership has blossomed, the challenge of connecting theory to method in a meaningful manner has been recognized (Ospina, Foldy, Fairhurst, & Jackson, 2017). The extensive theoretical work has yet to be convincingly translated into a sound research design to see and analyse the relational and collective forms of leadership in the field by using a process lens to capture the various ways in which collective leadership is co-constructed through social interactions.

The process of leadership as a social interaction has become a focal point for critical theorists to explore (Collinson, 2006; Grint, 2005). This is in contrast to the mainstream focus on leaders as individuals and their behaviours, traits and competencies using positivist theoretical frameworks (Western, 2013). These mainstream frameworks reinforce the underlying assumption that leadership resides in the individual, and aim to identify standard competencies, which are generic traits of any successful person (Ford et al., 2008).

Other leadership models based on the social network theory approaches to leadership have also been proposed aimed to understand how a social network explains the emergence of leader(ship) and the impacts of leadership. These frameworks propose that leadership is a phenomenon that not only results from an actor characteristics (e.g. leader, follower), but also from a relative position within a social structure. For instance, Balkundi & Kilduff (2006) propose a

theoretical model that indicates that leaders' cognitions about social networks affect the 'ego network' that surrounds the leader (p. 422), while Carter et al. (2015) offer a framework that reveals (a) leadership in networks, (b) leadership as networks, and (c) leadership in and as networks. The model I utilize draws on a heuristic framework based on Grint's (2005) original 'Leadership Lenses' framework, that can be distinguished from the more standard and common leadership typologies (e.g., Northouse, 2016) by virtue of its heuristic and holistic qualities, as well as its critical intent. It reflects the definition of leadership that I have used as 'an interactive process involving leading and following within a distinctive place to create a mutually important identity, purpose and direction' (Jackson & Parry, 2018, p. 12). With this definition, I envisage leadership as an interactive process that is always in the process of becoming (Carroll et al., 2008; Crevani et al., 2007). It has to be collectively and consciously created (Ospina & Uhl-Bien, 2012) as it is not something that is attained and then merely maintained; it is always in flux and subject to contestation (Fairhurst, 2007). I share the L-A-P viewpoint that defines practice as 'a cooperative effort among participants who choose through their own rules to achieve a distinctive outcome' (Raelin, 2011, p. 196).

Grint (2005) suggests that leadership has traditionally been understood in four quite different ways, namely, Leadership as Person (it is who leaders are that makes them leaders); Leadership as Results (it is what leaders achieve that makes them leaders); Leadership as Position (it is where leaders operate that makes them leaders), and Leadership as Process (it is how leaders operate that makes them leaders). Though very useful for encouraging us to think about leadership in a more multi-faceted manner, too much emphasis is placed on the creation of leaders rather than the creation of leadership. In addition, this framework requires some adjustments to improve its overall effectiveness and to make it more salient to the analysis of collective leadership (Jackson, Nicoll, & Roy, 2018). For example, it misses two important lenses (Place and Purpose), which were added to construct the context in which leadership is enacted, as well as why leadership is enacted: Leadership through Place (where leadership is created?), and Leadership through Purpose (Why leadership is created?). Therefore, this enhanced leadership framework incorporates six complementary lenses of leadership, specifically Position, Person, Performance, Process, Place, and Purpose. Each of these lenses poses a critical question for leadership researchers and developers to answer. These lenses are briefly described below.

Leadership through Position lens

The positional lens of leadership examines the activity of a leader by reference to her or his formal position within an organization. Leadership through position has traditionally been associated with unitary command – the idea that leadership is a vertical and hierarchical activity that is exercised from ‘the top down’ in an organization (Grint, 2005, p. 138). This lens has been the most actively utilized lens by traditional mainstream leadership scholars in combination with the Leadership through Person lens. This is how the heads of vertical hierarchies are perceived, whether CEOs, political leaders, heads of government, or military generals, people who lead from their positional control over large networks of subordinates (Hughes et al., 1999).

Leadership through Person lens

The underlying assumption of this lens is that any particular person can create leadership because of their particular characteristics and qualities such as superior knowledge, skill and experience or special values, beliefs, motives and charismatic presence. The Leadership through Person lens emphasizes leadership as an individual activity: ‘an exercise by a person who encompasses various qualities or traits that have been traditionally associated with leaders’ (Grint, 2005, p. 33). For example, many competency frameworks in place are based on a list of traits or characteristics required by formal leaders: charisma, energy, vision, confidence, tolerance, communication and listening skills, and decisiveness, among others (Western, 2013).

Leadership through Process lens

Through this lens, I recognize the intrinsically (and enduringly) relational and collective nature of leadership and attempt to understand what occurs in the spaces between people (i.e., the relational process) who are engaged in leadership practices (Kennedy et al., 2012) and how leadership processes are enacted and maintained in organizations. Of the six lenses of leadership, I believe that the Leadership through Process lens has been the least well-developed in studies of leadership because these studies tend to focus on the Position and Person lenses (individual leadership). Because leadership is essentially a social activity, a relational view recognizes leadership not as a trait or the behaviour attributed to an individual leader but as a phenomenon generated in the interactions among people who act in a specific context (Fairhurst, 2007).

Leadership through Performance lens

This lens considers results to be the critical aspect of leadership and is concerned with what is achieved by leadership. It encompasses a quantitative ‘results-oriented’ dimension (i.e., achieving measurable results) that acknowledges the outputs and outcomes of the leadership process (Drath et al., 2008). It also involves a more qualitative dimension that emphasizes the task of being perceived to have produced legitimate leadership. A sometimes even more critical task is acquiring and maintaining legitimacy in the eyes of an organization’s diverse stakeholders, such as employees, customers, shareholders, suppliers, regulators, and the broader citizenry.

Leadership through Place lens

The key question addressed by this lens is ‘Where does leadership take place?’ Central in the efforts to answer this question is the notion of place. In particular, it explores place as it relates to space and time, how these dimensions serve to shape leadership, and how, in turn, leadership shapes them. Place establishes the context within which leadership is created. It asks where leadership is created by encompassing both its geographic and historic constructions.

Leadership through Purpose lens

The key question that is posed in applying this lens to social enterprise leadership is ‘Why is leadership being created?’ Somewhat surprisingly, given the inherently aspirational nature of leadership, purpose has not been given much explicit consideration by leadership scholars: it is something that is implicitly important and is instead taken-for-granted. The fundamental ‘leadership for what?’ question emphasizes the importance of generating and articulating a compelling and enduring purpose in fostering the emergence of leadership among members of a team, group or organization.

The advantage of applying a multi-dimensional framework that has been developed to examine leadership in a variety of contexts is that it can provide a systematic approach to understanding what is distinctive and what is similar in the enactment of leadership in formal and informal organisations. Therefore, the analysis of each lens is a separate and partial consideration of how leadership is enacted and maintained in any specific setting. It is important to extend the analysis to explore the interactions among all six lenses in an empirical investigation to discover

how these combinations yield additional leadership insights that might otherwise go unnoticed and unrecognized.

Final Remarks

Leadership theories have evolved over the years to the new collective perspectives that see leadership as something that is brought about by the collective itself and shift the focus away from leaders – their special traits, behaviours and influence on followers. However how collective leadership is conceptualized varies deeply (Fitzsimons, James, & Denyer, 2011). While some scholars see collective leadership as a function that is shared between at least two individual leaders or a whole team (e.g. shared & distributed leadership) (Pearce & Conger, 2003; Pearce et al. 2007), others (e.g. Hazy & Uhl-Bien, 2015; Balkundi & Kilduff, 2006) see it as emergent and dynamic processes (e.g. complexity & social network leadership) and practices (e.g. leadership as practice) (e.g. Carroll et al., 2008) within networks. Others are more interested in the social and communicative aspects of collective leadership (e.g. dialectic & discursive leadership) (e.g. Collinson, 2011).

Once the collective perspective is adopted as a frame for future research design, it becomes more difficult to capture leadership processes with exclusively traditional leadership lenses and research methods (e.g. in ratings of leaders' traits, behaviours, and characteristics). Additionally, it is harder to keep looking for leadership within leaders when leadership is seen as embedded in social and relational processes. Rather, studying leadership through a collective lens requires scholars to search for it in unfolding leadership processes through the use of more process-orientated theories and research methods (Kupers & Weibler, 2008).

In this regard, the proposed multi-lens leadership framework allows for a more comprehensive approach to studying leadership as it looks to leadership as a relation between several dimensions translated by the six lenses: Position, Person, Performance, Process, Purpose, and Place. Grounded in the constructionist perspective (Gergen, 1999; Berger & Luckmann, 1967) that sees leadership emerging in process as co-constructions that help advance organizing tasks (Hosking, 1988), this framework highlights that leadership is understood as relational in that it emerges only in the context of ‘a particular form of interaction happening at a certain time and place’ (Drath, 2001, p. 16). In this sense, leadership is not something that the leader, as one person,

possesses, as much as it is something achieved in community and owned by a group of independent individuals with a purpose. (Ospina & Sorenson, 2006; Foldy et al., 2008).

Therefore, when we utilize the lenses of the proposed multi-lens heuristic framework, it is possible to identify contributions to both theory and practice of leadership as it highlights the several lenses to approach leadership that enable us to explore its ‘constituents’.

First, by approaching leadership as continuous acts of leading and following, we move away from strict labels that try to preserve people as ‘leaders’ or ‘followers’, and envisage leadership as a process of ‘leading’ and ‘following’ which is always in flux (Fairhurst, 2007). Further leadership studies could put less emphasis on ‘what makes a leader or a follower’ and more emphasis in the process of leading and following, what happens ‘in between’ people, and how leadership and followership takes place in distinct organizational environments. By saying this, I reinforce that future leadership studies should focus more on ‘Leadership through Process’ rather than on ‘Leadership through Position’, ‘Leadership through Person’, and ‘Leadership through Performance’.

Second, the definition of leadership I utilize is also connected to a collective approach to leadership, which brings to the fore not only what leadership is but also why leadership is needed. I agree with Jackson and Parry (2018) when they argue that ‘leadership is needed in order to provide groups of people, whether they are based in formal or informal organizations or in communities or societies, with a shared sense of identity, purpose and direction’ (p. 7). Approaching leadership from a collective perspective, rather than an activity done by a single individual, allow us to explore these inter-related aspects: in order for a collective to establish a common direction (i.e. where they are going), there is need for this collective to understand that its distinctive identity (i.e. who they are) as well a shared purpose that unites them (i.e. why they exist). With this, I aim to emphasize the future leadership studies should also focus on ‘Leadership through Purpose’.

Moreover, is also important to highlight ‘where’ leadership is created. I argue that ‘place’ acts as both an enabler and a constraint of leadership. Place actively shapes leadership and vice versa. It provides the basis for forging a common identity, purpose and direction. By the same token, place is shaped by leadership. Leadership processes are created for groups to respond to particular challenges posed by the place in which they are located. Additionally, as individuals engage in relationships in different places, a leading and following process unfolds, and it can

assume different configurations (Gronn, 2015). With this, I aim to emphasize the future leadership studies should also focus on ‘Leadership through Place’.

CHAPTER 2

ENACTING LEADERSHIP IN THE FAVELA: AN EMPIRICAL INVESTIGATION USING A DIALOGICAL HEURISTIC FRAMEWORK

Introduction

This is an investigation in the field of Organizational Studies, and addresses the topic of Leadership. It examines the emergence of leadership in a particular context in which wicked problems are prevalent and institutionalized: the Favelas of São Paulo, Brazil. The topic of leadership in the context of urban slums has not received the attention it deserves in the scholarly literature. According to the United Nations Report (2014), one in eight people live in slum conditions today. As a widening array of scholars pays increasing attention to individual and collective leadership practices in formal organisation settings, much less attention has been paid to the empirical investigation of leadership processes in settings not necessarily associated with a formal leader-follower relationship.

This study has focused on identifying and exploring leadership practices in the urban slum context that set the stage for collaborative agency. Using a relational, social constructionist approach, it highlights the practices that are undertaken by community members through a collective effort to mitigate the social and economic vulnerability of these places. The primary research question was ‘What types of leadership practices emerge from community leaders-residents relations in the context of favelas?’ I draw on data from a two-year qualitative study that took place in three slum districts in Sao Paulo, Brazil, with community leaders and residents, which explored the ways in which communities were trying to reduce social and economic vulnerability by consciously engaging in leadership practices. In this article, I identify and analyse these practices focusing on both individual and collective perspectives on leadership. I also highlight the key similarities and differences in leadership creation processes within and between the three favela-based organisations. I explore how the experience of leadership as a practical activity in the favela context reveals its dynamic, collective, situated and dialectical nature (Denis et al., 2010).

By taking a relational approach to the creation and development of leadership, I aim to contribute to the understanding of how distinct components of leadership create both opportunities and constraints for particular leadership practices to come to the fore and become institutionalised. More specifically, favelas pose particular challenges for developing leadership, as leadership needs

to be constantly created in the face of significant odds. As community leaders and residents living in favelas face the significant challenge of securing infrastructural necessities for sustaining everyday life (Das & Walton, 2015), they engage in leadership practices through a mutual influence process. I believe that this work is instructive to those who develop leadership for organisations located in less extreme contexts which are becoming more exposed and sensitized to wicked problems in their daily routines (Grint, 2010, 2005; Rittel & Webber, 1973). To examine the creation of leadership to tackle wicked problems, such as those present in these favelas, we may be able to use these learnings in other contexts that also face wicked problems.

While favelas have been portrayed as the geographical spaces that epitomize the great socioeconomic divide in Brazilian society (Hughes, 2012), community residents have become engaged in transforming these places and their representations of themselves (Hamburger, 2008). In the last decades of the twentieth century, urban slums have become a landmark of all major Brazilian cities. By 2010, approximately 6% of the Brazilian population (11.4 Million) lived in vulnerable communities such as urban slums, the majority of slums being located in Sao Paulo (Pasternak, 2016). In these spaces, community leaders and residents organise collective action aiming at making communities more resilient and sustainable (Moulaert et al., 2010) while engaged in a self-representational reframing by positioning themselves and the favela as a rightful part of the city and combating exclusionary and marginalising perspectives on favelas (Holmes, 2016).

In this article, I will employ a heuristic framework for systematically examining how leadership is created in three community organisations that have been established in favelas. This framework is based on Grint's (2005) original 'Leadership Lenses' framework and incorporates six lenses of leadership: Position, Person, Process, Performance, Place and Purpose. I use this heuristic framework for examining how leadership is practised in the favela context. It also draws upon Burke's (1969) Dramatistic Pentad that was utilised to analyse the relations or 'ratios' between dramatistic elements. I use Burke's notion of ratios to reveal the dialogic inter-relationship between the different components of leadership within the leadership framework. Having described the leadership framework, I then systematically apply it to the three favela-based organisations, paying attention to individual, relational and collective perspectives on leadership. I also highlight both the key similarities and differences in leadership creation processes within and between the three organisations. I close the article by highlighting some practical implications for leadership development that emerge from my exploratory analysis as well as outline some future

research priorities for refining the theoretical and methodological foundations of this leadership framework.

Leadership in the Favela Context

In the favela context in Brazil, community leaders have been traditionally regarded as the main agents who articulate the needs and aspirations of residents (Koster & de Vries, 2012). They are known for making efforts for the community and creating social networks inside the community and beyond its borders. They can be informal leaders who engage with residents as ‘informal organisers’ to address specific issues (e.g., housing, education, and environment) or they can hold positions in local grassroots organisations or act as spokespersons of social movements (Savell, 2015; Pandolfi & Grynszpan, 2003).

Leadership is viewed as a key element to social organisation in urban slums in a similar way as to the role it plays in social movements in general (Morris & Staggenborg, 2004). Leaders are viewed as those who inspire commitment and mobilise resources, (Schwartz et al., 1981; Eichler, 1977). The extant slum leadership literature is limited because of its reductionist tendency to exclusively focus on the ‘leader’ in the favelas (DeCesare, 2013). An exclusive focus on community leaders has neglected the social context, most specifically how collective action is created in the social interactions between leaders and residents. Favela-based organisations and actions are only made possible because of the voluntary commitment of individuals, and the legitimacy of a leader only exists on the basis of that commitment. Moreover, the relationship between community leaders and residents varies according to the congruence, or lack thereof, of their interests, which may or may not limit leaders’ actions (Schwartz et al., 1981). The slum leadership literature tends to over-play the ‘agency’ of community leaders at the expense of the role played by members of the community in the rise and fall of these leaders (Pandolfi & Grynszpan, 2003).

By way of addressing this imbalance, I aim to highlight the process by which relational and collective leadership is mobilised in the favela context (Raelin, 2016). Collaborative agency thrives in such complex relational settings since it requires voluntary coordination across a range of diverse social actors. For instance, the interactions between community leaders and residents are influenced by the action of other social agents such as trafficking gangs, government agents, political parties and church representatives. Therefore, in the favelas, this complexity is intensified in situations

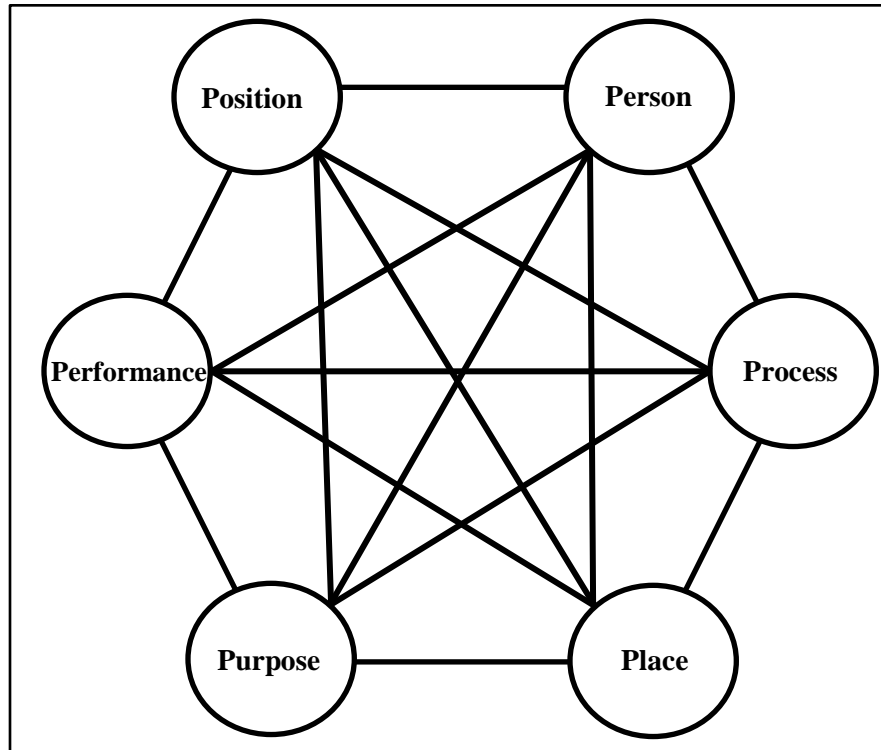
where several individuals share the leadership space and distributed leadership roles (Chreim, 2015). Therefore, to focus on the complexities of leadership in the favela context, I will make use of a leadership framework used to make sense of collective practices that emerge from the interconnections of several components that create both opportunities and constraints for particular leadership practices in the favelas.

The Leadership Framework Hexad

For this study, I draw on a conceptual framework based on Grint's original leadership framework. This enhanced leadership framework incorporates six lenses of leadership: Position, Person, Performance, Process, Place, and Purpose, described previously in Chapter 1.

Here, I focus on the interconnections between Position, Person, Performance, Process, Place and Purpose lenses of leadership that are plotted below in the Leadership Lens Hexad (Figure 1). The Hexad reveals the range of dialogical conversations that can be generated between the six lenses from which we can build more refined knowledge about leadership creation practices in a range of contexts including the favela. This can evoke new insights and open up new possibilities to study leadership and leadership development more aligned with the needs of adaptive challenges that communities and organisations face in complex environments (Bushe & Marshak, 2016).

Figure 1: A Leadership Lens Hexad



This Hexad framework pays homage to the Dramatistic Pentad model proposed by the literary critic Kenneth Burke in *A Grammar of Motives* as the core structure of dramatism, a method for examining motivations (Burke, 1969). Burke animates the Pentad providing a system of analysis based on ratios in which the categories are analysed in relation to each other (e.g., the Scene-Act ratio). In doing this analysis, the critic reveals additional motivations that might not be readily discernible by just focusing on the individual category.

The system of analysis provided by the Pentad based on ratios has inspired me to reveal the dialogic inter-relationship between the different components of leadership within the leadership framework. The Hexad that has been developed highlights the ratios or inter-relationships between the six proposed lenses of leadership. I argue that while applying each of the six lenses of leadership can yield important insights regarding the creation of leadership, it is through the analysis of the ratios that the full heuristic power of this leadership framework can be demonstrated. The ratios introduce additional questions about leadership that are not as obvious and are sometimes over-looked. For example, how does place of leadership influence the purpose of leadership? In turn, how does the purpose of leadership influence its place? In common with Burke,

I see these ratios as being inherently dialogic: they are best viewed in conversation with each other, most especially when confronting a problem, in this case the creation of leadership.

Methods

My research question was ‘What types of leadership practices emerge from community leaders-residents relations in the context of favelas?’ A constructionist approach suggested an interpretive method for data collection, which would elicit practices and stories produced in each slum based organization (Ospina & Foldy, 2010). I followed Lincoln and Guba's (1985) guidelines in choosing research participants. I initially searched for community and social projects that would be most able to provide me with community leaders-residents experiences that would inform on my research question. Then I used a snowball approach (Patton, 2002) to identify additional participants, as original interviewees were asked to suggest the names of other community residents affected by or involved in the community projects.

Data Collection

I collected data using two techniques (Corley & Gioia, 2013): (1) semistructured one-one-one interviews, (2) and non-participant observation. I relied on the interviews as the main source of data, with the observation as important supplementary source. This study draws on fieldwork conducted over 24 months between 2015 and 2017 in two non-government organisations and an informal community leaders-residents setting located in three slum districts in Sao Paulo, Brazil (Jardim Angela, Capão Redondo and Campo Limpo). In total, 58 semi-structured interviews were conducted with community leaders and residents, whether they were associated with a specific NGO (Cases A and B) or not (Case C). Interviews were, on average, 67 minutes in length, with the longest extending to 151 minutes and the shortest to 45 minutes. The initial interview protocol was mostly standardized across research participants (Appendix A) with some customization depending on the position of the participant either in the social project or in community (community/project leader or resident/participant). Initial interviews questions involved person's life history, perceptions on leadership/followership, and attributions and perceptions on community leaders-residents relations. Field observations resulted in the collection of 144 hours of data from attending community meetings, events and activities (Appendix B). I engaged in non-participant observation of project/community meetings, activities and events to gather potentially insightful data pertaining

to community leaders and residents relations. I took detailed field notes during the observation. Table 1 provides a brief overview of the cases in the study.

Table 1: The cases

Case	Nature of the organisation/ group	Scope	Data Sources		
			Research Participants	Interviews	Observations
A	NGO/Social Project	Promotion of social inclusion of children and women through street racing	1 project leader 11 project participants 9 community residents 5 males, 16 females	21 (average time 56 min)	28 (64 hours)
B	NGO	Support and protection to women in situations of domestic and gender violence	1 organisation leader 6 organisation members 4 community residents 11 females	11 (average time 69 min)	12 (35 hours)
C	Several Informal community leaders and residents dispersed in a geographical area	Initiatives related to housing, youth education, culture, transportation, and environment	4 informal leaders 22 community residents 11 males, 15 females	26 (average time 76 min)	15 (45 hours)

Case A

The first research site is an organisation created in 1999 as a community project that later became an NGO using sport as a tool to promote social inclusion, self-esteem and the quality of life of children, young adults and women from the local community. It is based in Capão Redondo, a neighbourhood where 26% of its area is made of conglomerates of slums, largely comprised of precarious, low-quality housing and lacking in basic sanitation. Capão Redondo represents an area of 13.6 Km², with a population of approximately 270,000 inhabitants according to 2010 census data from the IBGE (The Brazilian Institute of Geography and Statistics). In the late 1990s, this district was considered by the São Paulo Civil Police to be part of the ‘Triangle of Death’ (Izzo, 2012) due to high levels of homicides. This social project was created as a response to the conditions in this place. The leader is a woman whose son was killed by criminals. At this time, community residents took the initiative to ask her to do something for the community’s children, and this social project was collectively created aimed at rescuing the children of the neighbourhood and preventing them from becoming criminals or being used by criminals in the drug trade.

Case B

The second research site is an NGO created in 1987 dedicated to providing support and protection to women in situations of domestic and gender violence. The support and protection are carried out through psychosocial care, legal support, employment and income generation, and a local microcredit programme. It is based in Campo Limpo, a neighbourhood known by its social division and exclusion, where low-income people live in slums (27%) next to residences of low standard and popular housing estates that are near condominiums middle- and high-class condominiums. In the 1980s, Campo Limpo had one of the highest levels of violence against women, which triggered the creation of this NGO dedicated to fighting violence against women in this district as well as to claiming women rights. In the 1970s, the leader and some members of this organisation were part of social movements to fight oppression, poverty and social exclusion in Brazil. As a consequence of this prior social involvement, this NGO was created with the aim of promoting female emancipation and gender equality.

Case C

The third research site comprises several local community organisations as well as individual community leaders and residents working in separate groups in different projects related to housing, youth education, culture, environment, and social inclusion. They devote their work to reducing the social and economic vulnerability of people living in Jardim Angela. In 1996, the United Nations declared this neighbourhood as one of the most dangerous places on earth (Manso, 2016). Currently, this district shows one of the lowest family income rates in São Paulo (below US \$350 per family, per month). It also shows one of the worst housing conditions as 31% of the households are classified as slum households. At the same time, this neighbourhood registers a population with a higher number of young people from 15 to 29 years old (27% of the city), living in such conditions. The high mortality rates of young males associated with violent causes (126 young people for every 100,000) reveal the situation of violence to which young people are exposed. These conditions triggered the work of community leaders and residents in promoting social change aiming to tackle these wicked problems.

Data analysis

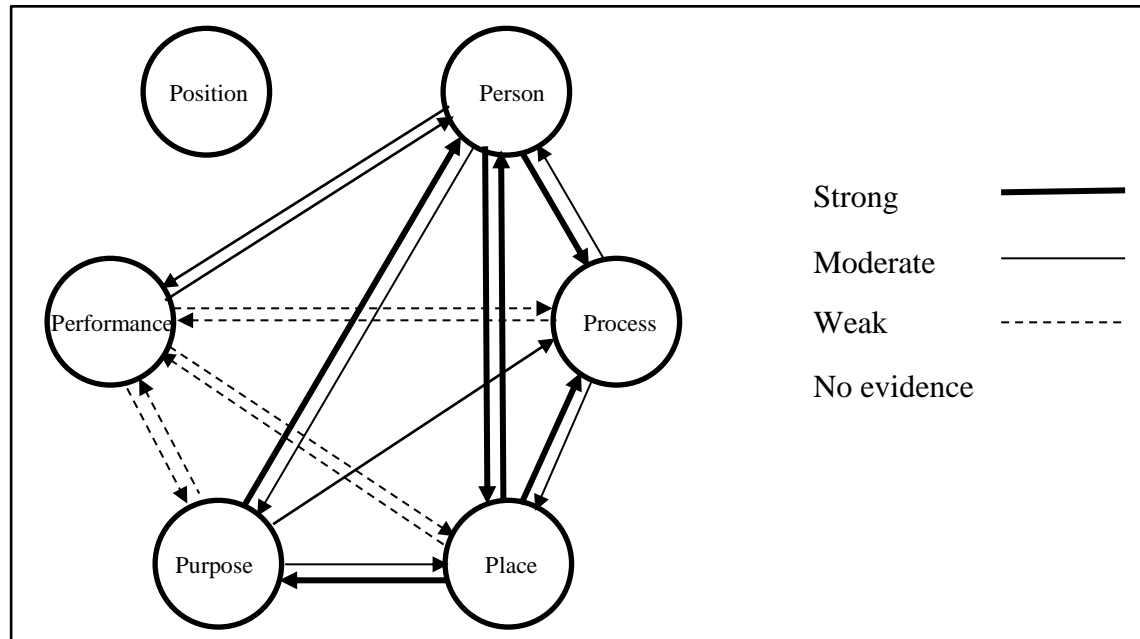
Interviews were transcribed and observation notes were analysed to understand the meanings, processes and patterns of leadership's emergence based on the narratives of research

participants. I began the analysis by identifying initial concepts in the interviews and observation data and starting grouping them into themes emerging from the ongoing analysis, and constant comparison of data across research participants (Glaser & Strauss, 1967). Then, I analysed the themes by applying the aforementioned heuristic leadership lenses and connecting themes to each lens of the framework aiming to revealing the associations of research participants' sayings to each lens (Corley & Gioia, 2013). Next, I engaged in a search for relationships between the lenses, trying to understand and reveal the dialogic connections between them (ratios). In addition, I depicted the language used by research participants and descriptive quotes that epitomize the ideas contained in each ratio. The entire procedure was not linear but, instead, formed a 'recursive process-oriented, analytic procedure' (Locke, 1996, p. 240) that involved an iterative process of simultaneously collecting data and analysing data until further data collection and analysis yielded no further explication of a given lens, what Glaser and Strauss (1967) referred as 'theoretical saturation'.

Findings

The cases allowed comparisons to be made of the interrelationships between the six lenses ratios. Each case revealed different features of the creation and development of relational and collective leadership. Some important similarities as well as some important differences were found between the cases that will be described in this section. In applying the Leadership Hexad to the empirical data, some ratios appeared to be more significant than others in helping understanding how leadership unfolds in each case, while other relations did not appear to be at all salient in our field research. To this salience that one ratio has to highlight the emergence of relational and collective leadership practices we call 'the relative strength of the leadership lens ratios' which is depicted in Figure 2. I came up with four categories: No Evidence, Weak, Moderate and Strong salience of a specific lens in the leadership practices in each case.

Figure 2: The Relative Strength of Leadership Lens Ratios across the Case Studies



For example, the ratios that included the Position lens did not seem to be at all significant to the creation of leadership in the favelas. I have tentatively concluded that formal positions of authority are not an important factor in the leadership relationship between community leaders and residents. By contrast, in most situations, almost all leaders and residents saw themselves as being engaged exclusively in a horizontal relationship. Even in the cases where NGOs had someone in charge, Position did not emerge as an important component in the process of creating leadership. As for the relationship between Performance lens and the other ratios, I noticed that in some cases it played a role in the development of leadership mainly by influencing the construction of leadership-followership identities (i.e. the Performance–Person ratio). In some cases, I noted that to be granted leadership identity comes after or because of the results the leader has achieved for the community (Huxham & Vangen, 2000). However, according to my analysis, these ratios have shown a weaker influence on the leadership process compared with the others. As a result, both Position and Performance ratios will not be included in the analysis that follows.

Table 2 summarises the ratios that were the most pertinent to the analysis of the leadership dynamics within the three case studies. These ratios revealed either strong or moderate relations between each other. In exploring these ratios further, I aim to demonstrate the potential value of the Leadership Hexad framework. In the following sections, I describe the six ratios and provide

insights from the three cases regarding the creation of collective leadership. At the beginning of each section, I provide a quote extracted from one of the cases that epitomize and introduce the ideas contained in the description of each ratio.

Table 2 – Summary of Key Ratios within each Case Study

#	Ratio	Case A	Case B	Case C
1	Place – Person	Place shaping people responses to social exclusion and the emergence of a community leader	Place forging a shared identity that enables collective leadership	Place enabling the development of multiple community actors to tackle social vulnerability
2	Place – Purpose	The role of place in creating a shared purpose for social change	The role of place in creating a shared purpose for women emancipation and gender equality	Place triggering multiple purposes for improving living conditions
3	Place – Process	The role of place in creating the conditions for a non-collective process	The role of place in creating collaboration and self-management	Dispersed geography creating distinct processes and dispersed leadership
4	Purpose – Person	Purpose driving people actions for social change	Shared purpose created by individual and collectives stories	Shared purpose bonding leaders and community residents
5	Purpose – Process	Shared purpose maintaining a collective initiative despite of a non-collective process	Purpose underlying collective action, decision making and cooperation	Multiple purposes unfolding multiple processes; the need for coordinated actions
6	Person – Process	The role of leader and residents in creating a non-collective process	The role of leader and group in fostering collective process	Distinct approaches for creating collective process

The Place ↔ Person Ratio

‘Her focus is the community; she wants to improve the neighbourhood. Capão Redondo once was deemed as the worst place in São Paulo and she said, ‘I want to make a difference.’ Before, there was only criminality, but she has brought out the good side of Capão Redondo with this social project, taking the children out of the streets.’ (Community resident, Capão Redondo, Case A)

The cases provide equally strong instances of the *place – person* ratio and how leadership is created in response to place. In case A, her emergence as a leader in this community occurred as a response to residents who took the initiative to ask her to work with them to initiate a collective effort aimed at creating a social project (granting leader identity). According to her...

‘I’m not the one who conceived this organisation[...] all this was born from a need of the community[...] they saw in me the person who could lead the cause; and that’s how it all happened, I am just the one who had the idea to follow up the dreams of this community.’

To deliver this project, they organise themselves around daily activities and monthly meetings. Project participants are residents of the community who share different responsibilities without a predefined set of roles and functions, acting as they are requested to by the project leader or according to their interests in specific activities or expertise (e.g., lawyer, accountant). However, the organisation leader has been accredited as being responsible for the success of the organisation in the media and also by the community residents. Although all organisation participants acknowledge their role either in the creation of the organisation or in its sustainable results so far, they acknowledge her as the key responsible for the organisation’s achievements. To that, she reinforces the collective effort of the group by saying...

‘I demand strong commitment at meetings and initiatives, when they start saying ‘oh, why don’t we do that?’ I reply ‘come together’. I demand that from all of them [...] if you want to make social change you have to roll up your sleeves and work together.’

In addition, Case C also provides us with an example of place enabling the development of relations among multiple community leaders, residents and organisations dedicated to addressing the high level of inequality and social vulnerability in the neighbourhood. Each organisation or community leader has a particular history with the neighbourhood, and their actions tackle different social issues. Leaders are sometimes described as ‘bridges’ between the community and other areas of the city.

‘The bridge is the connector; the leader creates connections[...] he/she will see people on both sides and will build a bridge for those people to see each other, or to be together, or just to cross the bridge because it is up to them to decide what to do.’ (Community resident, Jardim Angela, Case C)

The notion of a ‘bridge’ plays a pivotal role in the emergence of relational leadership in this district. The idea of a ‘bridge’ means a relational role within the community and leaders are perceived as such in the moment they help connect residents and the community with other areas of the city, for example, the City Hall and City Council. Leaders and residents talk about the need for a collective effort and, therefore, collective leadership, but some may find it hard to build the necessary relations that will result in greater involvement of the community residents in all types of mobilisation.

‘they come after me, sometimes they do not know how to raise a complaint, others are a bit shy and think they will not be received at the City Hall, think that their problem will not be solved [...] and they think that I can help. But when I feel overwhelmed I start delegating tasks because I cannot do everything [...] everyone needs to take responsibility.’ (Community leader, Jardim Angela, Case C)

Leaders have reported this need for coordination of an entire community with different needs, interests, personal backgrounds, religious and political affiliations and awareness as a particular aspect of the leadership process that slows down decision-making and the actions that are derived from meetings and discussions with the community. This is reinforced by one community resident who notes that

‘this relational leadership takes longer than usual to be built because the idea is not that one individual will bring the solutions to the community, but it is co-responsibility and everyone needs to participate in this construction.’ (Community leader, Jardim Angela, Case C)

The Place ↔ Purpose Ratio

‘There are many people disputing this leadership space [...] it is much dispersed, one does not strengthen the other because everyone wants to be a leader here, and this ends up weakening our strength. We have lost the power of bringing people together around a common, shared proposal, which is to improve this neighbourhood; we all are looking for the same thing.’ (Community Resident, Jardim Angela, Case C)

The *place–purpose* ratio indicates how place can be a key driver in the creation of a shared purpose among community leaders and residents in the three cases. My observations have pointed to the conditions that promote the emergence of a shared purpose in a specific place. First, the perception by community residents that other actors (e.g., government) are unable to help them; therefore, they need to provide their own response to the conditions

imposed by place (Case A). Second, a shared perception among residents about the unequal relations between members of a society (e.g., women) with other members (e.g., men) as in Case B, drives the creation of a common goal. Third, different perceptions or needs of a group of people in a community about the living conditions in that place may facilitate the emergence of multiple purposes and leadership spaces, as with Case C.

In Case A, the analysis of the *place – purpose* ratio helps to illustrate the emergence of leadership from a shared purpose between members of a community claiming for social transformation. A shared purpose, which is ‘born from the need of this community, since the government did not look after us’ was created as both leader and residents experienced adverse conditions under high levels of criminality. To address this problem by creating a social project aimed at promoting social inclusion was a first step to ‘do many other things in this community where we had no voice’.

Case B demonstrates another indication of the relation between place and purpose. In the 1980s, Campo Limpo had one of the highest levels of violence against women as well as social exclusion in São Paulo. These factors were the primary reason that led to the creation of this NGO dedicated to fight violence against women at this district as well as to claim women rights. Shared purpose has helped to transform the scene in this neighbourhood as the women of Campo Limpo report that ‘we have something that we identify with, people with a purpose, and many things that have happened here have been a result of these women’s determination’.

Additionally, Case C reveals the emergence of multiple purposes in response to the diversity and complexity of problems faced by community residents. The quote that introduced this section highlights multiple purposes triggered by different approaches to tackle economic and social vulnerability in Jardim Angela. Consequently, many leadership spaces have been created, fostered by different social, religious, and political backgrounds. It is worth noting how the presence of multiple purposes in this place may hinder the creation of collective leadership and can even slow down the transformation of place. Leaders perceive that ‘it is difficult to combine all purposes in one single purpose... each group or organisation pursues its own purpose and at some point these purposes may meet and they start doing things together’.

The Place ↔ Process Ratio

‘Here we have a very complex work process. Each woman that arrives here brings in common domestic and gender violence. However, each one brings a life history with very particular elements. So, the answer that we are going to provide to one woman does not apply to the other.’ (Community leader, Campo Limpo, Case B)

My analysis of the *place – process* relation helps to further unfold the challenge of developing leadership in the three cases. While in Case A, place plays a role in creating certain conditions that hinder a collective process, in Case B place plays the opposite role by creating the scene for collaboration and participation. In Case C, place contributes to a variety of processes and leadership approaches to address social issues.

In Case A, low economic and education background of project participants have created a scenario that inhibits greater involvement and active participation in meetings by project participants. Many report ‘I have little education, so I like to listen more than speak and I barely express my opinion in meetings’. Others even think that the lack of education of the project participants is a factor to bring ‘people better equipped to do the work, instead of working with us who can’t help much, as we have no education’.

Additionally, Case B shows that the relations between place and process are twofold. First, in this organisation process is created because of its history. The ideals of cooperation and solidary economy that inspired the founders of this NGO came from their involvement in social movements to fight oppression, poverty, and social exclusion in the 1970s. For them, collectivism is a form of political action, which represents resistance and opposition to social exclusion. Therefore, they see collective process as the only form of organisation. Second, due to the unpredictability and complexity of the situations that members may face on a daily basis, the nature of the problems with which they deal also creates the parameters for this collective action. This is well exemplified by the quote that introduced this section and by another resident who wryly observes: ‘what was right in the morning does not mean that it will be right in the afternoon, the answers are not the same because each situation is unique’.

In Case C, the relation between place and process is observable in the geographical dispersion of the district. Jardim Angela has a population of approximately 300,000 people in much dispersed areas of slums conglomerates. Each area may have distinct problems to be addressed, and leaders and social organisations have their own way to engage and work

with community residents. Overall, residents and leaders share the idea of leadership as a collective process since: ‘the idea is not someone coming as the one who will solve the problems and bring the solutions to the community[...] but it is co-responsibility and everyone needs to participate in this construction’. However, there are dissonant voices on this matter, as some residents may believe that the leader is the one who is responsible for addressing the community problems. After all, ‘the community expects you to take care of their demands, that you bring answers to these demands[...] in this community there is a need to someone to be a leader, even horizontally.’

The Purpose ↔ Person Ratio

‘I’m no poor devil. I am one more in the statistics... Stories like mine are numerous here. There are many mothers here are widows and have lost their children in this community [...] so, instead of grieving and wanting for justice at any cost, and looking for revenge, I decided that I had to make a difference. I had to oppose the statistics. I had to find happiness in my life.’
(Community leader, Capão Redondo, Case A)

The *purpose – person* ratio helps to point out another significant dimension in the creation of leadership in these neighbourhoods, which is related to how a shared purpose unfolds relationally and is capable of maintaining individuals working collaboratively together. There is a similarity between the three cases on how purpose drives, and is driven by, individual and collective stories that are connected by the aim of social transformation.

In Case A, the collective stories of community members who once perceived themselves helpless, sandwiched between an absent state and dominant criminals, were united under a shared purpose which was triggered by a dramatic story of a woman willing to change the course of events in her life and in the life of the community. This unifying purpose is kept today by the stories community residents keep telling themselves, ‘she used to say to us that one day our project will be in the news but not in the police pages of the newspapers’.

Similarly in Case B, shared purpose is created and maintained by individual, relational and collective stories of women who have created and been supported by this NGO. The organisational leader’s ideals are seen as an inspiration for other women to continue their work for the emancipation and gender equality of women. At the same time, the stories of women who are rescued and helped by members of this organisation on a daily basis make

them re-create and re-define their collective leadership practices, as some of them declare that

‘the fact that I work trying to help others give me some encouragement; at the same time we are fighting for public policies, we are healing the feet of a woman who arrives here after walking day and night looking for help[...] we do this naturally; so I feel co-responsible for all these actions.’

In Case C, along with place, purpose bonds community leaders, residents, and organisations. Despite the different approaches and backgrounds, they are connected by the same stories of social vulnerability that makes

‘you want to be a leader in your community, in your territory because you see the community’s wounds and you cannot put up with that[...] you talk to yourself ‘I need to do something to transform this place’[...] and you start looking for ways to do that and start talking to people.’

The Purpose ↔ Process Ratio

‘Sometimes we are leading, sometimes we are following depending on the situation [...] in every leadership moment some people take the lead and you follow.’
(Organisation Member, Campo Limpo, Case B)

The *purpose – process* ratio illustrates the various ways that purpose permeates the creation of a collective leadership process. On one hand, purpose and process are two sides of the same coin of ‘collective leadership’; that is, they go along with each other and cannot be understood separately (e.g., Case B). On the other hand, shared purpose does not necessarily result in a collective process, even though in the end it is the bond that makes people work together (e.g., Case A). Finally, multi-purposes can enable multiple processes, which take place in a dispersed group of community residents, as with Case C. However, even in this scenario, an overarching purpose allows the interchange of thoughts and mutual respect towards each other.

In Case A, a shared purpose has been responsible for maintaining a social initiative over the last 20 years. This organisation has been through different phases since its creation as small community project until it became a NGO. Although the leadership process is not an entirely collective effort (refer to the *person–process* lens discussion), the organization’s purpose has held members and community together. People may still support the project and be connected to its purpose even if they are not taking part in it because of the current leadership process.

By contrast, in Case B the NGO leader and members believe that their action is only possible through collective action and cooperation within the organisation as well as in partnerships with other organisations of civil society. These views are grounded in their notion of leadership as a collective construction, not a single person's ability. They see themselves in an ongoing process of leading and following inside and outside the organisation.

In Case C, the sheer magnitude of wicked problems, dispersed geography, and distinct world views due to personal, political, and religious backgrounds have resulted in different approaches to tackle local problems. There is, however, an overarching purpose of transforming the neighbourhood to reduce the economic and social vulnerability in this place. Distinct actions like signing petitions, creating spaces for dialogue with the community, or attending forums for group discussions, are ways that leaders and residents have created to foster of collective action and ensure mobilisation. However, the lack of connectivity among actions and approaches remains the main feature of this place.

The Person ↔ Process Ratio

'They think it is my fault [...] they say there is no improvement in this community because I am not going after it [...] they say 'go to the City Hall, go after it, everyone gets things done but you' [...] And I say that we need to act as a community, need to be united in order to be heard by the government.' (Community Leader, Jardim Angela, Case C)

The *person – process* ratio is based on my analysis of how leaders and community residents build relations that either facilitate or hinder the development of a collective. Relations are built based on different perspectives of roles and responsibilities with regards to an activity or action or even on distinct levels of commitment or participation that people are willing to dedicate to a specific cause (Cases A and C). They also evolve with time that implies that the collective process goes back and forth and it is an ongoing construction between leaders and residents (Case B).

Of all ratios, this ratio in Case A is the most contested from the leader and project participants' perspectives. Decision-making is seen as normally centralized in the person of the leader and the meetings are normally for information, not decision. Overall, those who do not participate actively in meetings report they do not feel their contribution is appreciated by either other members of the group or by the leader. In addition, while some participants

complain that it is all about the leader's view and approach for the organisation, others report that some are not fully committed. One stated that, 'in general, people keep waiting for her to say what they need to do. But it is not necessary. If you see that something needs to be done you don't need to wait, you should go there and do it'.

In contrast, Case B shows an organization that bases its approach on a collective decision process and the collective construction of leadership. For the members of the organisation, everything needs to be discussed and agreed by the group even if it slows down decisions. One of the underlying reasons is how different solutions need to be provided according to the need demonstrated by the woman looking for help. As this process unfolds, other women learn the practice of relational leadership, transmitting this learning to the new ones that join the organisation.

In Case C, leaders and residents believe that a collective effort through dialogue, exemplary actions and behaviours, community participation and commitment is the way how problems should be approached. Different forms of engagement between leaders and residents are present in Jardim Angela as some leaders see themselves

'At the same place as other people [...] we are here to help each other'. Other leaders would prefer more engagement from community residents as they think that 'could do more, believe more, but we need to talk more with this community.'

They add that 'if we don't do more it is because of the lack of dialogue [...] a community leader is only the messenger but the transformation needs to come from the community.'

Discussion

Favelas: the primacy of place, purpose, and process leadership

The preceding findings of the three cases raise several considerations about creating collective leadership through the relations between community leaders and residents. First, the analysis reinforces the primacy of relations in the creation of leadership that is a hallmark of collective leadership. The Leadership Hexad framework endeavours to provide a systematic means to build a fuller appreciation of the full range and richness of these relations. The dialogic nature of these relations serves to highlight the fact that the creation of leadership is a dynamic, fluid, and sometimes unpredictable process that needs to be more holistically appreciated from a variety of perspectives and in a more systemic manner. This is a challenge that leadership development needs to embrace wholeheartedly.

Traditional leadership studies have tended to privilege and focus upon the Position, Person, and Performance lenses in researching and developing leadership (e.g., Avolio & Gardner, 2005; Bass & Steidlmeier, 1999). These lenses seem not to play a key role in the emergence of collective leadership in settings where the relations between ‘leaders’ and ‘followers’ are not necessarily mediated by hierarchical structures and formal processes as in the favela context. The three cases revealed social contexts in which Place, Purpose, and Process play a more important role in the emergence and development of leadership in these settings. Of these three lenses, Place appeared to have the most discernible impact on leadership practices in these communities, most especially when it was deployed as part of a ratio. Having said that, some differences were highlighted in the three cases as to the role that Place played in the emergence of leadership. Along with Purpose, Place helps forging relations that enact collective leadership practices between community leaders and residents in the favelas. Collective leadership configurations can be reinforced or hindered depending on what goes on in the spaces between people who are engaged in leadership practice and how leadership processes are enacted and maintained in organisations (Process).

Dialogical leadership in the favelas: revealing the inter-relationship between the different components of leadership

A second consideration raised by this study is that rather than approaching leadership by studying its common individual components (e.g. Position, Performance) as originally

proposed by Grint (2005), the ratios reveal nuances of mutual influences of these leadership components involved in the enacting of relational and collective leadership. The cases allow for some useful reflections about these ratios:

- 1) Place-Person: As individuals engage in relationships in different places, a leading and following process unfolds, and it can assume different configurations (Gronn, 2015). Place actively shapes leadership and vice-versa. It provides the basis for forging a common identity and direction. Leadership processes may be created in order for individuals to respond to particular challenges posed by the place in which they are located. These individuals engage in social interactions that influence the creation of relational and collective leadership practices as they come together to organise their activities in distinct settings (Koonce, 2017). Therefore, to study leadership is to reveal the relations between persons and places.
- 2) Place-Purpose: In my view, purpose precedes the emergence of collective leadership practices and acts as an anchor or facilitator of the creation of a collective effort. It is purpose that differentiates leadership from other activities, despite the results that may be originated from it (Grint, Jones, & Holt, 2017). Purpose has a role to play in leader-follower relationships that are forged in a place (Kempster, Jackson, & Conroy, 2011) as 'leadership is more than a person; it is a sense of purpose, a force that gives people a common direction' (Drath, 1998, p. 406). Purpose has a role in enacting leadership that transform places.
- 3) Place-Process: Applied to leadership development, the place-process ratio emphasizes two important aspects: (1) leadership process results from the interactions and from the organising process that individuals undertake as they engage in social relationships in a distinct place (Koonce, 2017). And (2) leadership process that takes place in pluralist social and organisational settings has to be created to foster sufficient degree of commonality among social actors and organisation members to get things done. Leadership enacted in the favela context reveal that commonality of interests in a place cannot be assumed and, therefore, leadership processes are required for the creation of common direction, alignment and commitment in a collective effort (Hartley, 2017).

- 4) Purpose-Person: Applied to leadership development, the three cases reveal that there is a necessity to foreground ‘leadership as purpose’ and ‘to develop a more nuanced and grounded understanding of how purposeful leadership discourse occurs in practice in order to gain a keener appreciation of the circumstances that promote and constrain such discourse’ (Kempster et al., 2011, p. 331). One of key learnings from the favela-based organisations that could be taken to other organisational settings is that ‘leaders’ and ‘followers’ that interact within a particular place should work towards an explicit purpose, if they want to create collective mobilization (Ladkin, 2010).
- 5) Purpose-Process: The purpose-process ratio helps to us to examine how purpose mobilizes individuals who engage in leadership practices and the distinct processes that such mobilization is accomplished depending on the circumstances. Leadership process expresses how people see and approach leadership. Depending on what they are trying to achieve, ‘leaders’ and ‘followers’ create a leadership configurations that best fulfil that purpose. As Ladkin (2010) mentions, ‘the creation of meaning is seen as a dialogic endeavour, emerging from processes of translation and mediation between leaders, followers and the purpose towards which their action is directed’ (p. 102).
- 6) Person-Process: As the leadership process unfolds, leadership may assume different configurations as individuals who rely on the figure of a single leader may privilege a more traditional and hierarchical leader-follower relationship, while those who trust in a relational approach conceive of leadership as a ‘social influencing process through which emergent coordination and change are constructed and produced’ (Uhl-Bien, 2006, p.655). So, in order for leading and following to become two sides of the same process, everyone in an organization needs the share a relational perspective in order to work in a context of interdependence (Fletcher, 2004).

The time dimension of collective efforts

The third consideration revealed by the study is the importance of how leadership processes evolve over time (Shamir, 2011). In some of the favela organisations, leadership practices have been built up over a period of more than 20 years. The extent to which

leadership is genuinely collective may oscillate over time depending on the persons, the purpose, the performance, and the place. Because of its longitudinal nature, this study showed how leadership is constructed as an emerging property that is forged by the everyday interactions in which relationships are fluid and shift over time. It resides in a system or context – social, organizational, group or team - and emerges only in the context of ‘a particular form of interaction happening at a certain time and place’ (Drath, 2001, p. 16).

Conclusion

The definition of leadership I used proposes leadership as an ‘interactive process’ of leading and following. It emphasises leadership as ‘a co-constructed reality, in particular, the processes and outcomes of interaction between and among social actors’ (Fairhurst & Grant, 2010, p.175). The proposed multiple lens framework foregrounds some factors that helps us to understand how these interactions are initiated and maintained as well as where and how collective leadership emerges, the forms that it takes, and the impacts that it produces in a distinct place of urban slums. It does so by exploring the emergence and maintenance of relational and collective leadership practices through the lenses of Purpose, Place, Person, Position, Process, and Performance. In the favela context, the ratios of four lenses (Place, Person Purpose, and Process) stand out to reveal collective leadership practices. The three cases strongly emphasised shared place and purpose to address social and economic vulnerabilities. They differed to the extent that they went about doing this (i.e. process).

There are two particular reasons why I believe that this study can add value to the leadership development field. First, in order to develop the type of collective leadership that is required to tackle wicked problems, more attention needs to be paid to the multiple perspectives and configurations in which leadership is co-constructed (Gronn, 2015). A leadership configuration can be understood as a pattern or an arrangement of leadership practice represented by ‘a time-, space-, context- and membership-bound configuration of influence-based relationships’ (Gronn, 2009, p.381). These leadership configurations operate as dialogic relationships whose elements are dynamic and vary within a range of modifications, improvisations and adaptations (Gronn, 2011), resulting in several forms of leadership that tend to co-exist (Gronn, 2009). Second, by showing how collective leadership has been created to tackle situations of social vulnerability in the favelas, I connect to the

broader literature of leadership that focuses on the situated relational dynamics from which leadership emerges and propose a view of leadership as a co-construction. I anticipate that these approaches might be better able to generate transformative change by developing a ‘dialogic mindset’ (Bushe & Marshak, 2016) that can be utilized for responding to wicked societal and organizational problems.

In terms of implications for practice, the findings can be instructive to those who develop leadership for organisations located in less extreme contexts which are becoming more exposed and sensitized to wicked problems in their daily routines. To examine the creation of leadership to tackle wicked problems, such as those present in these favelas, we may be able to use these learnings in other contexts that also face wicked problems. For example, from a Purpose lens view, it brings to the fore the impact of a shared purpose vs. multiple purposes in facilitating or hindering collective leadership efforts. Organisations that face lack of common direction, alignment and commitment (Drath et al., 2008), might benefit from reviewing their leadership processes through a Purpose lens, and by reckoning the importance of shared purpose in the creation of leadership. From a Place lens perspective, the study raises the issue around the impact of place on community leaders and residents capacity of social transformation. Understanding the realities posed by place (e.g. different needs, interests, personal backgrounds, religious and political affiliations) could be a starting point for tackling both limiting factors and facilitators of a collective effort. From a Process lens approach, the article highlights the notion of the ‘bridge’ leader, whether or not in a formal role, in the creation of relational leadership. In community-based organisations this has implications for the way leadership is approached as a relational process in which community leaders and residents engage in a relationship that co-create leadership and its results through a collective effort. This could bring different perspectives among community residents and leaders on the role of the latter in addressing community problems.

In terms of theory of leadership and leadership development, there is a clear need for a deeper empirical understanding of the role played by the six lenses (Person, Position, Place, Process, Purpose, and Performance) in the leadership practice. The findings indicate the interactions between the six lenses that can be further explored in empirical research that can indicate how these combinations affect leadership configurations. For example, they open the possibility to investigate the role of Purpose in creating responsible leadership practices,

or to investigate the ‘space’ around and between leaders and followers, and the influence of Place in fostering or constraining leadership practices. In addition, more investigation could be conducted on whether the relations of the components of the leadership framework are better explained by triads not ratios.

CHAPTER 3

ENACTING LEADERSHIP IN FORMAL ORGANISATIONS: AN INQUIRY INTO THE CREATION AND DEVELOPMENT OF LEADERSHIP PRACTICES USING A MULTIPLE LENS FRAMEWORK

Introduction

This inquiry aims to present the empirical findings from a systematic and comparative inquiry into collective leadership practices within two private sector organisations based in Brazil. It endeavours to examine when, where and how collective leadership practices emerge (Raelin, 2011) and to understand the various forms that it takes (Ospina & Foldy, 2010). It attempts to advance the investigations on leadership in the field of Organizational Studies.

Despite the growing interest of academics in the collective forms of leadership and the current views of leadership as a collaborative agency (Raelin, 2016), the field still tends to focus on the qualities of individual ‘leaders’ and their roles in the success or failure of groups and organisations (Storey, 2016). While leadership is seen to be something that is no longer exercised solely by those in formal positions of authority who have a particular style or management skills (Wood, 2005), in a number of empirical accounts of distributed leadership, however, individual leaders have figured prominently as agents of influence (Gronn, 2002). On one hand, this can be explained by the complex dynamics between individual and collective leadership (where leadership is located), which point to the current a gap in the leadership research investigating the shifting attention from individual leaders towards leadership as a collective effort (Denis et al., 2012). On the other hand, traditional leadership research lacks the understanding that leadership operates as dialogic relationships, from which it can be built more refined knowledge about leadership creation practices in a range of contexts, resulting in several forms of leadership configurations (Gronn, 2009). To respond to this state of affairs, this article is particularly interested in exploring the types of leadership practices that emerge from leader-follower relations in the context of private sector organisations, paying attention to individual, relational and collective perspectives on leadership. Formal organisations have been portrayed as examples of hierarchical rather than collective practices of leadership, since leadership remains a focus on single leaders (Bennis, 2008).

I believe that the importance of approaching leadership as collective effort has profound implications for the way leadership development is articulated and practiced. The leadership development field tends to be guided by functionalist assumptions concerned with organizational performance and leadership capability (Mabey, 2013). The field is preoccupied with prescriptive competency frameworks that are context-free and largely disregard the social and organizational environment in which leadership is being developed (Gagnon & Collinson, 2014). That being said, a growing constitution of leadership approaches are recognizing that leadership is a socially constructed phenomenon that is co-created relationally, rather than residing in a single individual (Koonce, 2017). With this view, leadership development is conceived as a relational and participative process enacted by individuals in dialogical relationships (Van Loon, 2017; Cunliffe & Eriksen, 2011). These practices have been more capable of ‘guiding the emergent, generative organization and change processes required of interdependent systems in a multi-dimensional, diverse world marked by volatility, uncertainty, complexity, and ambiguity’ (Bushe & Marshak, 2016, p. 2).

Additionally, the idea of collective leadership is emerging as a theoretical umbrella that captures diverse scholarship on ‘shared’ (e.g., Carson et al., 2007), ‘distributed’ (e.g., Gronn, 2002), ‘networked’ (e.g., Balkundi & Kilduff, 2006), and ‘relational’ (e.g., Uhl-Bien, 2006) leadership. Some scholars have used collective leadership to refer to a constellation of individuals who contribute within a network (Raelin, 2018), while others have used it to study decentred practices in place that result in a collective achievement that is brought about by all of the participants in the leadership process (Contractor et al., 2012). These differing approaches pose a challenge in defining, measuring and documenting collective leadership. It is not easy to translate the assumptions of a collective lens into adequate leadership theories, research design decisions and leadership development practices. Acknowledging this challenge in capturing collective leadership processes and motivated by a desire to cross this theory-method divide, I examine the creation of collective leadership using an extended version of the heuristic framework of leadership lenses first presented by Grint (2005). This framework encompasses six lenses of leadership: Person, Position, Process, Performance, Place and Purpose. It provides a method for empirically examining leadership practices in a

longitudinal manner using these six lenses to capture the various ways in which collective leadership is co-constructed through social interaction.

In this article, I employ this heuristic framework to systematically examine how leadership is created in two multinational Brazilian organisations, one in the paper and allied products industry and the other in the cement industry. The primary research question was ‘What types of leadership practices emerge from leaders-followers relations in private sector organisations?’ The study draws on data from a two-year qualitative study of two formal leaders and their direct and indirect reports, exploring the leadership practices that emerge from formal leader-follower relations in these contexts. This framework is based on Grint’s (2005) original ‘Leadership Lenses’ framework. It also draws upon Burke’s (1969) Dramatistic Pentad which was utilised to analyse the relations or ‘ratios’ between dramatistic elements in his uniquely insightful method of rhetorical criticism. The Burke’s notion of ratios is used to build a Leadership Framework Hexad that emphasises the notion of ratios that reveal the dialogic inter-relationship between the different components of leadership within the leadership framework. Having described the leadership framework, I then systematically apply it to the two private sector organisations, highlighting both the key similarities and the differences in leadership creation processes between them. I close the article by underscoring some practical implications for leadership development that emerge from my exploratory analysis, as well as outlining some future research priorities for refining the theoretical and methodological foundations of this leadership framework.

Hierarchical versus Collective Leadership Practices

There have been several attempts to contrast the distributed or shared forms of leadership with the traditional forms of leading and organising (e.g., Raelin, 2003; Gronn, 2003), moving the field from its leader-centred tradition, i.e., focused on the individual leaders and his or her traits, abilities and actions (Wood, 2005). Raelin (2003) suggested that in leaderful organisations (places where everyone shares the experience of serving as a leader) many people are engaged in leadership practices, rather than only those in formal positions. Therefore, leadership would be collaborative rather than controlling, and leadership processes are concurrent and collective rather than serial and individual. This collaborative work, in which the ‘leader’ is decentred, is seen by some scholars as collective

leadership (Contractor et al., 2012), in which leaders can hold, but do not necessarily hold, formal positions of authority. This condition connects with the idea of leadership as a process – ‘a dynamic process in which the leader(s) and followers interact in such a way as to generate change’ (Kellerman & Webster, 2001, p. 487).

The notion of distributive leadership, proposed by Gronn (2003), suggests a ‘concertive action’, in which the boundaries of leadership become more blurred because many more members of the group participate in leading their organisations. In this sense, leadership becomes not a property of the formal individual leader but an emergent property of the group, network or community (Grint, 2010). However, in a number of empirical investigations of distributed leadership, individual leaders have still figured prominently, as they continue to exercise significant and disproportionate influence compared with other individual agents (Gronn, 2002).

In fact, I argue that leadership is never totally shared, collective or hierarchical. Leadership configurations vary across time and place (Grint, 2010). When researchers have distinguished between ‘vertical’ and ‘horizontal’ (e.g., Bolden et al., 2011; Gronn 2009) they have recognized both informal, emergent and collective acts of influence and those initiated by people in formal positions of authority (Bolden, 2011). As explained by Holm and Fairhurst (2018), there is a complex relationship between shared and hierarchical leadership since they are deeply intertwined in most organisations and are not necessarily exclusive (Yammarino et al., 2012). That shared and other forms of plural leadership require hierarchical support (Burke et al., 2003) is intrinsic to the pervasive forms of organising, relying on formal positions of authority, organisational structure and hierarchies that permeate current organisations (Pearce & Conger, 2003). Therefore, collective leadership can depend on hierarchy to appear and to flourish (Denis et al., 2012), while collective action can rely on the support of vertical leadership (Lichtenstein & Plowman, 2009), which plays a key role in fostering shared and collective direction and alignment (Drath et al., 2008) or in preventing it using coercive or position power (Pearce & Slims, 2002).

This ambiguous and diffuse distinction between shared and hierarchical leadership (Gronn, 2015) has led some researchers to propose further work on the interaction between these two types of leadership (Yammarino et al. 2012). The multiple sources of authority, ambiguous roles and responsibilities and fluid participation in decision-making (Holm &

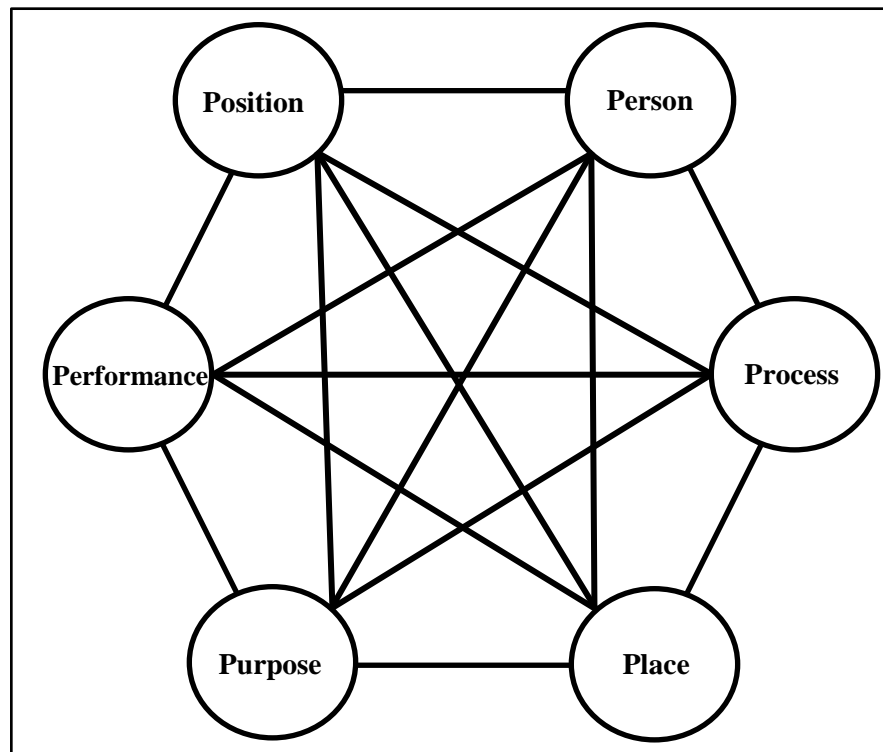
Fairhurst, 2018) also bring to the fore questions around ‘agency’ in collective leadership (Cunliffe, 2018). Whether collective leadership refers to a constellation of individuals who contribute within a network (Raelin, 2018) or decentred practices in place resulting in collective achievement (Contractor et al., 2012), it does not clarify whether agency lies with individuals, the collective or both (Cunliffe, 2018).

This discussion is even more relevant when we still see hierarchical and collective leadership practices co-existing in organisations. A formal leader can foster participation and collective decision making while he/she still dominates the discussion. Conversely, team members or informal leaders who share influence might be reluctant to assume authority, might compete for it, or might even use the hierarchy to sidestep it (Holm & Fairhurst, 2018). Thus, it is not simply a case of either hierarchical or collective leadership but of a how leadership configuration operates as dialogic relationships and takes several forms (Gronn, 2015).

A Dialogical Lens Leadership Framework

The interconnections among the Position, Person, Performance, Process, Place and Purpose lenses of leadership are plotted in the Dialogical Lens Leadership Framework Hexad (Figure 1). The Hexad reveals the range of dialogical conversations that can be generated among the six lenses, from which we can build more refined knowledge about leadership creation practices in a range of contexts. This discussion can evoke new insights and open new possibilities for studying leadership and leadership development more aligned with the needs of the adaptive challenges that organisations face in complex environments (Bushe & Marshak, 2016).

Figure 1: A Dialogical Leadership Lens Hexad



Conceptually, the lenses are positioned in the framework in a way that reflects how leadership has been approached by different leadership theories, from more traditional perspectives (Position, Person, and Performance) that link leadership to formal positions of authority, charisma and/or the results achieved by leaders to a more processual and relational emphasis of leadership enacted by social interactions (Process), to a more recent concern

with a purposeful leadership orientation, as leadership scholars are actively engaging in a ‘responsible leadership’ research, education and development agenda (Maak & Pless, 2006) and to a place-based leadership (Guthey et al., 2014).

The Dialogical Lens Framework that has been developed highlights the ratios or inter-relationships among the six lenses of leadership. It pays homage to the Pentad originally proposed by Kenneth Burke in *A Grammar of Motives* (1969) to reveal the dialogical inter-relationship between the core structure of dramatism’ categories. I argue that while applying each of the six lenses of leadership can yield important insights regarding the enactment of leadership, it is through the analysis of the ratios that the full heuristic power of this leadership framework can be demonstrated. The ratios introduce additional questions about leadership that are not as obvious and are sometimes overlooked. For example, how does a position of authority influences the process of leadership? In turn, how does the process of leadership influences a formal position of authority? I see these ratios as being inherently dialogic: they are best viewed in conversation with each other, most especially when confronting a problem, in this case the creation of leadership.

Methods

My research question was ‘What types of leadership practices emerge from leaders-followers relations in private sector organisations?’ A constructionist approach suggested an interpretive method for data collection, which would elicit practices and stories produced in each private sector organization (Ospina & Foldy, 2010). I followed Lincoln and Guba's (1985) guidelines in choosing research participants. I initially searched for major Brazilian companies with national footprint, where managers and their direct reports, preferably those who have had a leader-follower relationship for over a year, which would be most able to provide me with leader-follower relations that would inform on my research question.

Data Collection

I collected data using two techniques (Corley & Gioia, 2013): (1) semistructured one-one interviews, (2) and non-participant observation. I relied on the interviews as the main source of data, with the observation as important supplementary sources. The findings of this study draw on fieldwork conducted over 24 months between 2015 and 2017 in two Brazilian

corporations with headquarters in Sao Paulo city and industrial units located across the country. In total, 67 semi-structured interviews were conducted with directors, managers and coordinators at the two private sector organisations (Cases A and B). The interviews were on average 60 minutes in length, with the longest extending to 150 minutes and the shortest to 46 minutes. The initial interview protocol was mostly standardized across research participants (Appendix A) with some customization depending on the position of the participant in the company (leader, direct report, indirect report). Initial interviews question involved person's life history, perceptions on leadership/followership, and attributions and perceptions leader-follower relations inside and outside the company. Field observations resulted in the collection of 69 hours of data from attending to business meetings (Appendix B). I engaged in non-participant observation of group meetings to gather potentially insightful data pertaining to leaders and followers relations. I took detailed field notes during the observation. Table 1 provides a brief overview of the cases in the study.

Table 1: The cases

Case	Nature of the Organisation	Data Sources		
		Research Participants	Interviews	Observations
A	Paper and allied products industry – Forestry Division	1 director 12 direct reports (managers) 17 indirect reports (coordinators) 25 males, 5 females	30 (average time 60 min)	14 (42 hours)
B	Cement and Concrete industry – Southeast Division	1 director 13 direct reports (managers) 23 indirect reports (coordinators) 35 males, 2 females	37 (average time 61 min)	9 (27 hours)

Case A

The first research site is a forestry division of one the Brazil's largest paper producer and exporter. This division is responsible for producing raw material for pulp production and sales of timber in logs to sawmills and veneer plants. The forest management business is considered of a complex nature due to the number of factors to be considered (e.g., weather, soil, technology, and community relations) and the uncertainty associated with these factors (Bruin et al., 2015). Forest management is complex because it is richly interactive, emergent, nonlinearly dynamic, and unpredictable (Snowden & Boone, 2007). To face these adaptive

challenges the current head of this division initiated in 2005 an organisation transformation process aiming to promote a change mindset regarding what he considered a paternalist and bureaucratic form of management. He started by forming and modifying the team structure and decision-making processes to collectively best address the complex business environment that this division faces. Over the last eight years, this group has been involved in a change effort in thinking away from individual, controlling views and toward views enabling conditions of collaborative and collective problem solving, adaptability, and learning (Uhl-Bien et al., 2007).

Case B

The second research site is a division of one of the largest companies in the sector of construction materials (cement, concrete, and aggregates). At the time of the study, this division consisted of eight industrial units in the southeast region of Brazil, supported by the environment, technical processes, people, management and quality areas. The head of the division assumed the role in 2012, when the performance and results ranked at the bottom of the company, and group morale was very low. He initiated a business transformation program based on the total quality management (TQM) approach. The TQM became widespread in Brazil in the 1990s, and many Brazilian companies adopted the management methods proposed by its theorists as a means to improve their competitiveness (Campos, 2001). The TQM proposes a management system based on standardisation, routine management, control indicators for performance measures and a cycle to manage business activities (plan-do-check-act), aiming to continuously improve the quality of products/services and processes (Baird et al., 2011; Waldman, 1993). This management system was implemented in this division as a major change effort to improve performance, and it resulted in a very disciplined and top-down management process based on commonly defined control indicators.

Data Analysis

Interviews were transcribed and observation notes were analysed to understand the meanings, processes and patterns of leadership's emergence based on the narratives of research participants. I began the analysis by identifying initial concepts in the interviews and observation data and starting grouping them into themes emerging from the ongoing analysis, and constant comparison of data across research participants (Glaser & Strauss,

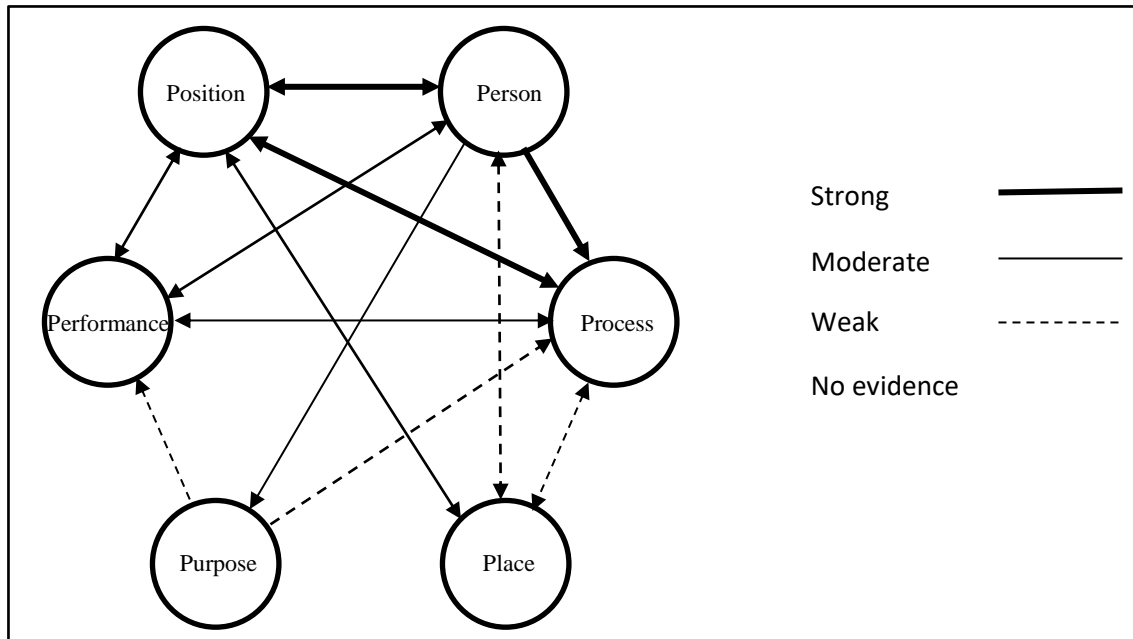
1967). Then, I analysed the themes by applying the aforementioned heuristic leadership lenses and connecting themes to each lens of the framework aiming to revealing the associations of research participants' sayings to each lens (Corley & Gioia, 2013). Next, I engaged in a search for relationships between the lenses, trying to understand and reveal the dialogic connections between them (ratios). In addition, I depicted the language used by research participants and descriptive quotes that epitomize the ideas contained in each ratio. The entire procedure was not linear but, instead, formed a 'recursive process-oriented, analytic procedure' (Locke, 1996, p. 240) that involved an iterative process of simultaneously collecting data and analysing data until further data collection and analysis yielded no further explication of a given lens, what Glaser and Strauss (1967) referred as 'theoretical saturation'.

Findings

The cases allowed for comparisons of the interrelationships among the six lens ratios. Each case revealed different features of the creation and development of collective leadership. Some important similarities, as well as some important differences, were found between the cases, which are described in this section.

In applying the Dialogical Lens Framework to the empirical data, some ratios appeared to be more significant than others in highlighting key practices within the case study. Other ratios were evidently not as salient to the creation of leadership as revealed in the data that I collected, which is not to say that they might not be important in other case studies or at different times for the case studies that I selected. In Figure 2, I have endeavoured to depict the relative saliency of each ratio to the emergence of relational and collective leadership practices. I distinguish among the following levels of salience for each ratio: No Evidence, Weak, Moderate and Strong Salience.

Figure 2: Relative Strength of Leadership Lens Ratios across the Case Studies



In the following sections, I describe some of the ratios and provide insights from the two cases regarding the creation of collective leadership. At the beginning of each section, I provide a quote extracted from one of the cases that epitomizes and introduces the ideas contained in the description of each ratio.

The Position ↔ Person Ratio

‘When I arrived here, there was this hierarchical model, dependency, patronising, that no longer could continue, and even today, this process is not over yet; it never ends because this is a process. I want to change the mental model and the management model.’ (Organisation Leader, Case A)

The two cases provide equally strong instances of the *position – person* ratio and how (non) collective leadership is created, depending on the person in the formal position of authority. My analysis has highlighted the role of a formal leader (position) as an initiator (Case A) or inhibitor of collective leadership practices (Case B), based on his personal beliefs in such practices.

Case A exemplifies a situation in which there is a formal leader (position) as an initiator and as a keeper of collective practices by forming and modifying team structure and processes and by fostering a collective mindset. According to the head of the forestry division view, ‘a collective effort will not occur if there is not a person in a formal position of authority

dedicated to it and willing to make it happen, by banging the drum'. For him, every time they allowed this process to follow its own flow, it deteriorated into the old hierarchical and traditional forms of leadership. One of his direct reports agrees by saying that 'here we have a bit of his [the leader] philosophy; without his leadership this collective effort does not flow so easily'. Among other leadership practices, the head and the group of direct reports agreed on a rotational leadership system in which a member of the team is indicated by other members to assume a formal leadership position of the group for a period of six months. This form of organising is positively seen by members of this group, as one manager reported that 'we have decided about this 6-month rotation that breaks down the hierarchy, and we learn in different situations - one day you are leading people, the other you are following them'.

In contrast, in Case B, as the head of the division opted for the implementation of TQM as a major change effort to improve business performance, people's morale and production effectiveness, he relied on his formal position of authority to start the transformational change that he wanted to achieve by setting clear rules of engagement:

'We started the team mobilization by setting goals and visions, where and what we wanted to achieve; it was a structuring job. I made clear the rules of the game by taking an [imaginary] risk on the ground and saying that I was scratching the ground, and from my side of the line, we were going to follow a line of work; those who wanted to work in my team had to follow strictly what I was going to say.'

He personally believes in the benefits of strong discipline, rigor, accountability, setting of action plans, and clear rules of engagement. Because of the management model adopted by the group, discretion and autonomy are subject to the practices determined by the routine management system. Decision-making is constrained by the performance indicators, as one manager declared, 'we have autonomy within the control system. This is not autonomy; it is controlling. We are too concerned about controlling things, rather than explaining the underlying reasons for this routine management system to exist'.

The Person ↔ Process Ratio

‘I am an authoritarian person, but I only believe in collaborative work; I mean I am very hierarchical, and I wanted people to do what I told them to. However, I think it works better when we decide together and find ways of solving problems collectively. I struggle all the time between who I am and what I believe. I am aware of that, and I am in constant internal conflict.’ (Organisation Leader, Case A)

Approaching collective leadership as ‘a constellation of individuals who contribute within a network’ (Raelin, 2018) misses what is going on in the space between individuals (Ladkin, 2017) and the way in which individuals personally and relationally construct a collective effort. Case A exemplifies two aspects worth considering in the analysis of collective leadership practices. First, individuals can face identity struggles between who they are (Person) and what they believe they should do (Process). In this case, the organisation leader describes himself as an authoritarian person but one who believes that a collective decision-making process is the only way to achieve the organisation’s results. According to him, a top-down approach to leadership undermines the possibilities of a group to innovate, to exchange ideas, to incorporate different and complimentary visions, and to create better organisational processes that facilitate the accomplishment of better performance. Nevertheless, he keeps returning to his ‘old him’, creating leadership that he describes as ‘a bit schizophrenic’. As consequence of this struggle, this form of leadership brings ambiguity to the group, which oscillates between participating in a collective effort and following ‘orders’ according to its perception of the expected behaviour in each situation. In one of his direct reports saying, she observes that

‘the group is trying to change this behaviour, but I keep telling him ‘I need you to step out sometimes’ and leave the group to make its own decisions; for me it’s something that the whole group needs to do together, for those more mature is easier than for others; but he needs to change as well, being less authoritarian.’

Second, this case also reveals that, apart from the leader, there are group dynamics and processes that can affect the construction of this collaborative agency. This notion that everyone in the group must participate and contribute during the team discussions creates a situation in which, first, everyone feels obliged to contribute even when he/she does not feel that can add anything to the discussion. Second, it slows down the decision-making process. As a member of the team reported, the team spent five hours discussing a safe and environment indicator that was not a topic of knowledge of the majority of the team. This

process leads, at times, to a perception that things are not moving and that the team has become stuck in discussions only for the sake of a collaborative process. Another member reports that ‘the group ends up not knowing how to participate; they get stuck in useless discussions sometimes because they think they need to participate; and some get very impatient with this situation.’

The Performance ↔ Process Ratio

‘What is in place here is ‘routine management’. We need to make it happen; even if you disagree, you need to make an utmost effort to meet the leader’s expectations. There’s an established routine that is well defined, and we’re held accountable to meet the implementation of this routine in a much disciplined way’. (Organisation Manager, Case B)

Case B features the role played by a management system (e.g., TQM) in the emergence of collective leadership. The management process resulting from this practice involves a series of procedures, standards and control indicators used for the management of the production routine, and implies a high degree of standardisation of skills and work processes to produce predictable, standardized outputs (Giæver, 1998). Moreover, this management process presupposes vertical and horizontal job specialization and behaviour formalization to reduce its variability (Mintzberg, 1983). Autonomy and human discretion occur under boundaries according to parameters and limits defined to govern the production system, which restrains innovation because explorative learning might be inhibited (Giæver, 1998).

For this group, a ‘logbook’ or a ‘guide’ was created that contains monthly manager routines. This logbook describes, in detail, what the manager needs to do, as well as the periodicity at which it must be done. According to some managers, there are too many routines that are impossible to achieve in the defined periodicity. One manager declared, ‘even when you try to counter-argue that is impossible to do it in this periodicity, every month it shows red in the dashboard, meaning that you haven’t achieved it. It became an obligation, and it hampers alternative, innovative ways of doing things’.

However, from the performance perspective, this management model is well regarded by the top team of the organisation, and this model is seen as one to be followed by other divisions. As one manager reported, ‘the head of our division created a revolution here; the

ugly ducks who we were turned into a reference for the rest of the company; from the point of view of results, it paid off’.

The Purpose ↔ Process Ratio

‘We started to change, to turn it into what we committed to doing, and together, we dreamed that dream, the definition of our vision; we gathered approximately 50 people to define clearly what would be our direction or our vision at that moment, for our division to become an example of excellence to the rest of the organisation’.
(Organisation Leader, Case B)

In case B, it is worth noting how leadership practices were created and developed in this place. First, the role played an initial ‘shared’ purpose. At his arrival at the division in 2012, the leader and the group agreed that they wanted to ‘change the game’ and ‘transform the place’ in terms of the performance and other business indicators, such as quality, safe environment, and people’s morale. Further, there was an initial agreement about the ‘rules of the game’ and how they would work together. Three years later, when the division achieved the results to which the group initially committed, being considered ‘an example to be followed by other divisions of the company’, people had opposing views about the leadership practices. For the organisation leader, the process evolved from a ‘hierarchical’ to a collective effort because people saw that it brought results: ‘we made our division an example of excellence. It was clear for us what we wanted to be, and things were happening, and people started seeing that it made sense. It's not a single day, but it's a transition process that people begin to recognize that our division was no longer the ugly duckling; that now is the time that people do things not because I'm asking but because they believe it will be good for them, so it is a process of transformation’.

However, for other group members, the process defined by the TQM system restrained a collaborative agency, innovation and ability to challenge the defined routines and control indicators. For this reason, some granted the head of the division a ‘manager’ identity rather than a ‘leader’ identity due to his focus on discipline, results, control and procedures: ‘He [the leader] has the profile of a manager focused on results through management, not leadership. He is organized, disciplined; he does not influence; he commands; he controls’. For others, he was seen as a ‘leader’ for bringing the methods and processes that allowed the division to make the turnaround. As one of his indirect reports declared, ‘although he is more focused on performance indicators, he has created the

transformation effort working with us, leading us through some techniques and methods that we didn't know'.

Second, for those not satisfied with the current leadership practices, their position as middle managers allowed them to act differently with their teams, indicating that some managers did the opposite in terms of leadership practices. They try to think away from the methods and processes defined by the TQM system and working with their direct reports to create an environment in which controls can be challenged, and they can openly discuss and create alternative ways of doing things. This process has implications for these middle managers since they live in a continuous 'struggle' in terms how they follow and how they lead, as well as between how they are asked to act and how they believe they should act.

The Place ↔ Position Ratio

'In complex environments and activities, the hierarchical model does not work. In complex environments where there is not a lot of decision making written down, there is not a playbook, authority based on a formal position does not really work'.
(Organisation Manager, Case A)

My analysis of the *place – position* relation helps to further unfold the challenge of developing collective leadership in the two cases. While in Case B, place plays a role in creating certain conditions that hinder a collective process, in Case A place plays the opposite role by creating the scene for collaboration and participation.

Place encompasses both geographical and historic constructions. Place is also linked to economic, social, organisational and industrial sectors. These factors shape how leadership is created, for example, by preventing a collective process for emerging. Using an example from my field research, in Case B, the nature of production system in the cement industry creates conditions that favour certain management practices that ensure predictability and leadership practices grounded in traditional, bureaucratic notions of hierarchy, alignment and control. As an indirect report of the head of the division reported, 'he is more operational, focused on performance indicators, dedicated to discipline, and geared towards management; his objective is to implement a management system, more hierarchical and less dedicated to get in contact with people at the shop floor'. Uhl-Bien et al. (2007) referred to it as administrative leadership, which is more evident in systems 'with only top down, hierarchical

chains of authority, in systems with closely monitored, centralized goals, or in systems whose dominant ideology is authoritarian' (p. 305).

In contrast, in Case A, the unpredictability and complexity of the situations that members might face on a daily basis and the nature of the problems with which they deal also create the parameters for this collective action. According the members of this division, 'there is complexity in this place; it rains when it was supposed to be a dry place, and everything that was planned changes all the time'. The work is not necessarily procedural, although there are well established parameters to guide the forestry production. Therefore, some organisation members argue that there is a need for people who do not stand in a box and who have the flexibility to change and to seek solutions to the events that occur throughout the day. For them, there is a sense of urgency, which at the same time gives employees freedom to act. The leadership practices that evolved among members of this forestry division attempt to structure and enable conditions to optimally address creative problem solving, adaptability, and learning (Hazy & Uhl-Bien, 2015). According to one of the indirect reports of the head of the division, 'there is not right and wrong, but in such complex and dynamic environments, like ours, the hierarchical model does not work, because there are a lot of 'not written' rules and procedures, and you need to step up and make decisions.

Discussion

There are two main points to consider about the challenges in developing collective leadership, based on the preceding results of the two cases, which are related to its creation and development. First, the six lenses help us to explore the factors that either facilitate or hinder the emergence of collective leadership. Second, once a collective effort has been initiated, the lenses help us to understand the factors that facilitate or hinder the continuous development of collective leadership practices.

What factors either facilitate or hinder the emergence of collective leadership?

Leadership 'resides in the interactions between people thereby constituting a network of relationships that emerges and shifts over time' (Cullen-Lester & Yammarino, 2016, p. 173), and it resides in a system or context – social, organisational, group or team -- and emerges only in the context of 'a particular form of interaction happening at a certain time

and place' (Drath, 2001, p. 16). Following this notion, from the preceding cases, four lenses help us to understand the factors that facilitate or hinder the emergence of collective leadership: purpose, place, person, and position.

Purpose: This lens helps us to understand why leadership has been created. In my view, purpose precedes the emergence of collective leadership practices and acts (e.g., Case B) as an anchor or facilitator of the creation of a collective effort. It is purpose that differentiates leadership from other activities, despite the results that might originate from it (Grint et al., 2017). Purpose has a role to play in leader-follower relationships within the context of the organisational life (Kempster et al., 2011), as 'leadership is more than a person; it is a sense of purpose, a force that gives people a common direction' (Drath, 1998, p. 406).

Place: This lens highlights how leadership is created in response to place (e.g., Cases A and B). Place actively shapes leadership and vice-versa. This lens provides the basis for forging a common identity, purpose and direction. Leadership processes can be created for groups to respond to particular challenges posed by the places in which they are located. Leadership processes that occur in pluralist social and organisational settings must be created to foster a sufficient degree of commonality among social actors and organisation members to get things done because commonality of interests cannot be assumed; therefore, the creation of direction, alignment and commitment becomes a key task (Hartley, 2017).

Person: The collective practice of leadership is based on a process of interpersonal influence and relational dialogue (Drath et al., 2008), since collective agency is mobilized as a social interaction as people come together to coordinate their activities even in a case of formal leader-follower relationships (e.g., Case A). In my view, this process only occurs when there is a perception of collective efficacy with an emphasis on group or community accomplishment, not individual outcomes (Raelin, 2016).

Position: Someone whose position on a vertical and formal hierarchy can drive and ensure the enactment of leadership practices resulting in a collective endeavour. For example, Case A emphasises how leadership is enacted and shaped by complex dynamics of formal and informal interactions between organisational members (Denis et al., 2012). In the same way, people in formal positions of authority or those without formal authority can create obstacles to the practice of collective leadership (Storey, 2016). However, the emergence of collective leadership does not obviate a formal leader if there is one (Friedrich et al., 2009).

What factors either facilitate or hinder the development of collective leadership?

A second aspect worth exploring relates to the following question: Once a collective effort has been initiated as a construction of a social group, what factors facilitate or hinder its continuous development? This question reveals the importance of time in the evolution of leadership. The extent to which leadership is genuinely collective can oscillate over time depending on the process, the persons, the performance and the position.

Process: Process emphasises what goes on in the spaces between people engaged in leadership practices (Kennedy et al., 2012). Process results from the interactions and organising process that individuals undertake as they engage in social relationships. Therefore, a collective leadership effort that was initiated by members of a group can evolve over time (e.g., Cases A), even shifting to a less collective practice (e.g., Case B) as individuals engage in different forms of organising. As Endres and Weibler (2017) wrote, ‘whereas the social construction processes occurring through the interaction and relational dynamics among individuals may involve collective processes, the leadership that finally emerges from these processes may not be necessarily a collective or plural leadership form’ (p. 225).

Person: As individuals engage in relationships in different contexts, a leading and following process unfolds, and it can assume different configurations (Gronn, 2015). The nature of this engagement, associated with what people bring to this leadership process (e.g., values, beliefs, skills, knowledge, self-concept), collaborates to define expectations and attitudes towards leadership. In Case A, individual attitudes and behaviours maintain the focus on collaborative and collective action, while in Case B, the opposite occurs, as individuals rely on the figure of a single leader and on a more traditional leader-follower relationship. Thus, for leading and following to become two sides of the same process, everyone in an organisation must share a relational perspective to work in a context of interdependence (Fletcher, 2004).

Performance: Results are very important support for leadership (Grint et al., 2017). Whether the collective results of a group, team or organisation are perceived as a consequence of actions of a collective (e.g., Case A) or that of a single individual (Case B) they can reinforce the (non)-collective leadership practices. Therefore, the achievement of a distinctive outcome foregrounds a cooperative effort among participants who want to

accomplish together (Raelin, 2016). Consequently, the question of how results are produced is important since people possess beliefs about how to produce leadership outcomes, and these beliefs form the basis for social practices (Drath et al., 2008).

Position: I discussed above the importance of position in the initiation of a collective practice. By the same token, formal positions of authorities can contribute to disrupting or reinforcing leadership practices that have already been initiated. For example, in Case A, although the head of the division used this formal position of authority to initiate a collaborative decision-making process, at times, his formal authority contributes to jeopardizing the process since he uses his role to direct or overlook group decisions. In Case B, middle managers use their positions to act differently with their direct reports from what they normally exercise with their ‘leader’. In this sense, leadership practices would be impossible if these individuals did not succeed in aligning themselves with others in leadership positions, with whom they coordinate their actions (Denis et al., 2010).

Conclusion

In contemporary leadership studies, leadership is increasingly seen to be a complex, dynamic and co-created phenomenon, rather than an individual activity. Collective leadership has been used as an umbrella term recognizing the intrinsically collective nature of leadership in opposition to the traditional leader-centred perspectives (Ospina & Foldy, 2015). However, few studies have dedicated attention to empirically explaining how collective leadership unfolds and how it works (Jackson & Parry, 2018).

In this study, I have proposed a multiple lens framework hexad that foregrounds some factors that help us to understand how these interactions are initiated and maintained, as well as where and how collective leadership emerges, and the forms that it takes. This framework does so by exploring the emergence and maintenance of collective leadership practices through the lenses of Purpose, Place, Person, Position, Process, and Performance. In the private organisation, the set of practices that were more prominent in efforts to create collective leadership are highlighted by these lenses. For example, in one of the cases, collective leadership has been primarily fostered by the attempts of the formal leader (i.e. position-person) to create a collective decision-making process (i.e. performance-process);

in contrast, in the second case, individual leadership is facilitated by figure of the formal leader (position-person) and the management process in place (i.e. place-process).

With regard to implications for practice, the dialogical framework Hexad that I have proposed to analyse collective leadership brings to the fore some elements that might have been overlooked by scholarship investigating collective leadership practices. While little collective leadership empirical research has been conducted, it has tended to be conducted in the more obvious contemporary progressive organisations or in networks that have strong collective leadership aspirations. In my study, I explored empirical work conducted by collective leadership in an organisational context, such as a traditional authoritarian hierarchy. My study highlights the role of a formal leader in promoting collective leadership practices and working with a group to move away from practices characterized by highly individualistic leadership. With this view, this study has been able to highlight the importance of Person and Position in fostering or hindering collective leadership practices.

As to implications to theory of leadership and leadership development, there is a clear need for a deeper understanding of the role played by the six lenses (Person, Position, Place, Process, Purpose, and Performance) in leadership practice. The findings indicate that the interactions among the six lenses can be further explored, which could indicate how these combinations affect leadership configurations. For example, they open the possibility of investigating the role of Purpose in creating responsible leadership practices or investigating the ‘space’ around and between leaders and followers. And the influence of Place in fostering or constraining leadership practices. Increasingly, the research on leadership is moving beyond individualist and heroic models towards an understanding of how it is realized in social interaction and in myriad forms. Not only have the relational aspects of leadership has received greater attention (Cunliffe & Eriksen, 2011; Uhl-Bien, 2006), but more collectivist models such as shared or distributed leadership have become essential for understanding the effective performance of complex tasks (Denis et al., 2012; Gronn, 2009) forcing organisations to move beyond traditional models based hierarchical command and control. The proposed leadership framework Hexad enables the advancement of the theory by proposing a dialogical mechanism of analysis and theorisation.

CONCLUSION

In these concluding remarks, I would like to answer some questions that were brought to my attention as I was analysing and reflecting upon the five cases. These questions allow for a comparison across the cases by finding commonalities and differences between leadership practices in the community-based organisations and private sector organisations. They also open some possibilities and directions for further investigation on collective leadership practices using the multiple lenses heuristic framework proposed in the previous chapters.

Leadership Practices in the Context of Urban Slums and Private Sector Organisations

The original question of this study was ‘what types of leadership practices emerge from leaders-followers relations in the context of urban slums and private sector organisations? In order to answer this question, I utilized a multi-dimensional framework that I believe is required when analysing leadership configurations (Gronn, 2015), mainly if we consider leadership as intrinsically complex, multi-level, dynamic, co-created, relational, and ambiguous phenomenon.

In a tentative way of answering this question, I recap some of the key findings showed in Chapters 2 and 3. In Chapter 2, Case A is an example of individual leadership, where a single leader is granted leadership identity based on both her personal story and her commitments and efforts towards residents of Capão Redondo. Case B can be considered as an example of a collective leadership, as leaders and members of this NGO rely on collective planning and decision-making to run the activities that aim to rescue women in vulnerable situations at Campo Limp. Finally, Case C a mix of approaches and a combination of both individual and collective leadership in place at Jardim Angela, as some community leaders declare a full collective leadership experience, while others struggle with a reality where community residents expect strong individual community leader who brings solutions to the community. By the same token, in Chapter 3, Case A can be taken as an example of a collective effort among a formal leader and his direct/indirect reports, in a process of creating an organisation that relies not on the hierarchy but on the ability of its members to co-ordinate themselves in a group effort. Case B epitomizes leadership based on a single individual in a

formal position of authority, reinforced by a management system that privileges command and control, and routine management.

In my view, on one hand, these realities are closely associated with the approaches toward leadership that research participants hold. In the first chapter of this manuscript, I offered the notion of leadership based on the ‘I’, ‘they’, and ‘we’ approaches. By applying this frame to the five cases, it is possible to argue that in almost all cases, there are dissonant voices about what leadership means and what ‘is a leader’ or ‘a follower’. However, somehow each group has created the conditions around the predominant views to foster collective leadership. The more the participants’ views concur with the ‘we’ approaches, the more I notice the emergence of collective leadership practices (e.g. Cases B and C in Chapter 2, and Case A in Chapter 3). At same time, the more the participants’ views endorse the ‘I’ approaches (Case A in Chapter 2, and Case E in Chapter 3), the more I see leadership practices more closed to leader-centred approaches.

On the other hand, the locus of leadership it is where, as researchers, we look for leadership (Foldy & Ospina, 2018). This study is based on a constructionist perspective that sees leadership created through interaction (Uhl-Bien & Pillai, 2007; Collinson 2005). In this constructionist approach, leadership emerges in process as co-constructions that help advance organizing tasks (Hosking, 1988). In this approach, leadership is understood as relational in that it emerges only in the context of ‘a particular form of interaction happening at a certain time and place’ (Drath, 2001: 16). In this sense, leadership is not something that the leader, as one person, possesses, as much as it is something achieved in community and owned by the group (Ospina & Sorenson, 2006; Foldy et al, 2008). This group ownership of leadership practices in formal and informal organisations create leadership configurations that operate as dialogic relationships, whose elements are dynamic and vary within a range of modifications, improvisations, and adaptations (Gronn, 2011), resulting in several forms of leadership that tend to coexist (Gronn, 2009). Therefore, I envisage collective leadership as both an aspirational and a realized set of practices that can be situated along a continuum between strongly individualised and strongly plural leadership (Uhl-Bien & Ospina, 2012).

Refining the Leadership Framework Hexad

A second question raised by this study is ‘how the Leadership Hexad Framework might be further refined to improve its analytical capabilities? What lenses are missing? Which ones should not be included?’

As I mentioned previously, in contemporary leadership studies, leadership is increasingly seen as a complex, dynamic and co-created phenomenon rather than an individual activity. My proposed multiple lens framework foregrounds some factors that helps us to understand how these interactions are initiated and maintained as well as where and how collective leadership emerges, the forms that it takes, and the impacts that it produces in two distinct contexts, urban slums and corporations. It does so by exploring the emergence and maintenance of collective leadership practices through the lenses of Purpose, Place, Person, Position, Process, and Performance.

The framework I have proposed to analyse collective leadership brings to the fore some elements that might have been overlooked by scholarship investigating collective leadership practices. Firstly, the need for collective leadership practices in order to produce organisational outcomes to address wicked vs. tame problems. The cases show how leadership practices rely on a shared purpose and on the conditions determined by place (urban slums) in a scenario of wicked problems. At the same time, the cases demonstrate how shared identity enables the development of leadership based on shared values, norms and beliefs that a group has about determined social context. On the other hand, in order to tackle tamed problems, we can question if collective leadership practices are necessary or can be replaced by other forms of human organising such as a management system (e.g. TQM) which is able to produce outcomes (e.g. direction and alignment) making use of other forms of leadership.

In the cases I have described, I have also been able to highlight the importance of Person and Position in fostering or hindering collective leadership practices. There is clearly room for further empirical work, especially work that addresses the dynamic and emergent nature of collectivistic leadership practices in the organisational context. Future research should continually assess what type of leadership emerges, what it looks like and at what level of it becomes a collective effort. On this basis, further investigation may consider potentially emerging outcomes in certain wicked problems settings.

In terms of theory of leadership, there is a clear need for a deeper empirical understanding of the role played by the six lenses (Person, Position, Place, Process, Purpose, and Performance) in the leadership process. The findings indicate the interactions between the six lenses that can be further explored in empirical research which can indicate how these combinations affect leadership configurations. For example, it could be investigated the role of Place and Purpose in creating or hindering collective practices. A clear theme that emerged from my study is that of collective leadership development over time. Despite the acknowledgment of the dynamic nature of leadership phenomena, ‘time’ remains ‘an unexplored dimension in leadership studies’ (Shamir, 2011, p. 307). Relational leadership takes time to evolve and flourish, and this could be better refined in the Leadership Framework Hexad. At the same time, ‘Power’ could be added as the seventh lens of the framework. Scholars from the Critical Leadership Studies (e.g., Collinson, 2014; Alvesson & Spicer, 2012), advocate for the denaturalization of the concept of leadership by investigating the inter-relations between power, leadership identity and context in organizational dynamics. In that sense, the dialectic relations between ‘power’, ‘leaders’ and ‘followers’ could be investigated in their many dynamics. For example, Collinson (2005) draws attention to three dialectic dimensions of leadership practices that he labels control/resistance, consent/dissent and men/women. He suggests that apparently successful leadership practices inherently generate their own resistance, that consent may be manufactured and hides overt or passive practices of dissent among followers and that gender relations may be embedded in these tensions. He notes that, a dialectical approach suggests that studies need to acknowledge the deep-seated asymmetrical power relations of leadership dynamics (Denis et al., 2010). In Chapter 2, my study did not explore the grounded structures of power that influence the social relationships in the favela context, involving political parties, church representatives, other formal institutions linked to social movements, drug trafficking gangs that as a parallel power to the state in governing favelas.

The ‘Collective’ side of Collective Leadership

Finally, the last question brought about by this study is ‘what can be considered ‘collective’ in collective leadership based on the analysis of the five cases?

Collective leadership has been characterised by its complex and dynamic nature (Denis et al., 2012). As leadership scholars try to conceptualise and define ‘what is collective leadership’, this phenomenon remains elusive. One reason is the challenge to define what is ‘collective’ in a collective leadership practice. Is it how individuals created leadership (process)? Is it the persons (leaders and followers) and how they conceive and act towards leadership? Is it a shared purpose that creates the grounds for a collective action? Is it what leadership produces as outcomes (product)? I try to tentatively answer these questions using the multiple lenses framework.

I have suggested in Chapter 3 that Purpose, Place, Person and Position lenses point up to aspects that are the ‘initiators’ of a collective effort, while Process, Performance, Person and Position lenses emphasize what can be seen as the ‘maintainers’ of the collective practices. I propose that for being considered ‘collective’, collective leadership should necessarily involve one or more (ideally all) of the factors represented by the following lenses: Purpose, Process, Position and Person:

Purpose: As Kempster et al. (2011) suggest, there is a necessity to foreground ‘leadership as purpose’ and ‘to develop a more nuanced and grounded understanding of how purposeful leadership discourse occurs in practice in order to gain a keener appreciation of the circumstances that promote and constrain such discourse’ (p. 331). Purpose can be seen as an aim or objective that guides action and a shared purpose is capable of maintaining individuals working collaboratively together. As long as they share the same purpose (e.g. Cases A, B, and C in Chapter 2) people will engage in organising and leadership practices that privileges the collective and not individuals. They can even engage in a leadership process that does not necessarily involves collective decision-making or shared and distributed leadership roles. However, they keep aligned by a common purpose that unifies them. In my view, the nature or the problem (wicked vs. tame) is influential in terms of how individuals decide to organise their activities, which result in leadership and management processes (Hosking, 1988; Grint, 2010).

Process: in order to be considered ‘collective’ a leadership process has to, in some measure, involve collective problem solving, decision making, shared responsibilities, and shared understanding of what needs to be accomplished by a team, group or organisation. When a collective process is in place (e.g. Case B in Chapter 2 and Case A in Chapter 3), it implies reciprocal interrelating, emergent coordination (Uhl-Bien, 2006) and locates leadership in a jointly constructed but disembodied process, not in individuals. As Hosking (1988) explains, ‘it is essential to focus on leadership processes: processes in which influential ‘acts of organizing’ contribute to the structuring of interactions and relationships, activities and sentiments; processes in which definitions of social orders are negotiated, found acceptable, implemented and renegotiated; processes in which interdependencies are organized in ways which, to or greater or lesser degree, promote the values and interests of the social order. In sum, leadership can be seen as a certain kind of organizing activity’ (p. 147).

Person: Ladkin suggests that ‘leadership cannot exist without those who would enact it, the context from which it arises, as well as the socially constructed appreciation of it as a particular kind of interaction between human beings’ (2010, p. 31). Multiple individuals contribute with knowledge, skill, and meaning to the leadership process (Raelin, 2018). In my view, this contribution is linked by a collective or shared identity (DeRue & Ashford, 2010; DeRue, 2011). As Melucci (1989) writes, ‘collective identity is an interactive and shared definition produced by several individuals (or groups at a more complex level) and concerned with the orientation of action and the field of opportunities and constraints in which the action takes place’ (p. 35). Individuals who engage in a collective effort share certain orientations in common and on that basis decide to act together.

Position: in the leadership field a debate has emphasised leadership as a collective activity rather than as the doings of formal leaders (Crevani et al., 2010) and depicted as a collaborative and collective responsibility where the responsibilities, competencies and decision-making need to be distributed onto several individuals rather than one (Collinson & Collinson, 2009; Huxham & Vangen, 2000). Collective leadership emerges in networks and across multiple levels and implies the distribution of leadership roles or tasks (Friedrich et al., 2009). In my view, it can be both vertically or horizontally constituted as it can be formally or informally structured (Grint et al., 2017). Plural forms of leadership where more

than one individual occupies the leadership position can result from a team's structural choice (e.g. Case B in Chapter 3) or takes the form of collaborative governance (Sergi et al., 2017).

Over the past 20 years, developments in leadership research have challenged the leader-centric view and moved towards a more 'decentred' understanding of leadership (Ospina and Foldy, 2010; Denis et al., 2012; Simpson et al., 2018). Within research on collective leadership, attention shifted from individual leaders towards leadership as collective endeavour (Denis et al., 2012), thus blurring the leader-centricity (Alvehus & Crevani, 2018). Followership research, in turn, shifted attention from the leader(s) to the followers, thus, if not decentring so at least re-centring leadership to another participant of the interaction (Uhl-Bien et al., 2014). Thus, in these recent developments leadership has become viewed as co-constructed and negotiated in interaction, and as a process relying on mutual recognition of relations between those known as 'leaders' and 'followers' (DeRue & Ashford, 2010) that create a mutually important identity, purpose and direction (Jackson & Parry, 2018).

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APPENDICES

Appendix A – Interview Script

Apresentação Inicial

Bom dia / tarde / noite, o meu nome é Renato Souza e eu sou estudante de Doutorado da Fundação Getúlio Vargas, Escola de Administração de Empresas. Como havia explicado, estou realizando uma pesquisa sobre Liderança. Essa pesquisa tem sido realizada em dois contextos: em comunidades da periferia de São Paulo e com moradores dessas comunidades; e também tem sido realizada em empresas, com gestores e seus subordinados diretos e indiretos. Meu objetivo é entender as práticas de liderança nesses dois contextos e como as pessoas vivem e interpretam suas experiências de/com liderança.

Para que eu possa utilizar essas informações posteriormente, gravarei essa entrevista se você estiver de acordo. Assim, não perderei detalhes importantes da nossa conversa. Essa gravação é para uso interno da pesquisa, e o conteúdo é absolutamente confidencial. Podemos iniciar?

Nome Completo

Antes de iniciarmos, qual o seu nome completo?

História de Vida

Antes de iniciar com as perguntas sobre liderança propriamente ditas, gostaria de lhe pedir que falasse um pouco de você, da sua história e trajetória de vida.

Perguntas sobre Liderança

- 1) Fale-me sobre liderança, o que é liderança para você? Quando se fala em liderança, o que vem na sua cabeça?
- 2) Quando você acha ou percebe que exerce ou está exercendo liderança?
- 3) E como você exerce essa liderança?
- 4) Quando você acha ou percebe que liderança está sendo exercida sobre você?
- 5) E como essa liderança é exercida?

- 6) Você pode nominar pessoas com quem você trabalhou e conviveu que você considera ‘líderes’ e por quê?
- 7) (Pergunta para Gestores) Você pode nominar ‘líderes’ com quem você trabalhou que foram importantes para o gestor ou líder que você se tornou e por quê?
- 8) (Pergunta para Gestores) Você pode nominar ‘subordinados’ com quem você trabalhou que foram importantes para o gestor ou líder que você se tornou e por quê?
- 9) (Pergunta para Gestores). Que tipo de liderança você acredita é a mais efetiva para os seus liderados?
- 10) (Pergunta para Liderados) Você pode nominar ‘líderes’ com quem você trabalhou e que foram importantes para quem você se tornou e por quê?
- 11) (Pergunta para Liderados). Que tipo de liderança você acredita é a mais efetiva para você?
- 12) (Pergunta para Moradores e Líderes Comunitários). Quais outras lideranças comunitárias você identifica nessa comunidade e por quê?

Appendix B – Observation Script

Tipo de evento: (Reunião, Evento, Atividade)

Local:

Participantes:

Início:

Término:

Objetivo/Pauta:

Temas discutidos:

Observações: