

LEVEL 5 LEADERS AND THE ROMANCE OF LEADERSHIP CONSTRUCT

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**A research report submitted to the Faculty of Humanities, University of the Witwatersrand,
Johannesburg, in partial fulfillment of the requirements for the degree of
Master of Arts in Psychology (Coursework & Research Report)**

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Date: 2 May 2007

DECLARATION

I hereby declare that this research report is solely the product of my own work and the production of my own ideas. The assistance obtained has been in the form of supervision. It is being submitted in partial fulfillment of the degree of Master of Arts in Psychology (Coursework & Research Report) at the University of the Witwatersrand, Johannesburg. It has not been submitted before for any other degree or examination in any other University.

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ACKNOWLEDGMENT

I am indebted to my supervisor, Professor James Fisher for his personal and academic judgment, critique, instrumental guidance and masterminding the blueprint for this research study which not only made this exercise an extremely challenging and rewarding experience for me, but also shifted the focus of my thinking toward intellectual curiosity, evidence and substance. I am grateful to you for providing that guidance. Thank you.

ABSTRACT

This research study examines two recent conceptualisations of leadership that have evolved from previous leadership research. They are the Level 5 leadership theory and the romance of leadership theory. These concepts have been chosen as they represent conflicting perspectives of leadership. The aim of this research study is to investigate whether a recent historical profile of publicity given to a prominent Level 5 leader lends itself to a romance of leadership interpretation.

The present study addressed this aim by adopting a research methodology that is qualitative in nature and by utilising archival case history research and theory-based sampling. The two measuring instruments that were used are the items comprising the romance of leadership scale (RLS-C) and archival data. An exemplar of a Level 5 leader that has received ample press coverage, Bill Gates, was chosen. 201 articles from the following five sources and four years were collected and their content analysed: the Wall Street Journal, the Economist, Forbes, Fortune and Business Week in 1990, 1995, 1998 and 2006. The positive period included 1990 and 2006, and negative period 1995 and 1998. Once the 201 newspaper articles were randomly selected, the researcher analysed the content via 17 sub-categories. The eight sub-categories from the principles of Level 5 leadership were used as a criterion to find supportive evidence in the data for the Level 5 leadership theory. The researcher concurrently used the nine items from the RLS-C, which comprised nine sub-categories as a criterion to find supportive evidence in the data for romance of leadership theory.

This research study resulted in a follower-centric, non-traditional recognition of leadership as it provided clear support for the romance of leadership theory. In the positive period, sub-category 1 and 5 dominated. Four trends were extracted: Ability, Image, Philanthropy and Innovation, constituting altogether 82 percent of the total propositions. Ability was the most salient trend. In the negative period, sub-categories 1 and 5 dominated. Five trends were extracted: Power, Image, Ability, Innovation and Competition constituting altogether, 85 percent of the total propositions. Power and Image were the most salient trends. Conceptual and methodological reasons for the findings were offered, followed by a discussion of the limitations and some theoretical and practical implications. Finally, future considerations for research were suggested.

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Chapter One: Introduction

The subject of leaders and leadership can be found in the Greek and Latin classics, the Old and New Testaments of the Bible, the writings of the ancient Chinese philosophers and in the early Icelandic sagas (Bass, 1990b). However, for over fifty years in particular, the notion of leadership has become one of the most extensively researched topics, generating over fifteen thousand book and article publications on everything from personal improvement to the orchestration of strategic change (Wenck, 2003). Based on this knowledge, organisations are estimated to spend up to \$50 billion a year on the development of leaders (Fulmer & Conger, 2004) as consensus has emerged that contemporary organisations are in critical need of leadership with compelling vision (Bennis, 1989; Krantz, 1990; Sashkin, 1988). Yet, over the past decade, the notion of organisational leaders has progressively decreased because the number of leaders that get fired for failing to perform have progressively increased (Hogan, 1999). This may be due to the fact that modern organisations are adapting to turbulent and competitive environments and are replacing bureaucratic hierarchies with more participative and collaborative structures which inspire employee commitment, motivation, satisfaction and empowerment (Conger, 1993). This has resulted in a new emphasis on leadership as the re-arrangement of the traditional authority relationship has resulted in the recognition of the follower's role in creating effective leadership systems (Hollander & Offermann, 1990; Krantz, 1990).

Furthermore, even though leadership is one of the most extensively researched constructs in the behavioural sciences (Stogdill, 1974a), there still seems to be a deep sense of pessimism among leadership scholars about what has been achieved so far, for instance, leadership has been the subject of an extraordinary amount of dogmatically stated nonsense (Bernard, 1948), the endless accumulation of empirical data has not produced an integrated understanding of leadership (Stogdill, 1974b), thousands of empirical investigations of leadership have been conducted in the last seventy-five years alone, but no clear and unequivocal understanding exists as to what distinguishes leaders from non-leaders (Bennis & Nanus, 1985), leadership theory is complex, fragmented and contradictory (Chermers, 1997), one of the most observed and least understood phenomena on earth (Bennis, 1989), it is easier to believe in leadership than to prove it (Meindl, 1990), and in spite of years of trying, we have been unable to generate an understanding of leadership that is both intellectually compelling and emotionally satisfying (Meindl, Ehrlich & Durkerich, 1985).

One common debate in leadership research questions whether leadership exists as a causal variable in organisations or whether it is a lay fiction used to attribute personal cause to behaviour (O'Reilly, 1991). The romance of leadership notion postulates that in the absence of direct, unambiguous information, the romanticised conception permits people to be more comfortable in associating leaders by ascribing them control and responsibility with events

and outcomes which they can be plausibly linked (Meindl, Ehrlich & Dukerich, 1985). The re-emergence of the ideological importance attached to leadership (Levit, 1993; Meindl, 1990) has added to the positive bias in leadership research and writing, one example being Level 5 leadership in *Good to Great* (Collins, 2001a).

Instead of ascribing an angelic romance over the eleven companies and demonizing all the others, Collins (2001a) could have presented a more candid collection of examples that help to elaborate on the principles and their effects in the companies that implement them, if he had not set out to use the eminent and the comparison companies to prove the platitudes he composed, an example being “Level 5 Leadership as Humility with Resolve”.

Therefore this research study’s objective is to investigate whether a recent historical profile of publicity given to a prominent Level 5 leader (Collins, 2001a) lends itself to a romance of leadership (Meindl, Ehrlich & Dukerich, 1985) interpretation. Expectantly, this investigation will contribute to an understanding of leadership that is both intellectually compelling and emotionally satisfying. This research study examines the leader centric or traditional leadership perspectives and the follower centric or non traditional leadership perspectives. This is followed by an examination of two recent conceptualisations of leadership that have evolved from previous leadership research. These are the Level 5 leadership theory and the romance of leadership theory. Accordingly, the second section of this research report (chapter two) includes a theoretical and conceptual framework within which this research is based, particular attention is paid to the Level 5 leadership theory and the romance of leadership theory in the third section (chapter 3). These concepts have been chosen in the present research as they represent conflicting perspectives of leadership.

The first theory addresses traditional leadership perceptions as opposed to leadership attributions by followers. In order to address this debate, Level 5 leadership represented traditional leadership theories which emphasis’s the thoughts, actions, and persona of leaders over these followers. From this leader-centric perspective, the followers have been viewed as recipients or moderators of the leader's influence, and as vehicles for the actualization of the leader’s vision, mission or goals. The second theory addressed non traditional or attributional leadership perceptions. In order to address this debate, the romance of leadership represented non traditional leadership theories which posits that leadership is a phenomenon constructed in the minds of followers and is used to explain organisational events even when other factors may be responsible. The romance of leadership theory offers a follower-centric approach which views both leadership and its consequences as largely constructed by followers and hence influenced by followers’ cognitive processes and inter-follower social influence processes (Meindl, 1985).

The fourth section of this research report (chapter four) includes the role of media in the social construction of leadership, and historical background of Bill Gates and Microsoft. The fifth section (chapter five) pertains to research methods and in the sixth section (chapter six), the data analysis and results of the study are presented to test the research question. In the final section, the research question will be examined in order to establish whether it has been answered, an overview of results are discussed and contextualized in terms of previous literature to describe the consistencies, the inconsistencies and any new issues that come out of the analysis. Reliability and validity of the results will then be examined. Followed by a discussion of the limitations of the study, and any theoretical implications of these will be outlined. Finally, some suggestions for future research are offered.

Chapter Two: Traditional and Non Traditional Leadership Theories

The leader centric and follower centric theories of leadership establish a theoretical and conceptual framework within which this research is based, the literature forms part of the case for identifying the distinguishing merits of two contrasting views of leadership. The discussion will begin with a definition of leadership followed by an overview of major theoretical approaches to leadership and an assessment of effective leadership. The researcher has differentiated theory and research evidence about Leadership (with capital L) from leadership (with small l). Next the discussion of the leader centric or traditional leadership perspectives include the great man theory and trait theories of leadership, behavioural theories of leadership, the situational theories of leadership, transactional or management and transformational leadership. This will be followed by a discussion of the follower centric or non traditional leadership perspectives which include the cognitive leadership theory. In the next section (chapter three) two conflicting theories of leadership will be discussed. Level 5 leadership represents traditional leadership perceptions and the romance of leadership represents the non traditional leadership theories. Numerous definitions of leadership will be examined in order to arrive at a broad description of leadership.

Definitions of Leadership

According to Bass (1990b, p. 11) “leadership has been conceived as the focus of group processes, as a matter of personality, as a matter of inducing compliance, as the exercise of influence, as particular behaviour, as a form of persuasion, as a power relation, as an instrument to achieve goals, as an effect of interaction, as a differentiated role, as initiation of structure” or a process of creating a vision (Hellriegel, Slown & Woodman, 1989) and taking responsibility for learning (Senge, 1990). Yukl (1994, p. 3) adds that “most definitions of leadership assume that it involves a social influence process whereby intentional influence is exerted by one person over other people to structure the activities and relationships in a group or organisation”. Furthermore, Wenek (2003) stated that leadership may be generally defined, without attaching any value judgment as to whether it is good or bad, effective or ineffective as “directly or indirectly influencing others, by means of formal authority or personal attributes, to act in accordance with one’s intent of a shared purpose” (p. 36). These different definitions should be perceived as different approaches to what is a highly complex behavioural pattern (Yukl, 1989). By considering leadership as a combination of these definitions, one may gain a general understanding of leadership as a complex construct

Yukl’s (2002) discussion on the nature of leadership identifies many of the controversies that have been implicated in the various meanings attached to the term. These include questions as whether leadership is most appropriately viewed as a specialized role or as a socially distributed influence process, is based on authority or personal influence, is reflected in intent

or outcomes, is primary based on reason or on emotion and is equivalent to or different from management. Leadership is usually not accurately apprehended in its real world manifestations because of inherent biases in perception, and that it has typically been defined in culturally and contextually relative terms (Wenck, 2003). This is why leadership literature is permeated with untidiness.

There seems to be a deep sense of pessimism among leadership scholars about what has been achieved so far, for instance leadership has been the subject of an extraordinary amount of dogmatically stated nonsense (Bernard, 1948), the endless accumulation of empirical data has not produced an integrated understanding of leadership (Stogdill, 1974b), leadership is one of the most observed but least understood phenomena on earth (Burns, 1978), thousands of empirical investigations of leadership have been conducted in the last seventy-five years alone, but no clear and unequivocal understanding exists as to what distinguishes leaders from non leaders (Bennis & Nanus, 1985), most of what has been written about leadership has to do with its peripheral elements and content rather than what the essential nature of leadership as a relationship (Rost, 1993), leadership research has been characterised by narrowly focused studies with little integration of findings from different approaches (Yukl, 1994) leadership theory is complex, fragmented and contradictory (Chermers, 1997), there is an inability to know and agree upon what leadership is (Rost, 1991), despite the attention given to leadership by both managers and researchers, “the dimensions and definitions of the concept remain unclear” (Pfeffer, 1979. p. 104) and “in spite of years of trying, we have been unable to generate an understanding of leadership that is both intellectually compelling and emotionally satisfying” (Meindl, Ehrlich & Durkerich, 1985. p.78). Kunhert (1993) observes that leadership research have been criticised for shoddy scientific approaches: lack of definitional focus, poor methodology, poor measurement, inappropriate assumptions, and reliance on outdated theories.

Another source of instability and ambiguity in the meaning of leadership has to do with the fact that it's a pervasive phenomenon and is embedded in different and multiple forms of human social organisation (Wenck, 2003). Consequently, the leadership definition tends to be more often than not culturally and historically shaped and bounded and therefore subject to cultural variation (Wenck, 2003). This apparent confusion seems to be directly related to the inability and ambiguity of leadership as a social construct that is, as a socially shared, hypothetical, inferred entity that is useful in explaining certain phenomena, but which cannot be touched, seen, or directly measured (Wenck, 2003). Therefore, considering the controversy surrounding the subject, this discussion of leadership theory literature takes an overall and broad historical look at the literature without being influenced by any particular school of thought or line of thinking.

Overview of Major Research Approaches to Leadership

In order to place recent theoretical developments in context, it is necessary to explicate the nature of traditional approaches in order to detail various theoretical deviations as well as the extent to which the study of recent theories serves to enhance leadership research. The study of leadership can be divided into three stages (Johnson, 2002). The earliest stage attempted to identify specific traits that make a leader a good leader. The next stage of leadership concentrated on the behaviour of leaders, with research focusing on identifying behaviours of successful leaders. Another set of theories that emerged studied the situation in which leadership occurred. These theories focused on the situation in which the leader acted and postulated that leader effectiveness is dependent, or contingent on that situation. More recently, research has centered on the interactions between leaders and their followers (Johnson, 2002).

Table 1 summarises the theory of leadership in terms of major approaches, as adapted from Yukl (1994). Rost (1993, pp. 23-24) stated that “the models feed on one another and are a mish-mash of the structural-functionalist framework of groups and organisations. Moreover, the theories did not run riot in any one separate time period, nor did they disappear from the pictures when the next so-called dominant theory appeared on the scene.” The major theoretical approaches to leadership, both traditional and non-traditional, attempt to explain and understand what effective leadership is, therefore, it is appropriate to provide a definition and assessment of effective leadership before reviewing the literature. Wenek (2003) argued that leadership cannot be inferred from results alone. Results should enter the discussion only when distinguishing between effective and ineffective leadership. This brings us to the proposition that if leadership is not about achieving a particular outcome, it essentially involves influencing and attempting to influence others. For this reason, assessing the extent of influence on the followers’ measures leadership more specifically. This may involve testing the results of leadership activities against a goal, vision, or objective (Wenek, 2003).

Consistent with this perspective, Kanungo and Mendonca (1995, p. 15) observed that “leadership effectiveness should be measured in terms of, firstly, the degree to which a leader promotes the instrumental attitudes and behaviour for the achievement of group objectives. Secondly, the followers’ satisfaction with the task and context within which they operate, and thirdly, the acceptance of the leaders’ influence, which is often manifested through the followers’ emotional bond with the leader, by their attributions of favorable qualities to the leader, and by their compliance behaviour and commitment attitudes and values”. Organisational leadership is defined as the “exercise of interpersonal influence or formal authority through the communication process in order to achieve specified goals or objectives,” (Feldberg, 1981. p. 99) and the aim of effective leadership behaviour is to maximize productivity, to stimulate creative problem solving, to promote morale and satisfaction and to improve interpersonal relationships (Malherbe, 1986).

Table 1: Major theoretical approaches to leadership (adapted from Yukl, 1994)

Approach	Essential Theme	Major Studies	Major Methodologies	Limitations
Trait approach (1930s to 1940s)	Emphasizes the personal attributes of leaders such as adaptability, alertness, achievement orientation etc.	<ul style="list-style-type: none"> • McClelland, 1965 • Miner, 1965 	Comparing traits of successful and unsuccessful leaders through interviews, critical incidents etc.	1. Lack of attention to intervening variables in the casual chain 2. Individual traits fail to strongly correlate with effectiveness.
Behaviour approach (1950 to 1970)	Focuses attention on the content of leadership behaviour divided between task-orientation (initiation) and people-orientation (consideration)	<ul style="list-style-type: none"> • Ohio state leadership studies (Stogdill and Coons, 1957) • Michigan leadership studies • Managerial Grid (Blake and mouton, 1964) 	Behavioural descriptions questionnaires	1. Problems with identifying meaningful behavioural categories 2. Emphasis on individual rather than patterns of specific behaviours 3. Mostly contradictory and inconclusive results
Power influence approach	Examined influence processes between leaders and followers. Explains leadership effectiveness in terms of the amount and type of power possessed by a leader and how power is exercised	<ul style="list-style-type: none"> • French and raven, (1959) • Social exchange theory • Strategic contingencies theory • Leader member theory (LMX) (Dansereau, Graen and Haga, 1975) 	Questionnaires	1. Lack of validity for the measures of leader owner 2. Failure to deal with likely confounding among different sources of power; LMX theory is more descriptive than perceptive
Situational approach (1970s to early 1980s)	Looks at contextual factors. Has two streams: 1. Influence of organisational type of managerial position on managerial behaviour 2. Contingency theories that explain leadership	1. Mintzberg 1973 2 (a) Path goal theory (House, 1971) 2 (b) Leader substitutes theory 2 (c) The multiple-linkage	Comparative study of situations	1. Lack of a broad perspective in the demands and constraints faced by a leader 2(a) Mixed results' methodological limitations; conceptual deficiencies 2(b) Meaning of Least

Table 1: Major theoretical approaches to leadership (continued)

	effectiveness in terms of situational moderator variables	model 2 (d) Leadership contingency theory(Fiedler, 1967); 2 (e) Cognitive resource theory		Preferred Co Worker (LPC) unclear; intervening variables ignores; weak empirical support.
Participative leadership	Primarily concerned with power sharing and empowerment of followers	Vroom and Yetton (1973) normative decision model	Laboratory and field experiments	1.Methodogical weaknesses 2. Lack of consistent results
Charismatic and transformation leadership (since early 1980s)	Explore how some leaders motivate followers to perform beyond expectations and identify behaviours and traits, such as charisma and vision, facilitating leadership effectiveness	<ul style="list-style-type: none"> • Burns, 1978 • Bass, 1985 • Conger and Kanugo, 1987 • Kouzes and Posner 1987 • Tichy and Devanna, 1986; • Bennis and Nanus, 1985 	Questionnaires; interviews	1. Two factor distinction is unclear and an oversimplification of a complex phenomenon 2.Ignores other important managerial behaviours 3. Distinction between charisma and transformational leadership needs clarification

The power influence approach examined the influence processes between leaders and followers. It explains leadership effectiveness in terms of the amount and type of power possessed by a leader and how power is exercised. French and Raven (1959) postulate that leadership behaviour is associated with power over others. In order to explain this, it is important to distinguish between authority, power and influence. Authority is the right of a leadership to give orders and to demand action from subordinates. Power, however, refers to the ability of a leader to influence the behaviour of others without necessarily using his/her authority. Influence is the ability to apply authority and power in such a way that followers take action (Smit & Cronje, 2002). Research conducted by French and Raven (1959) identifies the following kinds of power: legitimate, reward, coercive, referent, and expert. Legitimate or position power is synonymous with authority. It refers to the authority that the organisation grants to a particular position. Reward power is the ability to offer and withhold types of incentives such as status, promotions, salary increases. Followers can reward leader's behaviour through their praise, enthusiasm or obvious support. Coercive power is the ability to force someone to comply through threat of physical, psychological, or emotional consequences (French & Raven, 1959).

Referent power is based on relationships and personal 'drawing power' leaders who attract others by their personal style and charisma. Lastly, expert power is based on knowledge or competence, that is, the leader has a certain power over others due to their need for his or her knowledge of information (French & Raven, 1959). Nelson and Quick (1996) (in Bergh & Theron, 2003. p. 216) point out that reward and coercive power are similarly effective, in that, both produce the desired results as long as the leader or manager is present. This reveals the counterproductive effect of coercion and reward, that is, the growing dependence they foster. Rather than showing initiative in related tasks or bringing a new insight to the task performance, those who are to be rewarded or coerced take their cues from the leader (Bergh & Theron, 2003. p. 219). Legitimate power is not particularly effective in terms of organisations reaching their goals and employees reporting satisfaction. On the other hand, the remaining two sources of power have been associated with greater levels of effectiveness. Referent power is effective, however it's important that people be aware and beware of charismatic leader who loses sight of common goals. Finally, expert power is the source most vigorously associated with task performance and employee satisfaction (Bergh & Theron, 2003. p. 220).

Generally, research suggests that effective Leadership impacts positively on both work performance and job satisfaction (Bass, 1990b; Blake & Mouton, 1964; Fiedler, 1967; Gibbons, 1992; Hersey & Blanchard, 1977; Katz & Kahn, 1978; Lawler & Finch, 1989; Novak, 1984). Schein (1980; 1984) suggests that it is apparent that leadership is a central concept within organisations, as it can affect a number of different areas. Cogill (1986) claims that the outcome of leadership behaviour affects goal attainment, motivation,

productivity, job satisfaction, performance, morale, turnover and subordinates' behaviour within the setting of the organisation. This claim addresses leader-centric or traditional leadership perceptions as opposed to leadership attributions by followers. The great man and trait theories support this leader-centric perspective which emphasizes the thoughts, actions, and persona of leaders over these followers.

Great Man and Trait Theories of Leadership

Galton's (1869) Great Man Theory was one of the earliest approaches to the study of leadership. He defined historical leaders as great men who possessed qualities superior to those of the masses, which were seen to be universal, inherent and applicable across all situations. An extension of the Great Man Theory is the Trait Approach. Stogdill's (1950) Trait Approach classifies leadership into the following six categories; physical, intelligence, personality, social, task-related, and social background. The underlying idea was that strong leaders had certain basic traits that distinguished them from non-leaders, and if these traits could be isolated and identified, then potential leaders could be recognised. Extensive research was conducted which attempted to identify profiles of traits that would differentiate successful Leaders from unsuccessful Leaders, in a variety of situations, the assumption being that effective Leaders would manifest different traits from ineffective Leaders (Howel, Bowe, Dorfman, Kerr & Podsakoff, 1991). Research reviews by Bass (1981, 1990a) and Yukl (1989) show that a large variety of Leader traits were studied, including physical characteristics (e.g. height, appearance, and energy level), ability (e.g. general intelligence, verbal fluency, originality) and personality (e.g. self-esteem, dominance, initiative).

By virtue of antiquated premises, these theories have been criticised by a number of contemporary leadership theorists. Cogill (1986) dismisses this approach on the basis that leaders who are successful in one situation are not necessarily successful in others. Mann (1959), Hollander and Julian (1969) and Stogill (1948) reported that no traits consistently differentiated effective leaders from non-effective leaders across a variety of situations. In addition, White and Bednar (1991) advocated that, firstly, defining and measuring traits can be problematic because individual can view traits differently (Schermerhorn et al., 1982; White & Bednar, 1991). Secondly, the qualities and characteristics of effective leaders may be largely determined by the situation in which they operate (White & Bednar, 1991). Thirdly, inconsistent research findings suggest that successful and unsuccessful leaders as well as non-leaders can possess the same traits (White & Bednar, 1991). Finally, the trait approach fails to identify what an effective leader actually does (Gidson et al., 1979) and they do not take account of the unique personality and ability of the subordinate. Coghil (1986) indicates that perhaps the major shortcomings of both the Great Man and Trait Approaches are that they focus exclusively on the leader and do not recognise that leader traits are largely influenced by environmental and situational contexts. Criticisms of trait theories lead to greater emphasis of a different approach to studying leadership, namely the behavioural

approach (Schermerhorn et al., 1982). The behavioural approach also supports the leader-centric perspective. Instead of focusing on traits, the behavioural researcher studies leadership behaviours (Gidson et al., 1979) which emphasizes the thoughts, actions, and persona of leaders over these followers.

Behavioural Theories of Leadership

The criticism of traits and personal characteristics in leadership theory led to the study of the overt behaviour of organisational leader (Hollander & Offermann, 1990). This resulted in an emphasis on both the situations and tasks that leaders and subordinates were mutually involved in (Hollander, 1985). Researchers, for example, Shartle (1945), Likert (1961) and Blake and Mouton (1980) looked at Leader behaviours as an attempt to determine what successful Leaders do, not how they look to others (Horner, 1997). They moved away from an emphasis on traits and focused on Leader behaviours (Hellriegel et al., 1989; Schermerhorn et al., 1982). It was theorized that although there appeared to be no stable and situationally invariant personality characteristics which distinguished Leaders from non-Leaders, or effective Leaders from less-effective Leaders, it was still possible that certain styles of Leadership were more successful than others (Vroom, 1976). Consequently, effective Leaders may not be distinguished by their personality traits but by their characteristic behaviour patterns in their work roles (Vroom, 1976).

The differences between trait and behavioural theories, in terms of application, lies in their underlying assumptions. If trait theories were valid, then leadership is basically inborn. On the other hand, if there were specific behaviours that identified leaders, then one could teach leadership. The impact of this work was in part the notion that Leadership was not necessarily an inborn trait, rather, effective leadership methods could be taught to employees (Horner, 1997). The behavioural approach represented a major advance in the leadership discipline as its emphasis on concrete behaviours enables both the training of leaders and the measurement of leader behaviour to be more effective (Muchinsky, 1990). It also describes dimensions which summarise a cluster of behaviour congruent with effective leadership (Cogill, 1986). Thus, leader behaviour theories may be prescriptive unless they are related to specific situations or contexts (Cogill, 1986; McCall, 1976).

Two research programmes which provided useful insights into leadership behaviours were conducted at the Ohio State University and the University of Michigan (Burack, 1975; DuBrin, 1984; Hampton, Summer & Webber, 1978; Moorhead & Griffin, 1989; Schein, 1980; Schermerhorn et al., 1982; Vroom, 1976). The most comprehensive and replicated of the behavioural theories resulted from research that began at Ohio State University in the late 1940s. In 1945, Shartle (1950) organised the Ohio State University leadership studies to study the behaviours rather than the traits of Leaders (Bass, 1981.) These researchers sought to identify independent dimensions of Leader behaviour. Beginning with over a thousand

dimensions and using factor analysis, the Ohio State University group of researchers narrowed the list down to two categories that substantially accounted for most of the Leadership behaviour described by employees. They called these two dimensions; initiating structure and consideration.

Initiating structure is a Leader behaviour marked by attention to task and goals. Leaders who are high in initiating structure typically present instructions and provide detailed, explicit timelines for task completion. Consideration refers to the Leader's awareness and sensitivity to subordinates interests, feelings and ideas. Leaders high in consideration are typically friendly; they treat all group members as equals, put group suggestions into operation, prefer open communication, focus on teamwork and are concerned with the other person's welfare. Consideration is thus concerned with establishing good relationships with subordinates and being liked by them (Bass, 1981; Vroom, 1976). Thus, four Leadership styles can be identified; style 1 - high initiating structure, high consideration; style 2 - high initiating structure, low consideration; style 3 - low initiating structure, low consideration; style 4 - high initiating structure-high consideration style was associated with best performance and greatest satisfaction. These leaders both met the needs of their subordinates and were effective in accomplishing their task and/or goals (Hersey & Blancharch, 1982; White & Bednar, 1991).

A large number of empirical studies add testimony to the validity of these dimensions. Balas (1958) showed that for groups to work effectively, they had to be concerned with task accomplishment and the building and maintaining of group relationships. High consideration Leaders have been found to have work groups which demonstrate greater intra-group harmony and member cooperation (Oaklander & Fleishman, 1964) as well as reduced turnover and grievances rates (Fleishman & Harris, 1962). Generally, Leader consideration appears to be associated with subordinate satisfaction with superiors and reduced subordinate absenteeism (Bass, 1981). With regard to Leaders initiating structure behaviour, correlation between Leaders initiating structure and subordinate satisfaction and productivity differ according to the instruments used and the constraints and goals in a particular situation (Bass, 1981). Leader initiating structures behaviours can increase grievances, absenteeism and turnover among subordinates (Fleishman & Harris, 1962). A degree of structuring on the part of the Leader is characteristic of effective supervision (Bass, 1965). Korman (1966) found that several studies indicated no relationship between initiating structure and subordinate satisfaction or performance.

Several studies have dealt with both consideration and initiating structure Leadership. Initiating structure and consideration were found to be positively related to productivity and job satisfaction in a number of different settings: in industrial (Badin, 1974; Farris, 1969; Fleishman & Lee, 1975) and government organisations (Miles & Petty, 1977). Oaklander and

Fleishman (1964) showed that Leader consideration served to harmonise working relationships within a group and minimised tension, hostility and lack of co-operation within a team. In addition, initiating structure was found to prevent tension and conflict between groups (Oaklander & Flishman, 1964). Fleishman and Harris (1962) showed that negative effects of initiating structure were minimal for Leaders who scored high on both consideration and initiating structure dimensions. The conclusion was derived that high consideration Leaders could increase initiating structure behaviours with minimal concomitant increases in grievances and no increase in turnover (Fleishman & Harris, 1962).

However, Seltzer and Bass (1990) argue that the use of only two constructs (consideration and initiation of structure) does not provide a detailed enough account of leadership behaviour. Further criticism of the Ohio State University research has been of a technical nature. Furthermore, these theories were criticised for not taking into account the situation contingencies moderating the effects. These contingencies include the make up of the subordinates and the organisational constraints, tasks, goals, and functions in the situation. The Hersey Blanchard model (1969) tried to remedy the situation by focusing on the followers' psychological maturity and job experience as the most important contingencies affecting the leaders need to be task-orientated or relations orientated. However, according to Yukl (1994, p. 71) "the long fixation on consideration and initiating structure appears to be ended, and most researchers now realise that it is necessary to examine more specific types of behaviours to understand leadership effectiveness." Despite criticism, Blake and Mouton (1980) reason that the two constructs are key elements within the Leadership domain. The approach that use initiating structure and consideration as basic constructs are termed as Leadership style theories and include Blake and Mouton's (1964) Managerial Grid and Hersey and Blanchard's (1977) situational leadership theory (Cogill, 1986.) which are discussed below.

The second behavioural approach to be considered focuses on the research conducted at the University of Michigan. Research undertaken at the University of Michigan under the direction of Renis and Likert (1961) was similar to that of the Ohio State University (Vroom, 1976). Researchers were concerned with identifying which Leadership behaviours are congruent with effective group performance (Moorhead & Gridfffin, 1989). Rensis and Likert (1961) concluded that supervisory behaviour could be analysed in terms of two specific leadership styles, job centered and employee centered behaviour. However, Likert (1961) stated that the most effective Leadership behaviour is employee-centered as production-centered supervisors were more often found to have low producing teams. The difference between these two styles can be found in the level of supervision and participation. A job-centered practices close supervision and uses specified procedures so that subordinates can perform their tasks, while delegating is exercised regarding decision making in the case of employee-centered Leader (Bergh & Theron, 2003). Likert (1961) discovered that high

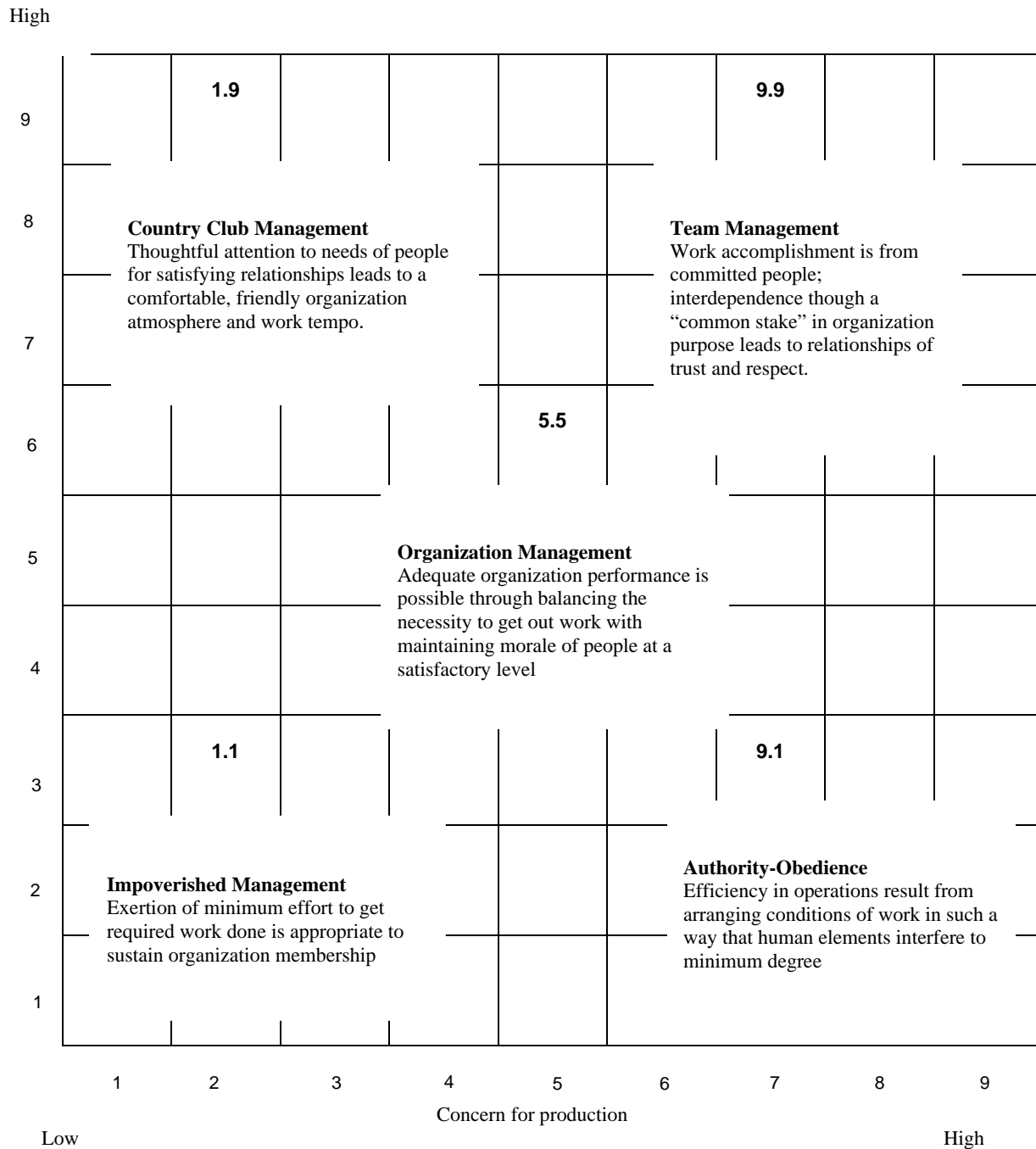
producing supervisors clarify objectives and tasks. Thus, close supervision tended to be associated with high productivity (Likert, 1961) and the latter tends to aid followers in satisfying their needs by creating a supportive work environment and a climate that is conducive to motivation. The distinction between the two styles amounts to a one-dimensional model, implying that supervisors exhibited either one or the other of these patterns, there were no middle grounds or combinations of centers (Bergh & Theron, 2003).

Likert's (1961) own findings raise doubt as to whether there is a single most effective Leadership style which would be appropriate across all situations (Hersey & Blanchard, 1982). Consequently, the research indicates that both employee and production-orientated Leaders can be effective. This highlights the complexity of the relationship between Leadership style and productivity (Burach, 1975; DuBrain, 1984). The observation that both employee and production centered leaders can be effective became the basis for the Managerial Grid (DuBrin, 1984).

Blake and Mouton (1964) extended the Ohio State University constructs of initiating structure and consideration, into a two-dimensional grid (see Figure 1) in which they refer to the dimensions concern for production, which is parallel to the initiating structure and production-centered behaviours, and concern for people, which is similar to consideration and employee-centered behaviours (Blake & Mouton, 1980). Concern for production is illustrated in the horizontal axis and concern for people on the vertical axis (Blake & Mouton, 1980).

In the Managerial Grid, five independent management styles based on these dimensions, are identified and located in four quadrants similar to those identified by the Ohio State Studies (Blake & Mouton, 1980). Blake and Mouton (1964) stated that these two dimensional yield five generalized managerial styles in the grid ranging from 1, 1 impoverished management style through to 9, 9 team management style. The impoverished style (1, 1) represents a very low concern for people combined with very low concern for production (Blake & Mouton, 1980). The country – club style (1, 9) represents extremely high concern for people, coupled with very low concern for production. The organisation management style (5, 5) epitomizes mediocrity in that, neither a high nor low level of concern is exhibited for people or production. An authority obedience style (9, 1) represents a low level of concern for people together with a high level of concern for production. The team management style (9, 9) ensures goal clarity and elicits higher levels of productivity from committed employees through very high concern for both production and people (Blake & Mouton, 1980). Some research has accrued for the 9, 9 management style as being most effective (Argyris, 1971; Blake & Mouton, 1980, 1985; Hall, 1976; Kreinik & Corarelli, 1971; Likert, 1967; McGregor, 1960). Blake and Mouton (1980), postulate that 9, 9 principles can be applied to any managerial situation which results in effective Leadership.

Figure 1: Blake & Mouton's (1978, p.11) Managerial Grid



Blake and Mouton (1982) stress that the behaviours are not correlated. For example, in the 1,9 grid style, high concern for people combines with low concern for production to produce a friendly management style with little regard for productivity (Blake & Mouton, 1982). In the 9, 9 grid style, high concern for people combines with low concern for production to produce a management style that is participative and committed to productive outcomes (Blake & Mouton, 1982). Thus, in both situations, high concern for people represents the same level of concern but qualitative differences in behaviour exist in the combinations resulting from the interaction between two variables (Blake & Mouton, 1982). However, not all research has confirmed that Leaders, high in both concerns for task and people are universally effective (Schermerhorn, et al. 1982). In a study conducted by Larson, Hunt and Osborn (1976), it was found that in fourteen samples predicting overall satisfaction and four predicting overall performance, consideration or initiating structure produced higher correlation than consideration added or multiplied by initiating structure. A logical extension to the Managerial Grid was that the situational or contingency approach to Leadership, which attempts to identify situational factors, determines the most effective Leadership style (DuBrin, 1984).

Deluge (1987), Hersey and Blanchard (1977), Bernardin and Alvares (1976) and Keller (1978) criticise Blake and Mouton's (1964) Managerial Grid as lacking satisfactory empirical support. The grid has been questioned methodologically and conceptually in previous research (e.g. Argyris, 1976; Hall, 1976; Kreinik & Corarelli, 1971; Reiner & Morris, 1987). The theory was criticised as simplistic (Hollander, 1985). The Managerial Grid does not take into account situational variables while assuming that the 9, 9 style fits all situations (Cogill, 1986; Hollander, 1985; McCormick & Tiffin, 1979). Criticism is that the reciprocal relationship between managers and subordinates is not considered, as no subordinate characteristics are seen to impact on manager's performance, behaviours and activities (Dienesch & Liden, 1986). Thus, according to Bernardin and Alvares (1976), Deluge (1987) and Keller (1978), research has not been able to demonstrate conclusively that the Managerial Grid is a satisfactory model of Leadership as it has both theoretical and empirical limitations. As with the Ohio Studies, the Managerial Grid is criticised with respect to its focus on the behaviour of the leader towards the subordinate, while ignoring the way in which subordinates are capable of influencing the Leader.

In the belief that these three behavioural approaches fail to capture the more dynamic realities of current times, the Scandinavians researchers conducted new studies to see if there was a third dimension that is related to leader effectiveness. The early evidence was positive. The researchers found "strong support for development-orientated Leader behaviour as a separate and independent dimension. Therefore, it appears that Leaders who demonstrate development-orientated behaviour have more satisfied employees and are seen as more competent by those employees" (Robbins, Odendaal & Roodt, 2001. p. 245).

Due to the deficiencies in the Managerial Grid, new directions in Leadership research led to the development of the more dynamic contingency approaches and situational approaches. The contingency models of leadership, which support the leader-centric perspective, will be examined in the following section. The advent of contingency models of leadership represents a major shift in the field of leadership (Fiedler & Garcia, 1987).

Situational theories of leadership

Situational theories suggested that leadership is a matter of situational demands and advances the view that the emergence of great leadership is as a result of time, place and circumstance. The situational approach looks at contextual factors and two streams; firstly, the influence of organisational type of managerial position on managerial behaviour and secondly, the contingency theories that explain leadership effectiveness in terms of situational moderator variables (Yukl, 1994). The situational theories of leadership support the leader-centric perspective as the contingency models claim that leader-effectiveness is an interaction between leader qualities and situational demands (Coghill, 1986; Hollander & Offerman, 1990; Miner, 1992), hence this traditional perspective emphasises the thoughts, actions, and persona of leaders over their followers. Theories include the Path-Goal Model (House, 1971), Fiedler's Contingency Model (1967) and Hersey and Blanchard's situational theory.

The Path-Goal Theory (House, 1971) is a contingency model "based on the leader's effectiveness in increasing subordinates motivation along a path leading to a goal" (Hollander & Offerman, 1990, p 181). The theory, popularised by Evans (1970) and House (1971) is derived from the path-goal hypothesis advanced by Georgopoulos, Mahoney and Jones (1957) and from previous research supporting the expectancy / valence theory of motivation (Lawler, 1968). The central concept of expectancy theory is that an individual's attitude and behaviour is a function of the expectation that the behaviour will result in a specific outcome (expectancy) and the value of the outcome (valence) to the individual (House, 1971). House's (1971) path-goal theory of leadership defines the relationship between leader behaviour, subordinate performance and work attitudes. Effective leaders as defined by path-goal theory are those who clarify suitable paths for followers (House, 1971). The path-goal model attempts to predict leadership effectiveness in different situations, leaders reinforce change in their followers by showing them the behaviours (paths) through which rewards can be obtained. Put differently, effective leaders make sure appropriate rewards are available for followers (the goal) and then help them find the best way to achieve it (the path).

This differs from Fiedler (1967) contingency theory where leadership-effectiveness is determined by the interaction between environment and personality factors. The path-goal theory focuses on ways for the leader to influence subordinates' perceptions of the clarity of paths to work goal and the benefits of the goals themselves (House, 1971). In the path-goal model, practicing leadership involves helping followers see that the path of putting more

effort and energy into a task will increase their chances of accomplishing their goals. In doing so, leaders have a choice among four distinct types of leader behaviour (House, 1971); instrumental or directive, supportive, participative and achievement orientated. By being instrumental, a leader focuses on providing specific guidance. By being supportive, a leader focuses on establishing good relations with subordinates. A participative approach permits followers to participate in the decision-making. Achievement-orientated style is characterized by a leader setting challenging goals. These styles are not mutually exclusive; the same leader can adopt them at different times and in different situations and showing such flexibility is an important aspect of an effective leader (House, 1971).

Fiedler's (1967) contingency model represents a departure from trait and behavioural models of leadership in that it stipulates that the effectiveness of a leader is contingent upon two major elements; these are leadership style or motivational structure and the degree to which the leadership situation provides the leader with control and influence over the outcome (Fiedler & Chemers, 1974). The basic principle was that effective behaviour, in some circumstances, may be ineffective under different conditions. Thus, the effectiveness of leader behaviour is contingent upon organisational situations. Such theories are labeled contingency theories and include the Fiedler model (Fiedler, 1967) and Hersey and Blanchard situational theory (Hersey & Blanchard, 1977). Contingency means that one thing depends on other things, and for a leader to be effective, there must be appropriate fit between the leaders' behaviour, their style and the conditions of the situation. According to the theory, there is no one best way of leadership. It is up to the followers to ensure that the leader is successful, if the leader's style does not suit the situation to what is contingent to follower preferences, he or she will not reach full leadership potential.

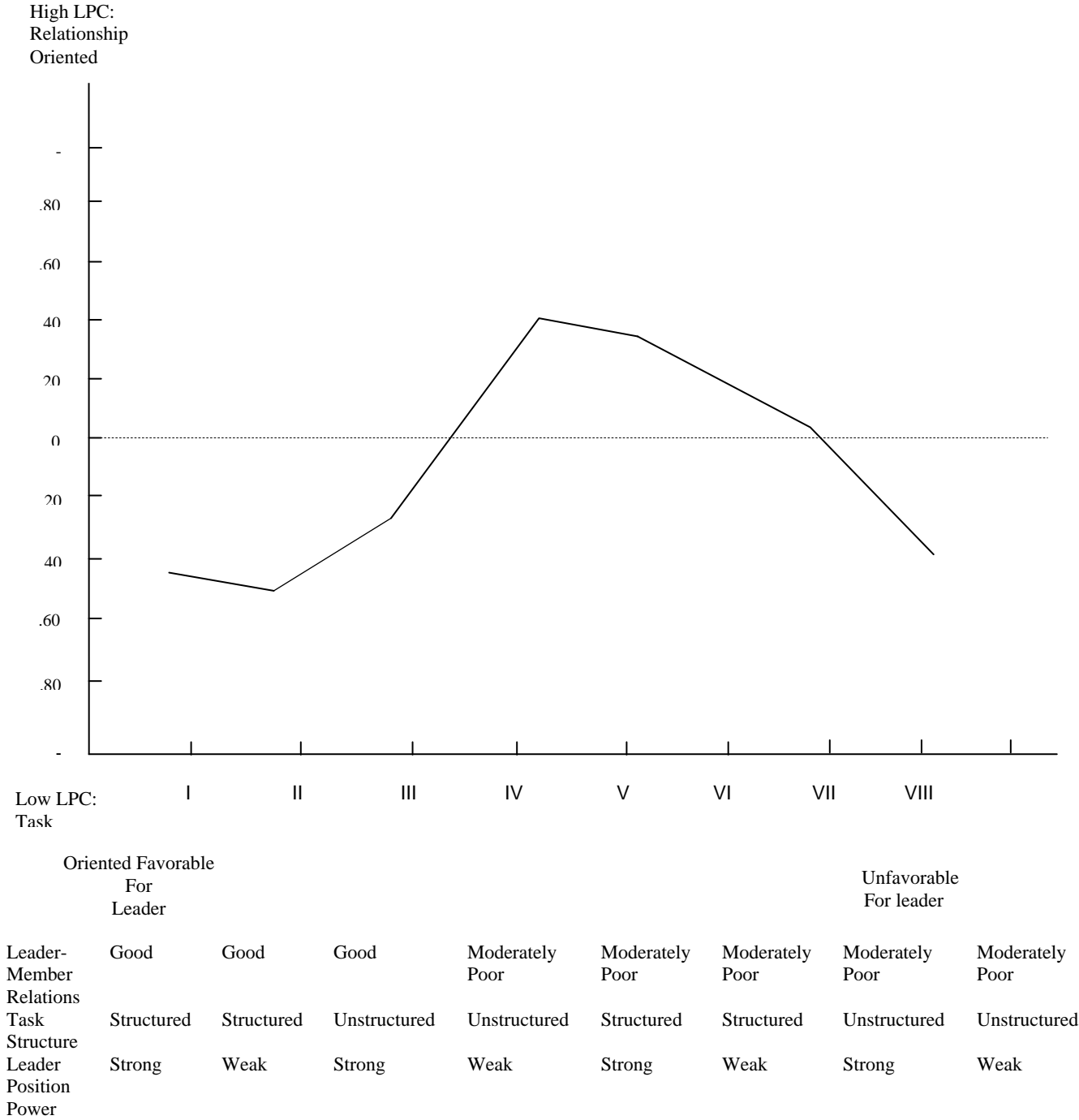
Fiedler (1967) proposed that there are three factors which determine the degree of situational favorableness. The specific factors which affect the leader, in decreasing order of importance are; leader member relations, task structure and position power, the strongest variable being the leader member relations which is assessed by the degree of cooperation and friendliness or antagonism and difficulties in the leader-follower relationship, as well as the degree of confidence, trust and respect followers have in their leader. Task structure depends on the level of specificity about work products, processes or objective work evaluations and lastly, position power refers to the rank of the leader (Fiedler, 1967; Fiedler & Chemers, 1974; Fiedler & Garcia, 1987). Fiedler (1967) dichotomized the situational variables, i.e., leader-member relations, task structure and position power. This resulted in eight different situations which differed with regard to their favorability (Fiedler, 1967). By combining these factors, the situational control of the leader can range on a continuum from very high in positive relations, high in structure and position power, to very low, resulting in negative relations, unstructured tasks and low position power. Fiedler (1967) states that no absolute style exists and that the particular situation will determine the best possible style to be adopted by the

leader. Conversely, the situation is least favorable when the leader and member have no relationship, the task is unstructured and the leader has no position of power. The most favorable situation exists where leader member relations, task structure and position power are all high. All three values are low in the least favorable position (Fiedler & Chemers, 1974). The three situational factors thus determine the overall favorability of the situation, i.e., the degree to which the leader has control and influence (Fiedler & Chemers, 1974).

Fiedler (1967) states that leader-group relations, task structure and position power describe the situational favorableness for the leader (Schein, 1980). Fiedler (1967) developed a measure of his leader's basic managerial orientation or approach called, the least preferred co-worker measure. The least preferred co-worker measure allows leaders to consider all individuals they have worked with, and then specifically determine the characteristics of the people with whom they worked with least effectively (Ayman & Chemers, 1983). If the leader's least preferred co-worker score is low, then the leader considers the subordinated in relatively unfavorable terms, and the leader considers the subordinates in relatively unfavorable terms and the leader is thus primarily interested in effective performance and is task-oriented (Robbins, 1988). The relationship-orientated leader (a high least preferred co worker score) is interested in fostering good personal relationships with his her co-worker. Categorised as either high or low, LPC leaders are grouped according to their motivation hierarchy. Fiedler (1967) has further refined his theory with research on which type of leader (high or low LPC) is more effective on different levels of situations favourability, high LPC (relationship-orientated) leaders do best with moderately situational favourability. Task-orientated or low LPC leaders do best at the extremes (See Figure 2).

Fiedlers' (1967) least preferred co-worker (LPC) model holds the distinction of being the most widely researched on leadership (Bass, 1990a. p 494). The situational aspect of Fiedlers' (1967) theory exists because he points out that people, both leaders and followers, should be placed in situations that complement their preferences toward relationship-oriented versus task-orientated behaviours. Fiedler's theory represents an advance in that it gives special attention to situational variables (Moorhead & Griffin, 1989). In addition, there is general agreement that it has contributed significantly to the evolution of empirically based situational leadership studies (White & Bednar, 1991). Chemers and Strzpek (1972) conducted a validation study of Fiedler's (1967) model. The study involved 34 4-person groups in a laboratory experiment conducted at the United States Academy, West Point (Chemers & Strzpek, 1972). The experiment, which involved strong manipulation and specification of variables affecting situational favorableness, strongly supported Fiedlers' model (Chemers & Strzpek, 1972).

Figure 2: Correlations between leaders LPC scores and group effectiveness plotted for each cell (Fiedler, 1976, p. 146).



Fiedlers' (1967) theory is one of the theories which dominated Leadership research activity in the 1970s (Bass, 1981). However, several persistent criticisms about the theory exist (Burack, 1975; Hellriegel et al., 1989; Landy, 1989; Moorhead & Griffin, 1989; Schein, 1980; Schermerhorn et al., 1983; Vroom, 1976). These include firstly, the low validity and reliability of the LPC questionnaire (Gibson, Ivancevich & Donnelly, Jr., 1991; Moorhead & Griffin, 1989). Secondly, the diagnostic categories are complex and difficult to assess i.e., quality of leader-member relations, task structure and degree of position power can be difficult to determine in practice (Schein, 1980). Thirdly, little attention is given to a diagnosis of subordinate characteristic (Schein, 1980) and lastly, the theory assumes adequate technical competence in both leaders and followers (Schein, 1980). In addition, Fiedler (1967) indicates that leadership style can be represented on a single continuum. Landy (1989) writes that from its introduction, Fiedler's (1967) theory has been controversial and that it does not sufficiently elucidate the phenomena of leadership. In addition, most research has focused on aspects of the theory rather than on the theory as a whole, thereby, limiting it in scope (Landy, 1989). The most popular focus concerns the instrument used by Fiedler to measure Leadership style i.e., the LPC scale (Landy, 1989). This theory applicability is questionable due to its relative simplicity; it initiated discussions and research about matching a Leader with a situation that would be most conducive to that Leader's style (Horner, 1997).

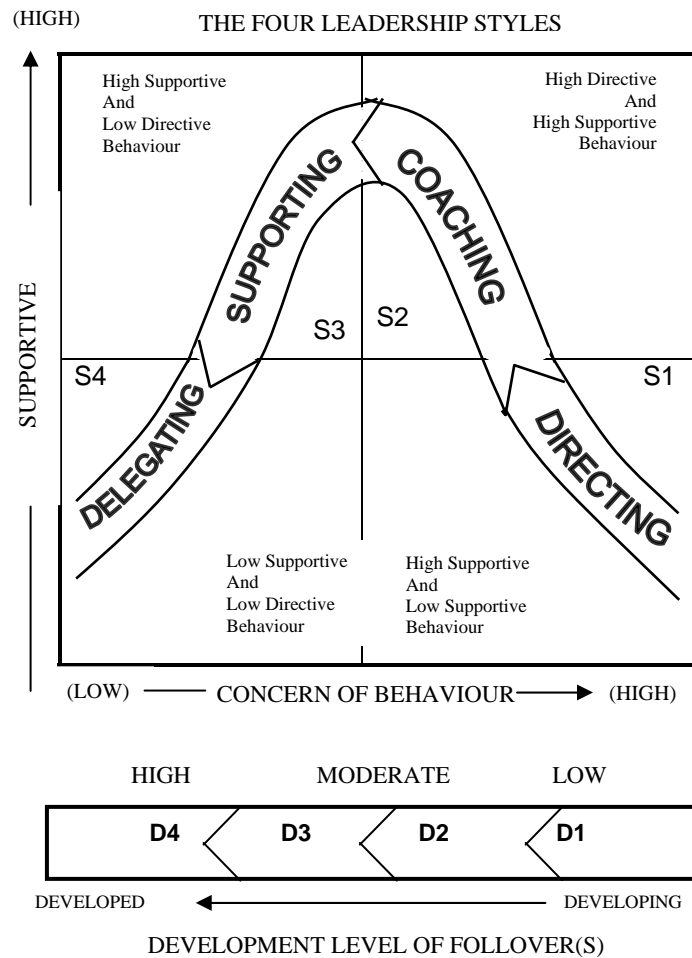
Hersey and Blanchard (1977) formulated their Situational Leadership Theory in response to the perceived inadequacy of Blake and Mouton's (1964) Managerial Grid and Fiedler's Leader Match Theory (1967). The emphasis on leadership comes at a time when modern organisations, adapting to turbulent and competitive environments, are replacing bureaucratic hierarchies with more participative and collaborative structures which ensure employee commitment, motivation, satisfaction, and empowerment (Conger, 1993). This re-arrangement of traditional relationships results in the recognition of the follower's role in shaping effective leadership systems (Krans, 1990). Consequently, the focus of leadership has broadened from one which exclusively emphasized the importance of the leader's role to one which takes into account a wider variety of factors which have the potential to affect the leadership process. According to Burns (1978), one of the most serious failures in the study of leadership has been the lack of integration between literature on leadership and literature on followship. Hersey and Blanchard (1977) Situational Leadership Theory (SLT) addresses this issue.

Hersey and Blanchard's (1982), SLT represents a synthesis of widely accepted thinking about leadership (DuBrin, 1984). It builds upon well-researched concepts (DuBrin, 1984) and marks its beginning in the 1940s at Ohio State University, where, as mentioned previously, researches focused on two Leadership behaviours, namely, initiating structure and consideration (Schein, 1980). These dimensions are similar to production-oriented and

employee-oriented behaviours of the Michigan State University studies, Blake and Mouton's (1980) concern for production and concern for people behaviours, Fiedler's (1967) task and relations oriented behaviours and the task and relationship behaviours of path-goal theory (Bass, 1981). In Hersey and Blanchard's (1982) model, these leader behaviours are termed initiating structure and consideration.

Hersey and Blanchard (1977) maintain that managers will be more effective in attaining personal and organisational goals if they adapt their leadership styles to meet the needs of the particular situation and the needs of their subordinates (Bass, 1990). The contingency theory developed by Hersey and Blanchard (1982) focuses on subordinate characteristics as a key situational variable. Hersey and Blanchard's (1982) Situational Leadership Theory (SLT) focused on two primary types of leader behaviour: task and relationship, which are very similar to consideration and initiating structure. Essentially, the theory's underlying notion is that leaders should help increase the task-related readiness of followers as quickly as is feasible by appropriately adjusting their own leadership styles. This theory acknowledges that regardless of the leader's behaviour, success is dependent on the action of the followers, while the reality that it is followers who accept or reject the leader has been largely overlooked in most leadership theories. The theory states that a good leader should be able to modify the extent to which he or she exhibits relationship or task behaviours contingent on the situation with which he or she is dealing. The consideration and initiating structure dimensions identified through the Ohio's leadership studies has an impact on the development of situational leadership, which is based upon interplay among three variables. These variables are the amount of direction and structure a leader provides (task behaviour) the degree of consideration and support a leader exhibits (relationship behaviour) and the willingness and ability that subordinates demonstrate when performing a specific task (maturity level) (Hersey & Blanchard, 1982).

The relationship between task and relationship behaviour is curvilinear rather than linear as suggested by the Ohio University studies (Hersey & Blanchard, 1982). Hersey and Blanchard (1985) identify four basic leadership style which represent various combinations and degrees of task and relationship behaviours, namely, "Directing" (S1) "Coaching" (S2), "Supporting" (S3) and "Delegating" (S4) in terms of quadrants 1-4 respectively (Blanchard, 1985). In Style 1, a leader is high on direction and is low on support. In Style 2, the leader is high on both direction and support. Style 3, leaders show low direction and highly supportive behaviour. In Style 4, low support and low directions is provided, as decisions and responsibility for implementation now fall in the hands of the subordinates (Blanchard, 1985). See figure 3 for leader's behaviour in terms of development level.

52. Cardinalinal, *et al.* / *Disability/Disability-Related*

S2 = Supporting leadership style (high relationship / low task)

S4 Delegating leadership style (low relationship / low task)

D1 low subadult maturity

D2 = low to moderate subordin

D3 moderate to high subordinate maturity

D4 = high subordinate maturity

In accordance with the other contingency leadership theories, the situational leadership model requires that a leader develop the capacity to diagnose the demands of various situations accurately in order to select and implement the appropriate leadership response (Hersey & Blanchard, 1982). The primary situational determinant of leader behaviour is the task-relevant maturity of subordinates (Hersey & Blanchard, 1982). Task-relevant maturity consists of two components. The first factor is job maturity which is related to the ability to perform a particular task. The second aspect of task-maturity is psychological maturity which is defined as the willingness and confidence of a subordinate to accept responsibility (Hersey & Blanchard, 1982). For each task, the maturity of subordinates is calibrated into one of the following four categories; low maturity (M1) (i.e. unable and unwilling), low to moderate maturity (M2) (i.e. unable and willing), moderate to high maturity (M3) (i.e. able and unwilling) and high maturity (M4) (i.e. able and willing).

With reference to the development curve in Figure 3, it determines the most effective leadership style, given a subordinated level of task maturity. The situation model is used as follows: if a subordinate is diagnosed to have low to moderate maturity (M2), the manager can draw a vertical line up to the analysed point on the follower/subordinate maturity continuum to the point where it intersects the development curve, to ascertain the appropriate leadership style for optimal performance. The model suggests that managers move along the development curve, from right to left and use the appropriate leadership styles thereby increasing a subordinates' task relevant maturity. In order for leaders to develop subordinates to their fullest potential, leaders must be able to vary their leadership styles, utilising various degrees of direction and support as subordinates move in either direction along the maturity-immaturity continuum (Hersey & Blanchard 1982). Maturity is defined as the ability and willingness of subordinates to take responsibility for directing their own behaviour (Hersey & Blanchard, 1982).

Hersey and Blanchard (1982) identify the followers in a situation as being vital as they can individually accept or reject the leader and as a group, determine the personal power of the leader. As the level of the subordinate maturity increases, effective leader behaviour will become progressively less task and relationship-orientated (Vecchio, 1987). Thus, leadership style flexibility is seen as a central component of effective, innovative and creative leadership (Hersey & Blanchard, 1982; Roodt, 1988). Moreover, in a rapidly changing, highly competitive environment, flexibility to adapt appropriately to the situation would appear to be essential to survival and growth (Roodt, 1998).

Vecchio (1987) suggests that Hersey and Blanchard's (1982) SLT draws from other theories of leader and group behaviour, for example, McGregor's, (1960) Theory X and Y, Argyris's (1957) maturity-immaturity continuum, French and Raven's (1959) power bases, Maslow's (1954) need hierarchy, Herzberg's (1966) two-factor theory, and Greiner's (1972)

phases of organizational growth. However, the fact that SLT incorporates aspects of other recognised theories is not sufficient evidence of SLT's validity (Vecchio, 1987). Although some research studies provide partial support for SLT (Graeff, 1983; Vecchio, 1987), others find no evidence in support of the potentially ambiguous and contradictory assumptions of the theory (Blank et al., 1990; Blank, Weitzel & Green, 1986). Although the theory contains strong intuitive appeal, the veracity of the theory has not been assessed via a rigorous empirical test. Thus, without additional objective research to support the theory, caution should be taken in enthusiastic promotion of the model (Robbins, 1993; White & Bednar, 1991).

Furthermore, the Hersey and Blanchard (1977) approach does not consider the behavioural flexibility of both the leaders and subordinates, and does not consider the reciprocal relationship that exists between leaders and subordinates (Blank, Weitzel & Green, 1990; Dienesch & Liden, 1986; Schein, 1980). Although SLT possesses a developmental aspect which is lacking in other models of leadership (Schein, 1980), the four styles of leadership (i.e., telling, selling, participating and delegating) have been criticised for being too simplistic (Schein, 1980). With regard to the internal theoretical coherence of SLT, Graeff (1983) provides the most comprehensive critique of SLT (Vecchio, 1987). Graeff (1983) identifies two problems: first, the absence of any theoretical explanation of how the two components of maturity (i.e., ability and willingness) combine in the moderate range of maturity (i.e., M₂ and M₃); second, the graphic presentation of a four-dimensional model (i.e., task and relationship orientation, subordinate maturity and effectiveness) in only two dimensions is problematic (Graeff, 1983). However, in favor of SLT, Graeff (1983) agrees with the focus on the situational nature of leadership and its recognition of the subordinate as the most important factor in the leader's environment. Graeff (1983) also concurs with the theory's emphasis on the need for behaviour flexibility on the part of the leader.

In an attempt to redress criticism of earlier research, Vecchio (1987) tested SLT prescriptions for effective supervision, overcoming methodological problems of Blank et al., (1986) and Hambleton and Gumpert's (1982) research. To evaluate SLT, Vecchio (1987) chose the individual, as opposed to the group, as the unit of analysis. Although the dynamics of SLT are presumed to operate at both the individual and group level, it is important to specify and be consistent in studying leadership at one level and not across levels of analysis as the maturity level of an individual subordinate may differ from the overall maturity of a group (Vecchio, 1987). Vecchio's (1987) study represents one of the comprehensive studies of SLT. Results of the study provide partial support for the accuracy of SLT prescriptions (Vecchio, 1987). Consistent with SLT principles, findings indicated that teachers who were relatively lacking in task-relevant knowledge and commitment (i.e., low maturity), required more structuring behaviours from their principals (Vecchio, 1987). It was unclear what Leadership style was most effective for subordinates of moderate maturity. In addition to the

situational theories of leadership, management theory addresses the traditional leadership perceptions. Transactional and transformational leadership address the leader-centric or traditional leadership perceptions.

Transactional and Transformational Leadership

The most recent descriptions of relationship-oriented and task-oriented leadership behaviours can be found in Bass's (1985) transactional leadership and transformational leadership categories. This model of leadership includes behaviours that, while distinct, serve to complement each other. Transactional (task-oriented) leadership behaviours are those that obtain commitment for the achievement of goals through a promise of rewards or agreed upon exchanges and by taking corrective actions for inadequate performance. Transformational (relationship-oriented) leadership behaviours are those that instil followers with the personal desire to achieve goals. But while both types of behaviours are important, transformational leadership has the greatest power to engender loyalty and commitment (Bass, 1990a).

The transactional leader is one who engages in a traditional, cost benefit, economic exchange to address follower's material and psychological needs in return for meeting performance requirements (House & Fiedler, 1988). Transactional leadership may be described as a system of contingencies and as a result, share similarities with other contingency theories. Bass (1990a) describes transactional leadership as comprising two types of behaviours; contingent reward and contingent aversive reinforcement (or management by exception).

With regard to contingent reward, it stems from cognitive and behavioural theories and research in goal setting, motivation, learning reinforcement and reward (e.g. Campbell & Pritchard, 1983; Locke & Latham, 1984; Schriesheim, Hinkin & Tetrault, 1991; Williams & Podsakoff, 1988). One of the contingency theories, House's (1971) path-goal model, is central to Bass (1985) conceptualisation of contingent reward. Contingent rewards contribute to the self reinforcement of follower's behaviour and a continuation and renewal of their efforts to maintain it (Bass, 1985). Contingent reward may form a basis for effective lower order change or a change in the quality or quantity of subordinate performance (Avolio & Bass, 1987). Bass criticises the contingent reward approach for its myopic orientation in economic cost-benefit assumptions about the motivation, energisation and direction of follower perception and behaviour. Zalesnik (1967) observed that transactional leaders often manipulate reward and display their flexible tactics by suitable use of their own power to reward or punish, to maintain or improve what they see as satisfactory processes and organisational arrangements. Thus, in leader terms, contingent reward involves an interaction between the leader and follower that emphasizes a proactive, positive exchange. Bass (1990a) criticises the approach for its unmindful reliance on economic cost-benefit assumptions about the motivation, energisation and direction of follower perception and behaviour. Contingent

aversive reinforcement or management by exception occurs only when a leader is faced with discrepant subordinate behaviour (Bass, 1985). Studies show that management-by-exception contributes less to subordinate productivity, performance and satisfaction than does contingent reward or transformational Leader behaviour.

The distinction between ordinary transactional ‘managers’ and true ‘leaders’ who have extraordinary effects upon their followers is attached to the consensus that has emerged, declaring that contemporary organisations are in critical need of leadership with compelling vision (Bennis, 1989; Krantz, 1990; Sashkin, 1988). Managers are usually classified in two categories, according to their level in the organisation (the top, middle, and first line managers) and by the functional or specialist area of management for which they are responsible (Smit & Cronje, 2002). Each level and each role requires different knowledge, skills and competencies for the performance for the management task (Smit & Cronje, 2002). Kotter (1990) argues that management is about coping with complexity and that good management brings about order and consistency by drawing up formal plans, designing rigid organisation structures, and monitoring results against the plans. However, leadership is about coping with change. Leaders establish direction by developing a vision of the future; they then assign people by communicating this vision and inspiring them to overcome hurdles. Hersey and Blanchard (1982) suggest that management consists of leadership applied to business situations, "management is a kind of leadership in which the achievement of organizational goals is paramount" (p. 3). Birch (1999) observed that, as a broad generalisation, managers concerned themselves with tasks while Birch (1999) does not suggest that leaders do not focus on ‘the task’. Indeed, the things that characterise a great leader include the fact that they achieve. The difference lies in the leader realising that the achievement of the task comes about through the goodwill and support of others, while the manager may not. This goodwill and support originates in the leader seeing people as people, not as another resource for deployment in support of ‘the task’. Whereas leaders concern themselves with people, the manager often has the role of organising resources to get something done. Meindl (1990, p. 181) has suggested that “to be a mere manager with a transactional style is considered passé”.

Furthermore, Zaleznik (1977) assumes that managers are other-directed rational technicians, whereas leaders are inner-directed imaginative visionaries. This assumption supports the common belief that leaders and managers are different kinds of people. However, Yukl (2002, p. 5) states that, “associating Leading and managing with different types of people is not supported by empirical evidence; people do not sort neatly into these extreme stereotypes.” Pitcher (1994) challenged the common belief that leaders and managers are different kinds of people. After collecting data over eight years and applying it to the factor analysis technique, she concluded that there are three types of leaders with very different psychological profiles. The first group is called ‘artists’ as they are characterised as being

imaginative, entrepreneurial, inspiring, daring, visionary, intuitive and emotional. The second group is called 'craftsmen' as they are characterised as being well-balanced, steady, sensible, reasonable, predictable, and trustworthy. Finally, the last group is called 'technocrats' as they are characterised as being cerebral, uncompromising, detail-oriented, fastidious, and hard-headed. Pitcher (1994) advocates that no one profile offers a preferred Leadership style, instead, an 'artist Leader' should be utilised if one wants to build, a 'craftsman leader' should be utilised if one wants to solidify their position, and a 'technocratic Leader' should be utilised if one wants an unpleasant job done. In her research, Pitcher (1994) did not find a balanced Leader exhibiting all three sets of traits; she stated that it is extremely rare to come across this type of a leader. Having reviewed the transactional leader, the transformational leader model will be discussed.

Transformational leaders are seen as those who motivate followers to do more than originally expected. According to Bass (1985), transformational leadership manifests itself when the leader displays the following behaviours: charisma, individualized consideration and intellectual stimulation. Charisma refers to "the ability of a leader to exercise diffuse and intense influence over the beliefs, value, behaviour and performance of others through his/her own behaviour, beliefs and personal example" (House, Spangler & Woyoke, 1991, p. 366). In the 1980s, leadership research shifted to an increasing focus on charismatic leadership, visionary leadership, and transformational leaders. While there are differences in these concepts, there is considerable overlap too. For instance, vision is a critical component of charisma whereas charisma is a key component of transformational leadership. Many writers have focused exclusively on charisma (House, 1977; Conger & Kanungo, 1987; Byman, 1992).

Max Weber is credited with introducing the concept of charisma to the sociology of religion. Weber's concept of charisma as summarised by Trice and Beyer (1986) has five components. Firstly, a person with extraordinary gift, secondly a crisis, thirdly a radical solution to the crises, next followers who are attracted to the exceptional person because they believe they are linked to his transcendent powers and lastly, validation of the person's gift and transcendence in repeated experiences of success. Since then, Weber's original concept has been modified, expounded on, and extended in numerous sociological, political science, and psychoanalytic treaties (Bass 1990a, p. 186). Bass (1990a) argued that charismatic leaders could be distinguished from others by their tendency to dominate, a strong conviction in their own beliefs and ideals, a need to influence others, and high self confidence. Boal and Bryson (1988) argue that there are two types of charismatic leaders, visionary and crisis-produced, and the common thread is that each tries to create a new or different world that is phenomenologically valid for his/her followers. Charismatic leaders tie the self-concepts of followers to the goals and collective experiences associated with their missions, so that they become valued aspects of the followers' self-concepts.

Charismatic leadership transforms followers' self concepts and achieves its motivational outcomes through at least four of the following mechanisms; firstly, changing followers' perceptions of the nature of work itself, secondly, offering an appealing future vision of the organization (Bergh & Theron, 2003). Thirdly, a vision is articulated as a shared one, prompting a strong sense of collective identity, by offering an optimistic and appealing future, the vision heightens the meaningfulness of group goals (Bergh & Theron, 2003). Conger and Kanungo (1987) view charismatic leadership as essentially the product of a process of attribution, whereby certain patterns of behaviours lead some individuals to be regarded as charismatic by others. Therefore, their emphasis is on behaviour by the leader that would make the subordinates attribute charisma to him or her. Conger and Kanungo (1987) view the process of attribution as involving a sequence of stages, namely sensing opportunity and formulating a vision, articulating a vision, building trust in the vision, and achieving the vision through empowerment. Van Maurik (2001) defines vision as a realistic, credible, attractive future for your organisation. Visionary leaders tend to show particular characteristics, which distinguish them from traditional leaders. Such characteristics include charisma and an understanding and practicing of transformational leadership (Bergh & Theron, 2003).

Fourthly, developing a deep collective identity among followers and lastly heightening both individual and collective self-efficacy. Put simply, charismatic leaders transform the nature of work by making it appear more heroic, morally correct and meaningful. They de-emphasise the extrinsic rewards of work and focus instead of intrinsic side. Work then becomes an opportunity for self and collective expression and as individual followers accomplish their mission tasks, their reward is, enhanced self-expression, self-efficacy, self worth and self-consistency. However, Bass (1990a) argues that charisma alone is insufficient for transformational leadership, "charisma is a necessary ingredient of transformational leadership but by itself, it is not sufficient to account for the transformational process." (p. 31). Roberts and Bradley (1988, p. 23) suggest that there are inherent limits to the transfer of charisma and conclude that "at present, we have neither a theory to predict outcomes nor any practical understanding to ensure good charisma and prevent bad charisma and therefore, it is still very poorly understood."

In terms of intellectual stimulation, Bass (1985) refers to it as the arousal and change in follower's problem solving, beliefs and values, thought and imagination. Transformational leaders stimulate their follower's effects to be innovative and creative by questioning assumptions, reframing problems and approaching old situations in new ways. With regard to individualised consideration, consideration for subordinates emerged from the Ohio State studies, as a consistently important aspect of Leader-follower relations (Fleishman, 1957; Fleishman & Harris, 1962). According to Bass (1985), transformational leadership which incorporates individualised consideration, involves individualized attention and a

developmental or mentoring orientation towards followers. Zalesnik (1983) concluded that formal mentoring programmes focus attention on individualised relations. Bass (1985) notes that individualised consideration occurs within the mentoring relationship, when the mentor takes time to serve as an 'individual counselor' for the mentoree. These leaders distribute personal attention to followers based on the individual followers needs for achievement and growth. To do this, a leader acts as a mentor or coach, developing followers in a supportive climate to 'higher levels of potential.' The leader recognises and demonstrates acceptance of the follower's individual differences in terms of needs and desires. By doing this, the transformational leaders foster a two way communication through effective listening. The net effect of individualized consideration and other transformational leadership behaviours is empowerment of followers.

With regard to research on transactional and transformational Leadership, studies have generally supported the construct validity of the transactional/transformational model. Efforts to determine the differences and similarities between, and effects of, transactional and transformational Leadership have been both quantitative and qualitative. In measuring the effect of both types of Leaders, Bass (1985) found that transformational Leadership factors, particularly charisma and individualised consideration, were more highly related, than transactional Leadership factors, to satisfaction and performance effectiveness. Transformational Leadership was found to be more closely associated with subordinate officer influencing behaviour than transactional Leadership. Relating visionary Leadership to credibility (trustworthiness, expertise and dynamism), Posner and Kouzes (1988) clearly showed that transformational Leadership behaviours were related to increased perceptions to leader credibility. Researchers have neglected to explore the level of Leadership effect, as described above, as well as the theoretical viability of the transactional/transformational model. Researchers have merely examined the differential outcomes (in terms of work-related outcomes and attitudes) of transactional and transformational Leadership, rather than questioning the acceptability of theoretical and conceptual direction between them.

According to Yukl (1994), the distinction between transformational and transactional leadership is fast becoming a two-factor theory of leadership processes, which is an unwarranted oversimplification of a complex phenomena. Further, the distinction ignores some important managerial behaviours such as networking and team building that do not belong to either category. By virtue of its reliance on traditional theories and ideas, the transactional / transformational model is often criticized as being a sophisticated description of concepts and principles developed in previous approaches (Muchinsky, 1990). Bass (1985) recognises that the transactional / transformational distinction is not entirely a new approach to the study of leadership, but rather represents an amalgam of, what he identifies, as essential concepts in leadership theory. To illustrate, transactional Leadership is aspects from

a cross-section of theories, including cognitive and behavioural approaches, motivation, learning and reinforcement, and contingency theory.

Similarly, Transformational leadership results from the intersection of theories such as charisma, trait approach, contingency theory and leadership behaviour theories. Specifically, terms such as consideration and stimulation were adopted from the Ohio State studies. Meindl (1989) suggests that the new theories are the victim of hyper romanticism and have been accorded an inflated significance. In his view, individuals are inclined to exaggerate the significance of Leadership, especially when performance levels are at an extreme. Bryman (1992, p. 152) felt that a preoccupation with vision may engender a loss of grip on other aspects of organisational reality and should not be part of “fads and fashions which offer nostrums for complex problems”. He also pointed out that there is an excessive emphasis placed on top executives by many writers of these theories. To recap, the leader-centric or traditional leadership perspectives that have been discussed include the great man theory and trait theories of leadership, behavioural theories of leadership, the situational theories of leadership, transactional or management and transformational leadership. A non-traditional leadership or attributional leadership perspective, which includes the cognitive leadership theory, is discussed below.

Cognitive Leadership Theory

The non-traditional or attributional leadership perceptions posit that leadership is a phenomenon constructed in the minds of followers and is used to explain organisational events even when other factors may be responsible. Cognitive leadership theorists were the first to recognise that the leadership process depends in part, on the perceptual processes of followers (Hollander & Julian, 1969, Pfeffer, 1977). This recognition represented a major shift in leadership research, and was the origin of various cognitive theories of leadership (Hollander & Julain, 1969; Pfeffer, 1977). Cognitive theories emphasise on the processing and use of information or how people think. The most comprehensive cognitive view of leadership is social information processing theory propounded by Lord & colleagues (e.g., Cronshaw & Lord, 1987; Lord, 1985; Lord & Alliger, 1985; Lord & Maher, 1989; Lord, Foti & CeVader, 1984). Social information processing emphasis is the selection, comprehension, encoding, storage and retrieval of information concerning other individual or groups, as well as the impact of cognitions upon beliefs, attitudes and behaviours (Lord, 1985).

The first information processing model is similar to traditional literature in leadership perceptions, and is widely used in Leadership research. It suggests that followers form perception of Leaders merely on the basis of frequency of information (Lord & Alliger, 1985). When asked to rate Leaders based on past interactions, subjects may use frequency information as the primary determinant of Leadership perceptions because it is readily available and compatible with simple judgmental processes (Lord & Smith, 1983).

The second information processing model is based on a number of cognitive leadership models, namely, attribution theory, implicit leadership theory and categorising theory. Attribution theory is a cognitive model for understanding human motivation (Weiner, 1974). As a cognitive model, it is in direct contrast to a behavioural model, which assumes that human behaviour is a reaction to environmental stimuli. A main assumption of attribution theory is that an individual's behaviour is driven by the need to comprehend and master his or her environment, thus allowing for the prediction of future events. This assumption leads to a second one, which is that understanding the environment implies comprehending the causes of environmental events. Weiner's (1974; 1985) seminal work in attribution theory focused on understanding how, or to what, people attribute experiences of success or failure. The attribution approach to leadership suggests that leadership is not a property of leaders but rather, a personal attribution constructed by followers to explain behaviours or events believed to be representative of leaders (Calder, 1977; Kraus & Gemmill, 1990; Martinko & Gardner, 1987; Mitroff & Pondy, 1978). This view suggests that leadership is purely a perceptual phenomenon which has no meaning outside the context in which it is embedded (Davis & Luthans, 1984). Implicit leadership theories refer to expectations and stereotypes that reflect patterns of behaviours and traits thought to be characteristic of leaders (Eden & Leviathan, 1975; Rush, Thomas & Lord, 1977). A critical component of implicit leadership theories is categorization theory (Lord, Foti & Phillips, 1982). Here, individuals are placed into pre-existing categories, and leadership perceptions are based on the match of stimulus characteristics or behaviours to a leadership prototype (Lord et al., 1982). However, by emphasizing the super ordinate leadership category, this model ignores possible differences among situations, implying that some general leadership prototype is used in all situations (Lord & Alliger, 1985).

The attritional information processing model of leadership has received considerable empirical support, demonstrating how the observer's attributions and implicit Leadership theories contribute to distortion on perception of Leader behaviours (Bining, Zaba & Whattam, 1986; Foti, Fraser & Lord, 1982; Lord, Foti & DeVader, 1984; Phillips, 1984; Phillips & Lord, 1982). Perceptions of leaders are largely based on spontaneous recognition, that leadership is a cognitive category that is hierarchically organised, that there are widely held expectations of the attributes and behaviour of leaders and that attributions about them directly affect leadership ratings. Consistent with two information processing models outlined above, Lord (1985) and Lord & Maher (1989) distinguish between two types of leadership perceptions: recognition and inferential perceptions. Transactional and transformational leadership are recognition perceptions and the romance of leadership is an inferential perception. The recognition approach is consistent with the simple frequency-based approach to leadership perceptions. It assesses the extent to which described leadership behaviours for leader as judged by the leader or by others. Alternatively, the

inferential approach is based on inferences about organisational events and outcomes, and does not require that actual behaviour be observed.

In summary, the literature has developed arguments for the distinguishing merits of the two contrasting views of leadership and established a theoretical and conceptual framework within which the research is based. The leader-centric approaches that have been discussed include the great man and trait theories of leadership, behavioural theories of leadership, the situational theories of leadership, transactional or management and transformational leadership. The essential themes in each approach are as follows: the trait approach emphasises the personal attributes of leaders such as adaptability, alertness, achievement orientation etc. The behaviour approach focuses attention on the content of leadership behaviour divided between task-orientation (initiation) and people orientation (consideration). The situational approach looks at contextual factors. It has two streams; first, influence of organisational type of managerial position on managerial behaviour and second, contingency theories that explain leadership effectiveness in terms of situational moderator variables. Lastly, Charismatic and transformation leadership explore how some leaders motivate followers to perform beyond expectations and identify behaviours and traits, such as charisma and vision, facilitating leadership effectiveness (Yukl, 1994).

The non-traditional leadership or attributional leadership perspective that was examined is cognitive leadership theory. The essential theme in this approach is that leadership process depends in part on the perceptual processes of followers (Hollander & Julian, 1969, Pfeffer, 1977) and emphasizes the processing and use of information or how people think. In the next chapter, two conflicting theories of leadership will be discussed. Level 5 leadership represents traditional leadership perceptions and the romance of leadership represents the non-traditional leadership theories.

Chapter Three: Level 5 Leadership and the Romance of Leadership

Level 5 Leadership Theory

The first theory addresses traditional leadership perceptions as opposed to leadership attributions by followers. In order to address this debate, Level 5 leadership represented traditional leadership theories which emphasise the thoughts, actions, and persona of leaders over these followers. The notion of Level 5 leadership derives from a research project that was undertaken by Collins (2001a) and his research team in 1996. They set out to answer one question: can a good company become a great company and, if so, how? The process that was used in answering this question involved four phases.

The first phase involved assembling a team of researchers. Their first task was to look for companies that had shifted from good performance to great performance and sustained it. More precisely, they searched for a specific pattern: cumulative stock returns at or below the general stock market for fifteen years, punctuated by a transition point, then, cumulative returns at least three times the market over the next fifteen years (Collins, 2001a). Eleven companies made the leap from good to great and then sustained those results for at least 15 years. The good-to-great companies averaged cumulative stock returns 6.9 times the general market in the 15 years after their transition points.

The criteria are as follows: the company had to show a pattern of 'good' performance, punctuated by a transition point, after which it shifted to 'great' performance. 'Great performance' was defined as a cumulative total stock return of at least three times the general market for the period from the transition point through 15 years. They defined 'good' performance as a cumulative total stock return no better than 1.25 times the general stock market for fifteen years prior to the point of transition. In addition, the ratio of the cumulative stock return for the fifteen years after the point of transition divided by the ratio of the cumulative stock return for fifteen years prior to the point of transition must exceed 3 (Collins, 2001a). The transition from good-to-great had to be company specific, not an industry wide event (Collins, 2001a). The company had to be an established and ongoing enterprise - not a startup. It had to have been in business for at least 25 years prior to its transition, and it had to have been publicly traded with stock-return data available for at least ten years, prior to its transition (Collins, 2001a). The transition point had to occur before 1985, to give the team enough data to assess the sustainability of the transition (Collins, 2001a). Whatever the year of transition, the company had to be a significant, ongoing, stand-alone company (Collins, 2001a). At the time of its selection, the company still had to show an upward trend (Collins, 2001a). They selected fifteen years because it would transcend one hit wonders and lucky breaks and would exceed the average tenure of most chief executive officers. They picked three times the market because it exceeds the performance of most

widely acknowledged great companies. From an initial universe of companies that appeared on the fortune 500 in the years 1965 to 1995, they systematically searched and sifted, eventually finding eleven good to great examples. See Table 2 for Good to Great cases.

The second phase involved contrasting the good-to-great companies to a carefully selected set of 'comparison companies'. The crucial question in their study was: 'what did the good to great companies share in common that distinguishes them from the comparison companies?' At this point, each of the eleven good to great companies was paired with a comparison company (a company with similar attributes that could have made the transition, but did not). They identified comparison companies that had failed to make that sustained shift. They then studied the contrast between the two groups to discover common variables that distinguish those who made and sustained a shift from those who could have but did not.

Once the twenty companies had been selected, (eleven good-to-great, eleven direct companies, six unsustained comparison) a series of steps and analyses were taken by Collins (2001a) and his research team. A full discussion of these steps and analysis is beyond the scope of this research study and thus, only the predominant steps and analyses pertaining to the basis and development of Level 5 leadership have been highlighted here. For each company, a member of the team would identify and collect articles and published materials on the company. This included all major articles published on the company over its entire history such as Forbes, Fortune, Business Week, Newsweek, Nation's Business, The New York Times, U.S News, Harvard Business Review, and the Economist, materials obtained directly from the companies, books written about the industry, the company and or its leaders published either by the company or by outside observers, business school case studies and industry analyses and business and industry reference materials especially during the transition area (Collins, 2001a).

Then, for each company, the researchers would systematically code all of the information into coding documents organised according to the following categories (Collins, 2001a):

Coding category 1- Organizing arrangements;

Coding category 2- Social factors;

Coding category 3- Business strategy, strategic process;

Coding category 4 - Markets, competitors, and environment;

Coding category 5 - Leadership (leadership of the firm, i.e. key executives, CEOs presidents, board members. Interesting data on leadership succession, leadership style etc);

Coding category 6 - Products and services;

Coding category 7- Physical settings and location;

Coding category 8- Use of technology;

Coding category 9- Vision: core values, purposes and BHAG's;

Table 2: Good-to-Great cases (Adapted from Collins, 2001a)

Company	Results from transition point to 15 year beyond transition point*	T year to T year +15
Abbott	3.98 times the market	1974-1989
Circuit City	18.50 times the market	1982-1997
Fannie Mae	7.56 times the market	1984-1999
Gillette	7.39 times the market	1980-1995
Kimberly-Clark	3.42 times the market	1972-1987
Kroger	7.14 times the market	1973-1988
Nucor	5.16 times the market	1975-1990
Philip Morris	7.06 times the market	1964-1979
Pitney Bowes	7.16 times the market	1973-1988
Wallgreens	7.34 times the market	1975-1990
Wells Fargo	3.99 times the market	1983-1998

*Ratio of cumulative stock returns relative to the general stock market

Coding category 10A (for direct comparison only) - change/transition activities during transition era of corresponding good to great company;

Coding category 10B (for unsustained comparisons only) - attempted transition era, and

Coding category 11 (for unsustained companies only) - post-transition decline.

This was followed by extensive financial analysis for each company, totaling nine hundred and eighty combined years of data. This comprised gathering raw income and balance sheet data and examining twenty variables in both the pre- and post-transition decades. The research team then conducted eighty four executive interviews with senior management and members of the board, focusing on people who were in office during the transition era. See Table 3 for the number of interviews conducted in each company.

The interview schedule is provided in Appendix 5. The researchers transcribed all interviews and synthesized the data into content analysis findings. They then undertook a series of special analysis units. These units were designed to shed light on the question of good-to-great by systematic comparison and quantification of key variables between the good-to-great companies and the comparison companies. The units are as follows; acquisitions and divestitures, industry performance analysis, executive churn analysis, CEO analysis, executive compensation, role of layoffs, corporate ownership , ‘media hype’ and the role of technology for the companies (Collins, 2001a). The executive churn analysis and CEO analysis will be discussed in detail. The executive churn analysis looked at the extent to which the executive teams changed in the companies during crucial points in their history. Using Moody’s Company Information Reports, they calculated churn in the good-to-great companies versus the comparison companies. The objectives were as follows; firstly, what is the quantitative difference in executive churn and/or continuity, if any, between the pre-transition and post-transition eras for the good-to-great companies? Secondly, how do the good-to-great companies differ in executive churn and/or continuity from the direct comparisons? And thirdly, how do the good-to-great companies differ in executive churn and/or continuity from the unsustained comparisons? (Collins, 2001a).

In terms of CEO analysis, the research team examined a total of fifty six CEOs. For each set of CEOs during the transition era in all three sets of companies (good-to-great, direct comparison, and unsustained comparison), they did a qualitative examination of their management style, executive persona, personal life and what they saw as their top priorities as CEOs. Also, for each good-to-great company, direct comparison and unsustained comparison, they examined the CEO background and tenure. Beginning with CEO in place ten years prior to the transition year through 1997, they determined, whether the CEO was brought in from the outside directly into the role of CEO, the number of years of employment with the company prior to becoming the CEO, age at the time of becoming CEO, the start

Table 3: Number of interviews conducted in each company (Collins, 2001a)

Company	No. interviews conducted
Abbott	8
Circuit City	8
Fannie Mae	10
Gillette	6
Kimberly-Clark	7
Kroger	6
Nucor	7
Philip Morris	6
Pitney Bowes	9
Wallgreens	8
Wells Fargo	9
Total	84

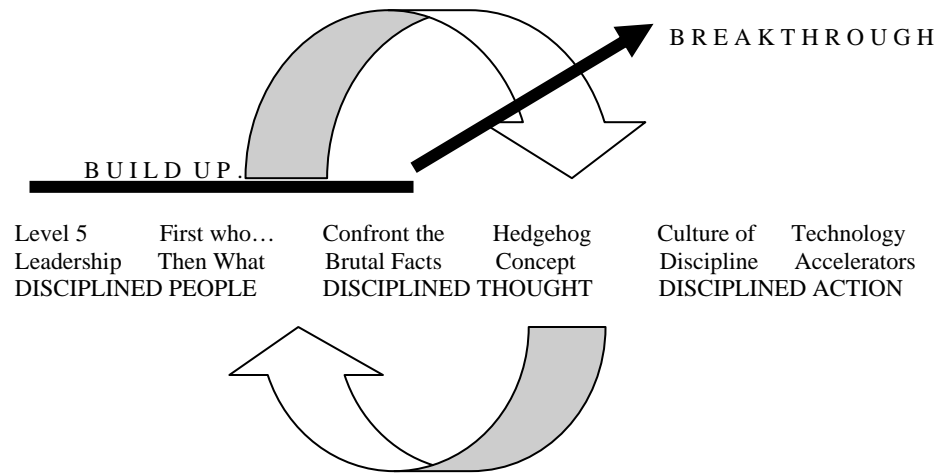
year and the end year of tenure in CEO role, the number of years CEO position was held, the responsibility held immediately prior to becoming CEO, factors in selection of that person as CEO, their education, work experience and other experiences prior to joining the company (Collins, 2001a).

In the last phase, Collins (2001a) synthesized the results of the above mentioned steps and analysis to identify the drivers or principles of good-to-great transformations in his book *Good to Great* (see Figure 4). Collins (2001) noted that every primary concept in the final framework showed up as a change variable in 100 percent of the good-to-great companies during the pivotal years. Collins (2001a, p. 17) stated, “think of the transformation as a process of build-up followed by breakthrough, broken into three broad stages: disciplined people, disciplined thought, and disciplined action, within each of these three stages, there are two key concepts, shown in the framework...Wrapping around this entire framework is a concept we came to call the flywheel, which captures the gestalt of the entire process of going from good to great.”

This research study will focus on Level 5 leadership. Collins (2001a) acknowledged that he did not know with absolute certainty whether one must be a Level 5 leader to make a company great. However, he advocates that even though Level 5 leadership is not the only requirement for taking a company from good-to-great and sustaining greatness once it is attained, it is still essential because it correlated with the best and most enduring results, “of 1,435 companies that appeared on the Fortune 500 in his initial candidate list, only eleven made the very tough cut. Of those eleven, all of them had Level 5 leaders in key positions, including the CEO, at the pivotal time of transition” (p. 35). Therefore, according to Collins (2001a), Level 5 leadership is an empirical, not an ideological finding, as it easily made it into the framework as one of the strongest, most consistent contracts between the good-to-great and the comparison companies.

Level 5 leadership refers to a five-level hierarchy. Level 1 relates to individual capability, Level 2 to team skills, Level 3 to managerial competence, and Level 4 to leadership as traditionally conceived (Collins, 2001a). Level 5 leaders possess the skills of levels 1 to 4 but also have an extra dimension: a paradoxical blend of personal humility and professional will. Collins (2001a) claims that a Level 5 leader possess seemingly contradictory characteristics, including modesty, shyness, personal humility, and timidity on the one hand, but professional will, unwavering resolve, ferociousness, and fearlessness on the other. These characteristics are not quantifiable but rather they will be used as self-fulfilling rhetorical criteria in this research study.

Figure 4: An overview of the Framework of concepts (Collins, 2001a)



Collins (2001a, p. 22) argues that, “HUMILITY + WILL = LEVEL 5”. Therefore, the self-fulfilling rhetorical criteria one would use to classify an individual as a Level 5 leader is as follows: firstly, the leader is a clear catalyst in creating superb results, yet, demonstrates a compelling modesty, shunning public adulation and never boastful. Secondly, demonstrates an unwavering resolve to do whatever must be done to produce the best long-term results, no matter how difficult. Yet, acts with quiet, calm determination and relies principally on inspired standards not an inspiring personality to motivate. Thirdly, sets the standard of building an enduring great organisation and will settle for nothing less. Yet, channels ambition into the organization and its work, not the self, setting up successors for even greater success in the next generation. Fourthly, looks in the mirror, not out the window, to apportion responsibility for poor results, never blaming other people, external factors, or bad luck. Yet, looks out the window, not in the mirror, to apportion credit for the success of the company to other people, external factors, and good luck (Collins, 2001b). An opposing theory, the romance of leadership, addresses non-traditional or attributional leadership perceptions.

The Romance of Leadership Theory

In order to address this debate, the romance of leadership represented non-traditional leadership theories which posit that leadership is a phenomenon constructed in the minds of followers and is used to explain organisational events even when other factors may be responsible. The romance of leadership theory offers a follower-centric approach which views both leadership and its consequences as largely constructed by followers and hence influenced by followers’ cognitive processes and inter-follower social influence processes (Meindl, 1985).

The romance of leadership notion has been named as “an alternative to the conventional wisdom” (Meindl, 1990, p. 159). Calder (1977) argues that social scientists did not invent leadership as a concept, rather, it was borrowed by them from the cultural, linguistic vernacular of commonly employed concepts that social actors use to make sense of the world around them and to communicate it to others. Meindl (1995) stated that much of the trouble with conventional leadership research is attributable to the conceptual difficulties encountered with theorists and research scientists attempting to impose outside, objective, third-party definitions of what is inherently subjective. “Much sweat and tears have gone into redoubling efforts to remediate leadership studies by disentangling, decoupling or separating leadership from its origins: objectifying it - cleaning it up, so to speak - so the researcher can better work with it as a scientific construct, independent of its lay meanings” (Meindl, 1995, p. 339). However Meindl (1995) advocates that one should not resist, but should embrace leadership’s origin in lay psychology. Furthermore, given its cultural ontology, Meindl (1995) contends that it is permissible and desirable to return leadership

study to a focus on what actors and observers construct as a normal part of their social experiences, “the fact that leadership and the figure of the leader are prominent in these constructions is something that itself is worthy of study” (Meindl, 1995. p. 340).

The majority of leadership theories and studies have tended to emphasize on the personal background, personality traits, perceptions, and actions of leaders. From this perspective, the followers have been viewed as recipients or moderators of the leader's influence, and as vehicles for the actualization of the leader's vision, mission or goals. However, Meindl (1985) offered an alternative to the leader-centric perspective on leadership by introducing a follower-centric approach as described above. While the leader-driven approach has been dominant, as the wealth of new leadership theories attest, the alternative, follower-driven approach and Meindl's (1990) 'romance of leadership' perspective in particular, have gained increased attention. The basic distinction between the two is that they identify different sources as the impetus for such attributions-leaders as opposed to followers. In reality, however, qualities of the leader, follower, and situation each play a role in eliciting attributions of charisma, and in shaping the charismatic relationship that ensues (Conger, Gardner, Klein & Shamir, 1998). Therefore, the romance of leadership perspective moves the researcher away from the personality of the leader as a significant, substantive, and causal force on the thoughts and actions of followers. It instead places more weight on the images of leaders that followers construct for one another (Meindl, 1995). Meindl (1995) posits that it assumes followers react to, and are more influenced by their own constructions of the leaders' personality than they are by the 'true' personality of the leader. He asserts that it is the personalities of leaders as imagined or constructed by followers that become the object of study, not 'actual' or 'clinical' personalities per se. Hence, the romance of leadership is about the thoughts of followers, how leaders are constructed and represented in their thought systems (Meindl, 1995).

Meindl (1990) uses the term the romance of leadership to reflect his criticism of both the academic and popular literatures' celebration of leadership as a cure for all or most organisational ills. According to Meindl (1990), leadership can best be understood as a perception that plays a key role in people's efforts to make sense of organisational phenomena. According to this view, organisational systems, activities, and events are hard to comprehend because they are ambiguous and complex. Nevertheless, organisational members and observers have a need to make sense of their environment to preserve an illusion of understanding and control. Because leadership provides a convenient and plausible explanation for important, but causally ambiguous outcomes, it is overused as an explanatory category. Essentially, attributers 'romanticise' leadership as a causal determinant of organisational processes and performance.

Cognitive leadership theorists were the first to recognise that leadership process depends in part on the perceptual process of followers (Hollander & Julian 1969, Pfeffer, 1977). Cognitive theorists posit that followers actively process leadership information from their environments and respond to their own, unique construal of that information. The romance of leadership notion is a combination of two cognitive leadership theories, that is, implicit leadership theories and leadership attributions (Meindl & Ehrlich, 1988).

The romance of leadership notion posits an implicit theory of organisations. The focus of its attention is on the role of leadership in individual assumptions and expectations concerning the way that organisations operate (Meindl, 1990). It suggests that as a means of understating organisational processes, leadership is often imbued with extraordinary power and significance (Meindl & Ehrlich, 1988). Attribution theory is used to describe the explanations provided by individuals to understand the relative importance of leadership in comparison to other causal forces in organisations (Meindl, 1990). Leadership is an explanatory category, an attribution, used by observers and participants to make sense of and give meaning to organisational events and occurrences (Meindl & Ehrlich, 1988). The construct is operationalised as a measure of personal variations in the faith and importance ascribed to leadership factors to the extent to which leadership is likely to be prominent in an individual implicit theory of organisations (Meindl & Ehrlich 1988). Attributional theories of leadership (e.g., Calder, 1977) contend that leadership is overvalued, primarily as a result of certain attributional biases. Pre-eminent among these is the fundamental attributional error, which may cause observers, or followers, to overattribute organizational success and failure to leaders, while discounting external factors. Due to the need to make sense of complex organizational environments, people tend to attribute organizational outcomes to leaders (Meindl, Ehrlich, & Dukerich, 1985), especially when exposed to extreme situations, such as very high or low performance. Viewed from this perspective, the commonly assumed direction of the leadership–performance relationship is backwards, instead, organisational performance is seen as a cause, rather than a consequence of charismatic leadership.

Wenck (2003) avered that leader perceptions based on inference or attribution involves logical deduction based on assumptions about the relationships between outcomes and their causes. Leadership is inferred, based on outcomes of salient events and most commonly occurs when people, rightly or wrongly, attribute changes on the fortunes of organisations to the actions of the leaders of the time. Part of the mythology of leadership involves the idea that leaders are supposed to shape and control events, so that favourable outcomes tend to be naively interpreted as signs of their single-handed success in excising control over the environment, while unfavourable outcomes are sometimes mistakenly viewed as signs of complete inadequacy. Wenck (2003) stated that variability in the attribution of strong or weak leadership to particular individuals often occurs because of reductionist tendencies in cause and effect reasoning. As a means of dealing with myriad of external and internal

factors that collectively affect the performance of organisations and other complex systems, leadership happens to be a simple and convenient way of accounting for success and failure, especially in extreme cases. In the field of social cognition, people are characterised as cognitive misers, a term that refers to the simple fact that limitations of short-term memory oblige us to adopt simplifying or 'satisfying' strategies to deal with large amounts of information, uncertainty, and/or complexity. In addition to our reductionist tendencies, why we are disposed to exaggerate the effects of leadership probably also has something to do with the sub-conscious ideas and taken-for-granted assumptions that inform so much of Western culture - the mythology of the hero, our belief in individualism and personal agency, a pervasive belief in free will and a corresponding rejection of fatalism, the Protestant Ethic, faith in progress, and a host of other related concepts (Wenck, 2003). Leadership has a high value in liberal democratic societies because it underwrites a core mythology, the mythology of the individual control (Lagace, 2002). Meindl and Ehrlich (1987) labeled this phenomenon the romance of leadership.

The attributional approach to leadership suggests that leadership is not a property of leaders but rather, a personal attribution constructed by followers to explain behaviours or events believed to be representative of leaders (Calner, 1977; Kraus & Gemmill, 1990; Martinko & Gardner, 1987; Mitroff & Pondy, 1978). This perspective recognises that leadership is an explanatory category, an attribution, used by observer's and participants to make sense of and give meaning to organisational events and occurrences (Meindl & Ehrlich, 1988). The romance of leadership notion was used to assess non traditional leadership theories, which posit that leadership is a phenomena constructed in the minds of followers and used by followers to explain organisational events even when other factors may responsible. Chen & Meindl (1991), Davis and Luthans (1984) and O'Reilly (1991) outline one current debate in leadership research, that is, whether leadership exists as a causal variable in organisations or whether leadership constitutes a lay fiction used to attribute personal cause of behaviour. Meindl (1990) argues that the leadership concept has a romantic and heroic quality unrelated to observable practices. What is at question is whether leadership is a useful construct in terms of organisational outcomes (O'Reilly 1991). The second debate is that of the deterministic versus anti-deterministic views of leadership. The romance of leadership notion views leadership as a lay fiction used to attribute personal cause to behaviour (Davis & Luthans, 1984). Germmill and Oakley (1992) posit that the belief in hierarchy and necessarily of leadership is an unrecognised ideology based on beliefs outside of conscious awareness. They claim that current popular theories of leadership are a reflection of social myths about the need for magical leadership or messiahs who might alleviate this painful form of existence (Germmill & Oakley 1992), that the major significance of recent leadership studies is to offer ideological support for existing social order (Gemmil & Oakley 1992).

This perspective focuses on the linkage between leaders and followers as constructed in the minds of followers. It assumes that the relationship between leaders and followers is primarily a constructed one, heavily influenced by inter-follower factors and relationships (Meindl, 1995). The behaviour of followers is assumed to be much less under the control and influence of the leader and more under the control and influence of forces that govern the social construction process itself (Meindl, 1995). Meindl (1995, p. 331) states “the follower-centric agenda of the romance of leadership seeks to understand the variance of constructions as influenced by social processes that occur among followers and by salient contextual/situational factors, and their implications for behaviour.” The romance of leadership emphasis is on leadership as a social construction. A social constructionist view (Berger & Luckmann, 1966) suggests that much about the way we understand organisations as reflected in our implicit theories is likely to be controlled by our interactions with social agents who affect the availability, salience, vividness or value of the information we receive (Salancik & Pfeffer, 1978). Leadership concepts in particular appear as prominent features of these socially constructed realities (Pfeffer & Salancik, 1978; Meindl, Ehrlich & Dukerich, 1985; Meindl, 1990). Meindl (1995) advocated that manipulations of contexts and constructions rather than of leader’s behaviours would constitute the practice of leadership. One would search for the opportunity to create the right impression, rather than searching for the right personality, hence, reputations would be more significant than actions (Meindl, 1995). Meindl (1990, p. 161) has noted that 'it is easier to believe in leadership than to prove it'. The section below examines research about the romance of leadership notion.

Research findings by Meindl and colleagues (Chen & Meindl 1991; Meindl 1990; Meindl & Ehrlich, 1987; Meindl et al., 1985; Meindl & Tasi, 1988; Meindl et al., 1988) have demonstrated that Leadership myth does exist as an individual attribution for organisational outcomes. Authors claim that the central aim of the leadership myth is to induce mindlessness, massive learned helplessness and dependency (Gemmell & Oakley, 1992; Krantz, 1990; Vanderslice, 1988). The tendency of subordinates to believe in the unrealistic powers of leaders is what Bion (1959) termed Basic Assumption Dependency, which is an unconscious strategy, used to deal with anxieties in the work place.

Initial research has supported the contention that Leadership attributions enter into the thinking as individuals who are faced with the need to interpret organisational events and occurrences. Several empirical studies have analysed top managers’ attempts to exert influence symbolically, through causal interpretations they chose to make public in their annual reports to shareholders (Berman & Weitz, 1983; Salancik & Meindl, 1984; Staw et al., 1983). Each has documented reasonably coherent attributional patterns that are linked to general strategies of impression management. Salancik and Meindl (1984) evaluated attributions of eighteen American corporations over eighteen years of their histories, in light of their own financial performance and the national economy (external force). Annual

reports, containing letters to shareholders, were content analysed and coded for causal statements regarding organisational outcomes and performance. Results showed that managers displayed strong tendencies to credit themselves for positive outcomes and to blame negative effects upon the environment. Unstable organisations credited themselves to a greater extent for positive outcomes compared to stable organisations (Salamcik & Meindl, 1984). In addition, multiple regression analysis revealed that many of the difference in attributions were not associated with actual positive or negative changes in the company's financial performance (Salamcik & Meindl, 1984). Thus, unstable companies tended to claim management responsibility for both positive and negative outcomes more than did the management of companies with stable performance (Salamcik & Meindl, 1984).

In further series of studies, Meindl, Ehrlich and Dukerich (1985) attempted to explore and understand the prominence of the concept of Leadership in people's collective consciousness. They postulate that people have developed a highly romanticized, heroic view on Leadership and a faith in the potential as well as actual efficiency of those individuals who occupy the formal organisational authority elite positions and that the social construction of organisational realists has elevated the concept of Leadership to a grand status that has gained a brilliance that exceeds the limits of normal scientific inquiry (Meindl et al., 1985). The premise from which their analysis proceeds is that many organisational behaviour concepts can be used by individuals to form coherent explanations of events and occurrences (Meindl et al., 1985).

In their study, Meindl, Ehrlich and Dukerich (1985) examined the hypothesis that the relative prominence of the use of Leadership in understanding complex, organised systems varies to a significant degree with performance levels of such systems (Meindl et al., 1985). They stated that associations between Leadership and events will be most consistent with the romanticised conception and will therefore be most appealing when those events are defined as a large cause/effect (Meindl et al., 1985). Meindl, Ehrlich & Dukerich (1985, p. 81) posit that "a stronger emphasis of Leadership should occur under conditions in which high magnitude outcomes obtain, and weaker preference would be found when low magnitude outcomes obtain." They expected that a bias toward Leadership could be systematically related to performance levels in a positive and negative way (Meindl et al., 1985).

In the archival studies, the researchers attempted to find evidence of bias represented in the romanticized conception of Leadership by investigating whether an interest in Leadership is associated with the performance of firms, industries and the national economy (Meindl et al., 1985). Meindl, Ehrlich & Dukerich, (1985, p. 81) worked on the assumption that "an analysis of correspondence between attention to Leadership and performance could provide an indirect and very broad indication of the extent to which outcomes are collectively understood in terms of and attributed to Leadership". The archival studies were designed to

test the hypothesis that the amount of interest in and attention to leadership in publication would vary directly or inversely with general performance (Meindl et al., 1985). Published sources within the Wall Street Journal, doctoral dissertations as well as general business periodicals were examined for the appearance of Leadership and were content analysed in order to determine the significance invested in the conception of Leadership.

In the first study, there were four types of analysis; year-wise analysis, analysis by industry, company-by-company analysis and within-year analysis. With regard to year-wise analysis, the results indicated that LQ scores were positively related to performance, measured in terms of yearly annual sales growth, $r(9 \text{ df}) = .53$, $p < .05$. This suggests that years in which companies are on average doing well are also the years in which companies are on average tend to be more highly emphasized. With regard to analysis by industry, the variance in LQ appears to be systematically related to industry performance: a planned comparison revealed that firms associated with the five highest performance industries has, on average, significantly higher LQ's than those firms associated with the lowest performance industries, $F(1,33)=8.99$, $p < .01$. This finding was corroborated by significant correlation between average firm LQ and industry performance, $r(8 \text{ df}) = .64$, $p < .05$. In terms of company-by-company analysis, the results of these analysis indicated that for 25 of the 34 firms (74 percent), LQ was significantly ($p < .09$ or greater) associated with at least some of our definitions of performance. Lastly, with regard to within-year analysis, in every year examined, LQ was correlated ($p < .08$ or greater) with performance outcomes. In eight of those years, the poorer the performance, the more Leadership was emphasised. In the remaining three years, the significant correlations were positive, such that the better the performance the greater the emphasis on Leadership

In a second study of dissertations published between 1929 and 1979, the same researchers found a significant correlation between an interest in Leadership and hard or good times in the economy. The historical trend showed in our preliminary analysis a very poor correlation between years and TD, $r = .91$, $p < .001$, and LD, $r = .81$, $p < .001$. There is an association between good or bad economic times and the interest in Leadership, at least among scholars choosing dissertation topics. In a third study of general business periodicals (1958-1983), the authors found a significant relationship between economic upturns and downturns and discussions of Leadership (Meindl et al., 1985).

In the subsequent experimental studies, they attempted to determine if, "under controlled experimental conditions, leadership attributions would be more likely to occur - and thereby create a stronger association - when performance is either very good or very bad" (Meindl et al., 1985. p. 88). Business school students were presented with organisational vignettes containing minimal information and asked to account for performance events, both in terms of Leadership and alternative explanations. Results showed that Leadership attributions were

preferred to alternative explanations for organisational performance (Meindl et al., 1985). Collectively, these studies revealed that participants attributed success or failure to Leaders rather than to alternative explanations (such as economic conditions). The participants, i.e., popular press, scholars and students, all had a minimal access to substantial in depth information regarding organisational or national performance and a lack of substantial business experience. Hence, the authors posit that inexperienced or uninformed individuals will rely upon romanticised Leadership attributions as causal explanations for outcomes (Meindl et al., 1985).

Similarly, in a following study, Meindl & Ehrlich (1987) investigated the effect of Leadership attributions on evaluation of organisational performance. Their research strategy was to confront graduate business students with the task of making subjective evaluations of quantitative, 'bottom line' business indicators (Meindl & Ehrlich, 1987). This data was presented in a context that made salient certain information, implicating particular forces as causally dominant in producing the performance outcomes (Meindl & Ehrlich, 1987). The authors manipulated the contextual information to create distinct and coherent themes, holding constant the generally positive performance data to which these themes were attached (Meindl & Ehrlich, 1987). They hypothesized that causal accounting themes highlighting the role of a firms top management would result in better evaluations of performance than themes not directly linked to the qualities and activities of top management (Meindl & Ehrlich, 1987). The researchers chose M.B.A students who were largely employed but relatively inexperienced. These students had a mean age of 25.9 years. From manipulated contextual information, these students were asked to rate company performance in terms of profitability and risk. Individuals who read the text which emphasised the leadership theme produced significantly higher evaluations of profitability and risk (Meindl & Ehrlich, 1987). The present research compliments their earlier work; here, attributions to Leadership were independent variables and evaluations of performance level were dependent. In study 1, they found that subjects gave better evaluation to performance outcomes when these were attributed to non-leadership factors. Study 2 sought specific information on the nature and quality of Leadership value as an explanatory concept for performance outcomes through analysing the attributions themselves. The discussion focused on the phonological value and significance of Leadership for the analysis of organisations. The present research compliments their earlier work; here attributions to Leadership were independent variables and evaluations of performance level were dependent.

Using business school students as subjects, Meindl and Tasi (1988) went on to explore various aspects of the romance of leadership notion. For example, Meindl and Tasi (1988) suggested that the commitment to Leadership concepts may also have a moral component, which could be measured in terms of attributions of responsibility, in which blame or credit is assigned. From a series of vignettes analysed, subjects showed that individuals scoring high

in the romance of leadership perceptions were more likely to attribute blame, even when Leaders were minimally connected to events.

Chen and Meindl (1991) examined the image of Donald Burr (CEO of People Express) projected to readers by the popular press throughout the changing fortunes of People Express. They sought to explore the construction of Leadership images as it is related to changing organisational performances. Chen and Meindl (1991) content analysed media excerpts related to the rise and fall of People Express. The public image of the chief executive officer (CEO) was examined in terms of image descriptions and metaphors throughout the changing fortunes of the company. Two analyses were conducted on magazine and newspaper articles about Mr. Burr. The first followed traditional methods, as defined by Weber (1985) in order to identify leadership themes, record the frequent thereof and analyse the trends of those themes. Research bias was reduced by involving 72 respondents who provided image descriptions of published newspaper articles. Analysis of the image data revealed that Mr. Burr's attributes (including management style, motivation, ability and innovation) were introduced as causes of the success of People Express, followed by details about how the success had been achieved. As organisational problems emerged, these were traced to Mr. Burr's weaknesses (including overdoing things, change and ill adaptation to change).

They then sought to look directly into the original news articles to find independent evidence of the dynamics of Leader-image construction. In order to do so, they analysed the metaphors used in the same news stories on which the respondents had based their own descriptions of Mr. Burr (Chen & Meindl, 1991). Hence, the second method of content analysis used in the study was more interpretive and focused upon metaphors and imagery regarding Mr. Burr. The authors found that the image of Mr. Burr was continually reconstructed so as to account for the dramatic performance fluctuations of the company (Chen & Meindl, 1991).

From the studies it appears that the romance of leadership is a robust phenomenon. There are several limitations since many of the studies were conducted in laboratory settings and incorporated written stimulus material. The subjects largely comprised uniformed students; this does not make results generalized. Other studies consisting of analysis of written material are open to the potential subjectivity of the content analysis process and the authors did not consistently indicate that rigorous steps had been taken to increase rater reliability. Research indicates that external factors affecting whole industries, rather than Leadership might also affect performance. The authors conclude that the faith in leadership is likely to exceed the reality of control and will be used to account for variance that is in fact uncontrollable. The study demonstrates that the effects of leadership were imaginary or mythical.

With regard to the difference between the Level 5 leadership theory and the romance of leadership theory, the anti-deterministic perspective is reflected in theories that suggest that

the fates and fortunes of a firm can be understood in terms of the personal endowments of the leaders in charge, for example, leader-centric approach to leadership (e.g., Hambrick & Mason, 1984; Kets de Vries & Miller, 1984). The deterministic perspective of leadership suggests that organisational outcomes may be understood in terms of the environmental and inertial constraints facing leaders, rather than the actions themselves, for example, the follower-centric approach to leadership (e.g., Pfeffer & Salancik, 1977). An extension of this perspective is the romance of leadership notion which posits that organisational outcomes are attributed to leaders when other factors may be responsible.

Therefore, the key differences in these two perspectives has been in the assumptions made regarding the extent to which managers, through their unique endowments, are capable of exercising control over an unruly environment in the service of organisational performance (Chen & Meindl, 1991). For the anti-determinist, the principal significance of leaders lies in their “substantive actions and activities, which effectively isolate their firms from the vagaries of environment or use environment to the advantages of their firms, or both, in direct proportion to their abilities and skills” (Chen & Meindl, 1991). For the determinist, leadership's role is largely symbolic, aimed at preserving among important constituencies the illusion of a more anti-deterministic world and continued support for the leaders' stewardships (Salancik & Meindl, 1984).

The Level 5 leadership and the romance of leadership theories represent contradicting theories of leadership effect. Level 5 leadership emphasises on the thoughts, actions, and persona of leadership over the followers. From this leader-centric perspective, the followers have been viewed as recipients or moderators of the leader's influence, and as vehicles for the actualization of the leader's vision, mission or goals. However, the romance of leadership theory offers a follower-centric approach that views both leadership and its consequences as largely constructed by followers and hence influenced by followers' cognitive processes and inter-follower social influence processes (Meindl, 1985)

The Level 5 leadership theory, as opposed to another leader-centric leadership theory, was chosen for this research for the following reasons: as mentioned, the study of leadership has generating thousands of books which have created confusion about what leadership actually is. One such book is *Good to Great*. Hence, this proposed study suggests that by exploring and explaining if, how and why Level 5 leadership in *Good to Great* has contributed to this confusion, it might offer an understanding of leadership that is both intellectually compelling and emotionally satisfying. *Good to Great*, unlike other prescriptive ‘how-to-books’, adopts a methodical approach to analysing well-known companies across disparate industries and it offers unconventional insights as to what makes a company successful in the long run.

However, in order to map the research findings to the principles Collins (2001b) coined, he selectively applies examples that both support and contradict his main points. It seems the examples he uses are skewed to support and prove one principle in particular, that is, 'Level 5 Leadership as Humility with Resolve'. For example, according to Collins (2001a), Hendry Singleton was a genius who used his personnel to implement his own platform. However, Collins (2001a) stated that when Singleton left Teledyne, it went into a downward spiral, therefore, Teledyne failed to achieve greatness. So, that would mean that Singleton cannot be a Level 5 leader as Collins (2001a) hypothesizes that a Level 5 leader chooses a capable successor. However, Ken Iverson of Nucor was a Level 5 leader, even though Collins (2001a) acknowledges in the appendices, that the performance of both Nucor and Gillette similarly fell off following the retirement of their Level 5 leaders. Furthermore, the quality of humility in a Level 5 leader is vague.

In order to answer the research question, an exemplar of a Level 5 leader that has received ample press coverage has been chosen. Collins (2001a) does not provide a criterion to justify why an individual classifies as a Level 5 leader. However, Collins (2001a, p. 22) stated, "HUMILITY + WILL = LEVEL 5". Therefore, the research will use the characteristics of a Level 5 leader's as a criterion to justify why an individual classifies as a Level 5 leader. These characteristics are not quantifiable but rather used as self-fulfilling rhetorical criteria. In addition, Collins (2001a) claims that in order to find Level 5 leaders, the key is to scrutinize for sustained great results of their company. Hence, based on the assumption that Bill Gates has the characteristics of a Level 5 leader, and due to the fact that his company, Microsoft, has generally sustained great results over thirty two years (1975-2007) as evident in his business success in financial terms, the researcher has identified Bill Gates as a Level 5 leader. Hence, this study will not aim to assess whether Bill Gates is in fact a Level 5 leader. This can only be assumed due to the lack of an objective criterion. In addition, it is important to emphasize that this research examines how Gates is portrayed in the media (i.e. public image) rather than his leadership style per se.

In summary, chapter two and chapter three have investigated the distinguishing merits of the two contrasting views of leadership and have developed a theoretical and conceptual framework within which to base the research. The leader-centric Level 5 leadership theory postulates that a Level 5 leader possesses seemingly contradictory characteristics, including modesty, shyness, personal humility, and timidity on the one hand, but professional will, unwavering resolve, ferociousness, and fearlessness on the other (Collins, 2001a). On the contrary, the follower-centric romance of leadership theory postulates that leadership can be interpreted as a pre-conception, assumption, or bias. Many prefer to cope and come to grips with the cognitive and moral complexities of understanding the countless interactions among causal forces that create and maintain organized activity (Meindl & Ehrlich, 1988). This research questions whether a recent historical profile of publicity given to Bill Gates (a Level

5 leader) lends itself to a romance of leadership interpretation. This question will be addressed in Chapter 5. Due to the fact that the study examines how Bill Gates is portrayed in the media (i.e., public image) rather than his leadership style per se, the next section (Chapter 4) examines the role of media in the social construction of leadership and explores the historical background of Bill Gates and Microsoft.

Chapter Four: News Media, Microsoft and Bill Gates

The Role of Media in the Social Construction of Leadership

The news media refers to the section of the mass media that focuses on presenting current news to the public. By covering news, politics, weather, sports, entertainment, and vital events, the daily media shape the dominant cultural, social and political picture of society. Many social analysts have recognized the importance of mass media in shaping views of ourselves and the world around us (e.g., Lippmann, 1921; Lazarsfeld & Merton, 1948; McLuhan & Fiore, 1967). For this research study, it is important to examine and attempt to understand people's preferences for particular news media or the credibility they ascribe to them, the level of attention people bring to those media, their level of involvement or interest on economic news, competing sources of economic news, different viewer lifestyles, media use habits, and the learning processes that enable media coverage to have any effect at all (Riffe, Lacy & Fico, 1998).

Research in mass communication has shown that the media influence people's cognition in a variety of ways (Katz, 1980; Roberts & Maccoby, 1985). The media may determine what issues are important and set agenda for what the public thinks about (e.g., McCombs and Shaw, 1972), transmit knowledge and information (e.g., Alper & Leidy, 1970), reinforce or crystalize existing beliefs (Klaper, 1960), change existing beliefs (Paisley, 1981), and cultivate perceptions of the nature of social reality (Noelle-Neumann, 1973, 1974; Gerbner et al., 1978). Chen & Meindl (1991) stated that while an ostensible mission of the business media is to provide facts and information about business organisations, it is clear that business journalism extends into areas well beyond simple reporting, transmitting to us a variety of deeper messages regarding organisations and their functioning. Media analysts have recognized its ideological and constructive aspects (Caudwell, 1971; Gramsci, 1971; Altheide, 1976; Hall, 1977; Williams, 1977; Fishman, 1980; Jensen, 1987). Furthermore, the interpretation of meanings by readers is not passive reception or discovery of what is inherent in the news but active interaction with the text involving pre-existing cognition and attitudes, previous and current expectations, and the nature of the perceived social and physical environment (Dervin, 1981; Swanson, 1981).

The relationships between the press and the audience are therefore indicative of a confluence of societal interests in supplying and consuming certain kinds of information (McLuhan, Hutchon & McLuhan, 1980). In this regard, constructions of leadership are regularly and widely produced for our consumption (e.g., Klapp, 1964; Goode, 1978), with transmissions often taking the form of portraits and images of great leadership figures, both in the public and private sectors. These images feed and expand our appetites for leadership products,

appealing not only to our collective commitments to the concept but fixating us, in particular, on the personas and characteristics of leaders themselves (Meindl, 1990).

Chen & Meindl (1991) postulate that the business press is particularly prone to interpret organisational outcomes in terms of leadership. It is widely recognized by both practitioners and researchers (Schudson, 1978; Gans, 1979; Gitlin, 1980) that news focuses on individuals in general and leaders in particular; "In the mass mediated reality, organizations, bureaucracies and movements - in fact all larger and more enduring social formations - are reduced to personifications" (Gitlin, 1980. p, 146). There is an implicit theory of society that the social process, above all others, is shaped by leaders (Gans, 1979). Western journalism has sometimes been portrayed as a sort of cult of personality that largely discounts anonymous social, economic, and political forces; "journalism shuns these forces, proposing instead that great men and women still alive among us and that it is they who make history ... the media's celebration of personality stems more deeply from a belief in voluntarism of will that attributes social change to the deliberate actions of individuals. Journalism, in other words, is strongly anti-deterministic" (Katz & Dayan, 1986. p. 135).

This anti-deterministic view of organisational performance will orient the business press to attribute organisational outcomes to personal qualities and activities of the leader, leading to a very positive image as the organisation performs well. The image will be constructed in a way that accounts for that performance while reflecting the professional values of the news press (Chen & Meindl, 1991). Chen and Meindl (1991) postulated that anti-determinism bears an important force on the popular press and its readership. One can find evidence of more and less anti-deterministic perspectives being represented in the writings of organisational scientists, particularly around issues concerning the relative magnitude to the size of the leadership effect versus environmental factors on organisational performances (Chen & Meindl, 1991). The anti-deterministic perspective is reflected in theories that suggest that the fates and fortunes of a firm can be understood in terms of the personal endowments of the leaders in charge. For the anti-determinist, the principal significance of leaders lies in their substantive actions and activities, which effectively isolate their firms from the vagaries of environment or use environment to the advantages of their firms, or both, in direct proportion to their abilities and skills (Chen & Meindl, 1991). For the determinist, leadership's role is largely symbolic (Pfeffer, 1977), aimed at preserving among important constituencies the illusion of a more anti-deterministic world and continued support for the leaders' stewardships (Salancik & Meindl, 1984).

This research study investigates whether a historical profile of publicity given to Bill Gates created by the business press lends itself to a romance of leadership interpretation. In doing so, the researcher has searched for supportive evidence for the romance of leadership theory and Level 5 leadership theory by means of the content categories and quantitative content

analysis, in addition, the researcher also examined the recurrent themes in the newspaper articles during the positive and negative periods by utilising qualitative thematic content analysis. Due to the fact that the study examines how Gates is portrayed in the media, rather than his leadership style per se, the section below examines the historical background of Bill Gates and Microsoft.

Historical Background of Bill Gates and Microsoft

William (Bill) H. Gates is chairman and chief software architect of Microsoft Corporation, the worldwide leader in software, services, and Internet technologies for personal and business computing (Suder & Payte, 2006). His primary responsibility is Microsoft's product strategy and he was an active software developer in the early years, particularly on the company's programming language products (Dearlove, 1999). Microsoft revenues for U.S. \$36.84 billion for the fiscal year ending June 2004, and employs more than 55, 000 people in 85 countries and regions.

In 1973, Mr. Gates entered Harvard University as a freshman. While at Harvard, Mr. Gates developed a version of the programming language BASIC for the first microcomputer – the MITS Altair (Suder & Payte, 2006). In his junior year, Mr. Gates left Harvard to devote his energies to Microsoft, a company he had begun in 1975 with his childhood friend Paul Allen. Microsoft's mission has been to continually advance and improve software technology, and to make it easier, more cost effective and more enjoyable for people to use computers. Microsoft claims that it is committed to its long term view, reflected in its investment of approximately \$6.3 billion on research and development in the 2005 fiscal year (Suder & Payte, 2006).

Philanthropy also seems to be important to Mr. Gates. He and his wife, Melinda, have endowed a foundation with more than \$27 billion (as of March 2004) to support philanthropic initiatives in the areas for global health and earning, with the hope that in the twentieth century, advances in these critical areas will be available for all people (Suder & Payte, 2006). The Bill and Melinda Gates Foundation has committed more than \$3.2 billion to improve learning opportunities, including the Gates Library Initiative to bring computers, Internet access, and training to public libraries in low-income communities in the United States and Canada; more than \$477 million to community projects in the Pacific Northwest; and more than £488 million to special projects and annual campaigns (Suder & Payte, 2006).

Microsoft is the world-wide leader in software, services and Internet technologies for personal and business computing. Today Microsoft Corporation has developed into one of the most successful business ideas and companies in the world (see Table 3 for a brief summary of the company's history and growth). It has annual revenues of over \$37 billion, 57, 000 employees and cash reserves in excess of \$60 billion. The company develops,

manufactures, licenses, and supports a wide range of software products for various computing devices (Suder & Payte, 2006). Microsoft's seven core business units include: first, *Windows Client*, including the Microsoft Windows XP desktop operating system, Windows 2000, and Windows Embedded operating system. Second, *Information Worker*, including Microsoft Office, Microsoft publisher, Microsoft Visio, Microsoft Project, and other stand-alone desktop applications. Third, *Microsoft Business Solutions*, encompassing Great Plains and Navision business process applications and bCentral business services. Fourth, *Server and Tools*, including the Microsoft Windows Server System integrated server software, software developer tools, and MSDN. Fifth, *Mobile and Embedded Devices*, featuring mobile devices including the Windows-powered Pocket PC, the Mobile Explorer microbrowser, and the Windows powered Smartphone software platform. Next, *MSN*, including the MSN network, MSN Internet Access, MSNTV, MSN Hotmail, and other Web-based services. Lastly, *Home and Entertainment*, including Microsoft Xbox consumer hardware and software, online games, and TV platform (Suder & Payte, 2006. pp 566-567).

Microsoft's mission statement is to enable people and businesses throughout the world to realise their full potential. Delivering on the Microsoft mission requires people who share the same values, which are as follows: integrity and honesty; passion for customers, partners and technology; open and respectful with others and dedicated to making them better; willingness to take on big challenges and see them through; self critical, questioning, and committing to personal excellence and self-improvement; accountable for commitments, results, and quality to customers, shareholders, partners and employees (Suder & Payte, 2006).

However, even with this extraordinary success and virtually unprecedented level of achievement, all is not perfect and despite - or perhaps because of these many successes, Microsoft and many of its products and businesses are being challenged around the world. These challenges include competitive, governmental, and judicial actions. In addition, wary government and customers around the world began expressing grave concerns about the security and integrity of Microsoft operating systems (Suder & Payte, 2006). Investigations by both the U.S Department of Justice and the European Commission concerning accusations of anti-competitive behaviour and abuse of monopoly issues heated up significantly from 2000 onwards. Additionally, systems security issues were beginning to emerge, which over the ensuing years, have grown substantially with the spread of global viruses attacking Microsoft's windows operating systems and applications (Suder & Payte, 2006).

Table 4: A Brief Summary of the Company's History and Growth (Adapted from Suder & Payte, 2006. pp 558-559)

1975: Paul Allen and Bill Gates confounded a business idea that would later become the worldwide leader in software, services, and Internet technologies for personal and business computing. At that time, Paul Allen was employed by Honeywell and Bill Gates was a sophomore (second year) at Harvard University. At that time, Microsoft was not yet an official partnership and the name had not been chosen. It has been reported that the earliest known written reference to the term "Micro-soft" was in a letter from Bill Gates to Paul Allen dated November 29, 1975, where Bill Gates uses the name "Micro-soft" to refer to their partnership
Revenues: \$16,000; Number of Employees: 3
November 26, 1976: the trade name "Micro-soft" is registered. February 3, 1997: Paul Allen and Bill Gates execute an official partnership agreement. December, 31, 1978: Microsoft's year-end sales exceed \$1million. June 11, 1980: Steve Ballmer, now CEO and president of Microsoft, joins Microsoft. June 25, 1981: Microsoft reorganizes into a privately held corporation August, 12 1981: IBM introduces its personal computer, which uses Microsoft's 16-bit MS-DOS operating system
FY 1981 Revenues: \$1 million; Employees: 128
February 1983: Paul Allen steps down as Microsoft's executive vice president. May 2, 1983: Microsoft introduces the Microsoft Mouse November 10, 1983: Microsoft unveils Microsoft Windows
FY 1985 Revenues: \$140 million; Employees: 900
March 1986: Microsoft stock goes public.
FY 1986 Revenues: \$198 million; Employees: 1,442
October 1987: Microsoft introduces Excel for Windows. July 25, 1990: Microsoft celebrates its 15 th anniversary, becoming the first personal computer software company to exceed \$1 billion in sales in a single year. With success comes scrutiny: the U.S Federal Trade Commission begins investigating Microsoft for possible anti-trust violations.
FY 1990 Revenues: \$1.186 billion; Employees: 5,635
April 14, 1993: Microsoft reports that the number of licensed users of Microsoft Windows now totals more than 25 million, making it the most popular graphical operating system in the world. Fortune Magazine names Microsoft the @1993 Most Innovative Company Operating in the U.S."
FY 1993 Revenues: \$3.786 billion; Employees: 14,430
1994: An anti-trust settlement is agreed to between Microsoft, the U.S Justice Department, and the European Commission regarding anti-competitive practices. August 24, 1995: Microsoft introduces Windows 95. The U.S Court of Appeals reinstates a 1994 agreement that had been rejected by a U.S. District Judge earlier that year. September 15, 1995: Microsoft celebrates its 20 th anniversary.
FY 1995 Revenues: \$6.075 billion; Employees: 17,801
June 5, 1996: MSNBC, the 24-hour news, talk, and information network, id jointly launched by NBC News and Microsoft October 1997: The U.S Justice Department files a motion in Federal District Court, alleging that Microsoft had violated the 1994 consent decree dealing with certain aspects of licensing the Windows operating system to computer manufactures. The Justice Department asks the court to stop Microsoft form trying the use of its Windows 95 operating system to the use of its Internet Browser.
FY 1997 Revenues: \$11.936 billion; Employees: 28, 028
June 25, 1998: Microsoft launches Windows 98 worldwide. July 21, 1998: Bill Gates appoints Steve Ballmer as president of Microsoft. June 7, 1999: Steve Ballmer officially launches Microsoft Office 2000.

Table 4: A Brief Summary of the Company's History and Growth (continued)

January 13, 2000: Bill Gates becomes chairman and chief software architect and Steve Ballmer becomes CEO. February 2000: European Commission begins investigation into anti- competitive practices regarding Microsoft's Windows operating system. April 2000: U.S judge rules Microsoft used a monopoly position to block competition and orders breakup of Microsoft Release of Windows 2000
FY 2000 Revenues: \$22.956 billion; Employees: 40, 000
2001: Microsoft Office XP and Microsoft Windows XP are launched. June 2001: U.S Court of Appeals rejects the breakup of Microsoft but rules that Microsoft used the Windows monopoly to block competition August 2001: Europeans Commission files a second set of formal charges of anticompetitive bundling of components of Microsoft operating systems. March 18, 2002: Microsoft and the states involved that did not agree to the settlement reached by the U.S Department of Justice begin a trial on remedies in the U.S District court in Washington, D.C. Summer 2002: Licensing 6.0 implemented. November 1, 2002 U.S District Court Justice in Washington, D.C., issues final judgment and the nine states.
FY 2002 Revenues: \$28.365 billion; Employees: 50, 000
August 2003: European Commission files third set of formal charges against Microsoft.
FY 2003 Revenues: \$32.187 billion; Employees: 55, 000
March 2004: European Commission rules Microsoft has abused monopoly position and fines Microsoft E497.3 million October 2004: Microsoft reports record levels of revenues and earning for quarter ending September 30, 2004 (Q1, FY2005).

The information in Chapter two, three and four has formed the basis of operationalising this research. Chapter two investigated the leader centric or traditional leadership perspectives which include the great man theory and trait theories of leadership, behavioural theories of leadership, the situational theories of leadership, transactional or management and transformational leadership. This was followed by a discussion of the follower centric or non traditional leadership perspectives which include the cognitive leadership theory. In chapter three, two conflicting theories of leadership were chosen and discussed in detail; Level 5 leadership, which represents traditional leadership perceptions and the romance of leadership, which represents the non-traditional leadership theories. Hence, Chapter two and Chapter three have investigated the distinguishing merits of the two contrasting views of leadership and have developed a theoretical and conceptual framework for this research.

In Chapter five, this research study questions whether a recent historical profile of publicity given to Bill Gates (a Level 5 leader) lends itself to a romance of leadership interpretation, Chapter four has examined the role of media in the social construction of leadership and explored the historical background of Bill Gates and Microsoft in order to place this research in context. In Chapter 5, various research methods are used in order to answer the research question. The researcher has decided that the application of the content analysis method will answer the research question and the measuring instruments will comprise the sub-categories and the data from which the sub-categories are applied and evidence extracted. Once the sampling and procedure have been planned, the sub-categories in content analysis are used as a criterion to find supportive evidence in the data for either the leader-centric Level 5 leadership theory or the follower-centric romance of leadership theory. Accordingly, in answering the research question, this research will contribute to the literature and strengthen either the romance of leadership theory and the follower-centric view of leadership or the Level 5 leadership theory and the leader-centric view of leadership.

Chapter Five: Research Methods

Research Question

Reviewing previous research provided guidance on what variables to examine and on how to collect data to measure them. Earlier literature and research provided direction for thinking that helped the researcher formulate a specific research question that focused further on the plan for data collection and analysis that is research design. The research question is as follows: Does a recent historical profile of publicity given to a prominent Level 5 leader lend itself to a romance of leadership interpretation? The research question assisted in focusing on collecting only relevant data, sparing unnecessary effort that could have potentially yielded unreliable or invalid results. The research question also provided guidance on how to recognise and categorise that data and what level of measurement to use (Riffe, Lacy & Fico, 1998).

Research Design - Application of the Content Analysis Method

In order to answer the question, the proposed study adopted a research methodology that is qualitative in nature because it “does not offer a fixed truth, rather, it offers insightful debates and it employs methods which are flexible” (Mason & Banister et al., 2003). Riffe, Lacy & Fico (1998) claim that quantitative content analysis is most efficient when explicit hypothesis or research questions are posed. The research was carried out through the content analysis method, which has proved to be a popular method in media research (Gunter, 2000; Deacon et al., 1999 & Krippendorff, 2004). In order to accurately apply the content analysis method to this research study, it is necessary to define the key terms and conceptualise a design in content analysis, as well as identify properties of content that represent the theoretical concepts that develop through the conceptualization process, in order to transform them into numbers that can be analysed statistically for links. Content analysis can be seen as the bridge between the qualitative and quantitative paradigms as it allows the researcher to take a body of qualitative data and produce data that can be submitted to quantitative analysis (Berg, 1995a).

Krippendorff (1980, p. 21) defines content analysis as “a research technique for making replicable and valid inferences from data to their context.” The emphasis on data reminds the reader that quantitative content analysis is reductionist, with sampling and operational or measurement procedures that reduce communication phenomena to manageable data (e.g. numbers) from which inferences may be drawn about phenomena themselves (Riffe, Lacy & Fico, 1998, p. 19). Furthermore, Berelson’s (1952, p. 18) contends that “[C]ontent analysis is a research technique for the objective, systematic, and quantitative description of the manifest content of communication”. This definition includes the important specification of the process as being objective, systematic, and focusing on contents manifest meaning as

opposed to connotative or latent meaning (Riffe, Lacy & Fico, 1998). Content analysis seeks to demonstrate the meaning of text by systematically allocating its content to pre-determined, detailed categories and then both quantifying and interpreting the outcomes thereof, it is based on the principle of coding, where units of analysis are classified according to some conceptual framework (Payne & Payne, 2004). Furthermore, Stemler (2001) argues that content analysis is a systematic, replicable technique for compressing many words of the text into fewer content categories based on explicit rules of coding. This analysis would involve counting how often a specific word, phrase or semantic category occurs and then defining the coding unit that will be coded (Bryman & Burgess, 1999). According to Zipf's Law, the assumption is that words and phrases mentioned most often are those reflecting important concerns in every communication.

The researcher appropriates Riffe, Lacy & Fico's (1998) definition of content analysis which is informed by their view of the centrality of content to the theoretically significant processes and effects of communication and of the utility, power, and precision of quantitative measurement; "quantitative content analysis is the systematic and replicable examination of symbols of communication, which have been assigned numeric values according to valid measurement rules, and the analysis of relationships involving those values using statistical methods, in order to describe the communication, draw inferences about its meaning, or infer from the communication to its context, both of production and consumption" (p. 20). The key terms within this definition are; systematic, replicable, symbols of communication, numeric values or categories according to valid measurement rules and statistical analysis of relationships, describing and inferring. For clarification, each key term will be discussed in relation to this research study.

Systematic research requires identification of key terms or concepts involved in a phenomenon, specification of possible relationships among concepts, and generation of testable hypothesis (Riffe, Lacy & Fico, 1998). In terms of planning the operational procedures, the researcher laid the ground rules in advance for what qualifies as evidence of sufficient quality so that the research question could be answered. Therefore, the researcher decided on the time frame of the study, the kind of communication that constitutes the focus of the study, what the variables are to be or how precise the measurement must be (Riffe, Lacy & Fico, 1998).

Two defining traits of science are objectivity and reproducibility or replicability. In order to maintain objectivity, the findings were not subject to what the researcher believed or hoped the outcome would be. Research definitions and operations that were used were reported exactly and fully (see Appendix 2). This process of defining concepts in terms of the actual, measures variables is operationalisation. Riffe, Lacy & Fico (1998) advocate that it is only after repeated replication can a research challenge or modify existing theory or explanations

for a phenomenon. Therefore, the researcher maintained operationalisation in order that other researchers applying the same system of inquiry, the same research design, and the same operational definitions to the same content, should be able replicate the original findings. In terms of symbols of communication, all communication uses symbols, whether verbal, textual or images. The meanings of these symbols vary from person to person and culture to culture by a matter of degrees. Moreover, the conditions under which the symbols of communication were produced is variable, in that it may have been natural or manipulated (Riffe, Lacy & Fico, 1998).

Quantitative content analysis involves numeric values assigned to represent measured differences. The crucial element in assigning these numbers involves the validity of the assignment rules. The rules must assign numbers that accurately represent the content meaning; “quantitative analysis reduces the set of units to numbers that retain important information about content units, but are amenable to arithmetical operations that can be used to summarize or describe the whole set” (Riffe, Lacy & Fico, 1998. p. 26). The quantification of the content units made it possible to reduce the research study’s large sets of data to a manageable form, and to characterise the variation in the data with summary statistics such as percentages, averages and ranges. The use of quantitative measures on representative samples of data permitted the researcher to assess the representativeness of the samples, and thus use powerful statistical tools to answer the research question (Riffe, Lacy & Fico, 1998).

The two research purposes or goals of content analysis are to describe the communication and to draw inferences about its meaning or infer from the communication its context of production or consumption (Riffe, Lacy & Fico, 1998). Guided by the context, the researcher selected content analysis from a variety of methods or tools that were thought would answer the research question. From the data, the researcher aimed to answer a theoretically significant question by inferring what might have contributed to the contents form and meaning. To draw from content inferences about the consequences of consumption of content or about production of content, the researcher was guided by theory. Therefore, as discussed in the previous chapter, the researcher examined and attempted to understand people’s preferences for particular news media or the credibility they ascribe to them, the level of attention people bring to those media, their level of involvement or interest on economic news, competing sources of economic news, different viewer lifestyles, media use habits, and the learning processes that enable media coverage to have any effect at all (Riffe, Lacy & Fico, 1998).

Holsti (1969) described research design simply as “plan for collecting and analyzing data in order to answer the investigators question” (p. 24). Holsti (1969) argues that “a good research design makes explicit and integrates procedures for selecting a sample of data for analysis, content categories and units to be placed into the categories, comparisons between categories

and the classes for inferences which may be drawn from data (pp. 24-26). Stouffer (1977) stated that strong design ensures that “evidence is not capable of a dozen alternative interpretations” (p. 27). Thus, the hallmarks of a good design, according to Kerlinger (1973) are the extent to which the design enables one to answer the question, the extent to which it controls extraneous independent variables and the extent to which it permits generalizable results. Content analysis is the appropriate research methods for answering the research question. According to Riffe, Lacy & Fico (1998), the research design is what some might call a ‘nuts and bolts’ blueprint for the execution of a specific content analysis in order to ensure that the specific research questions about relationships of specific variables are tested effectively.

In designing the content analysis for this research study, the researcher addressed a number of issues, such as; how will the research question be answered? Is the purpose of the study description or testing relationships among variables? Will the researcher be exploring whether variables are associated with one another, or is the relationship a cause and affect one? What is the focus of the study, in terms of the definition of content analysis and content centrality model? Is it to describe messages, to infer about messaged meaning, or to infer from message to the context of its production or consumption? (Riffe, Lacy & Fico, 1998). This research study used a correlation design between two variables, as the researcher searched for supporting evidence for the Level 5 leadership variable as well as romance of leadership variable concurrently. Hence, a causal relationship design was not used as the researcher did not demonstrate that one variable is the cause of the other variable (Riffe, Lacy & Fico, 1998). The focus of the study is it to describe messages, not to infer about message meaning, or to infer from message to the context of its production or consumption. The researcher attempted to move from the conceptual to the operational level and described the abstract or theoretical variables in terms of actual measurement procedures that coders can apply (Riffe, Lacy & Fico, 1998). This research study’s operational plan involves a specific time frame of nine months, newspapers as the communication source or medium, the paragraph and article as the units of analysis, two set of categories i.e. Level 5 leadership and the romance of leadership, Level 5 leadership has eight sub-categories and the romance of leadership has nine sub-categories, type of sample is positive and negative dates and the size for sample is 201, reliability will be assessed by means of a second coder and the statistical analysis that will be used is numbers, frequencies and percentages.

Measurement links the conceptualization and analysis steps. This process forced the researcher to identify properties of content that represent the theoretical concepts that develop through the conceptualization process, in order to transform them into numbers that can be analysed statistically (Riffe, Lacy & Fico, 1998). Riffe, Lacy & Fico (1998) stated that measurement is the reliable and valid process of assigning numbers to units of content. Reliability requires that different coders applying the same classification rules to the same

content will assign the same numbers. Validity requires that the assignment of numbers is reliable and that the assignment of numbers accurately represent the abstract concept being studied (Riffe, Lacy & Fico, 1998). A unit of content is a discretely defining element of content. It can be a word, sentence, paragraph, image, article, television programmes, or any other description of content based on a definable physical or temporal boundary, or symbolic meaning. The content was reduced to units i.e., paragraph and article in order to measure it.

The two types of units that are relevant to content analysis are study and content units. Content units are elements specifically related to the meaning and production of content. Study units are the elements of content that were selected and defined by the researcher (Riffe, Lacy & Fico, 1998). Study units concern the actual process of measurement and are defined by the content analyst. Study units fall into four types: sampling, recording context, and analysis, and must be specified for each content analyst. Sampling units are the physical units that are selected for study from the entire content of interest. For this research study, the sampling units are the following newspapers: Wall Street Journal, the Economist, Forbes, Fortune, Business Week and Newsweek. Recording units are elements of content that are classified in the coding process. The recording units are the basic units in content analysis. For this research study the recording units are as follows: Level 5 leadership which contains eight sub-categories and the romance of leadership which contains nine sub-categories. Context units are elements that cue researchers to the context that should be examined in assigning content to categories. The context units can be the same as or larger than the recording unit, but it cannot be smaller. For the research, the context units are the paragraphs and articles that make assertions about Microsoft and Bill Gates in light of certain type of contexts. In terms of analysis units, Holsti (1969) and Krippendorff (1980) used analysis unit as a general heading for sampling, recording, and context units because all of these types of units affect the analysis of the data. The term analysis unit is used to mean the units that are analysed statistically to test research questions. An analysis can never be more detailed than a recording unit. For this research the analysis units are the number of times a paragraph and an article support a category (article) and sub-category (paragraph). The researcher will analyse two levels in parallel, therefore, the units of analysis are the paragraph and the article. This will enable the researcher to track how many articles support a theme versus how many times a theme is stated. It will help to overcome the problem of lengthy articles inadvertently being given a stronger 'weighting' than shorter articles.

Content units are classified as meaning units and physical units. Meaning units occur when a sender or receiver associates a cognitive or affective mental state with symbols in content. In terms of physical units, if symbolic units are units of meaning, physical units are item, time, and space measures for content. Because physical units do not represent symbolic meaning, they are used to infer to the allocation decisions about content and the degree of impact on users of content. The ability to make such inferences is based on two assumptions. First, the

allocation of physical units is not random and these allocations result in identifiable content patterns, second the greater the content devoted to an issue, subject, or person, the greater will be the total impact on the audience as a group. For the research study, the physical units are the number of times the words 'Microsoft' and 'Bill Gates' are mentioned (Riffe, Lacy & Fico, 1998).

In the meaning units, it is the meaning of the word or the meaning of using a particular source that is being studied more than the number of words per se. In this research study, the meaning units are what is being said/ implied about the words 'Microsoft; and 'Bill Gates'. Krippendorff (1980) suggested the following four types of symbolic units for use in content analysis: syntactical, referential, propositional, and thematic units. Syntactical units occur as discrete units in a language or medium. In the research study, the sentences, paragraphs and articles are syntactical units. Referential units involve some physical or temporal unit referred or alluded to within content. The referential unit can be addresses with a variety of symbols, but the particular symbols being used are categorized, not as language units, but by the object or person to which they refer. In the research study, the referential units are Bill Gates, Microsoft and any other term that refers to them i.e. Microsoft as a software giant. Propositional units involve seeing communication content in terms of constituent parts. Such a process in effect places content onto a consistent structure that facilitates analysis of meaning. The thematic unit relates to how concepts of interest in the content, useful in developing narratives, explanations or interpretations of content, can be identified structurally (see Table 5).

Krippendorff (1980) emphasised that such concepts can have several dimensions embedded in the structure of the content. This content structure can itself be a theme meriting examination. Other scholars also discussed theme units. Berelson (1952) called a theme "an assertion about a subject" (p18) whereas Holsti (1969) viewed a theme as a 'single assertion about some subject' (p. 116). Holsti (1969) argued that thematic units may be the most useful to content analysis because they allow the study of values, attitudes, beliefs, and other internal states of the communicator. However, units involving values, attitudes, and beliefs create difficulty in achieving reliability among coders. Thematic units can also create validity problems because clues to internal states of communicators involve more than manifest content. In this research study, recurrent themes were also analysed. These themes will make up the thematic units (Riffe, Lacy & Fico, 1998). Riffe, Lacy & Fico (1998) argue that there is a relationship between content and study units and that definition of the study unit is accomplished using the content units. Identifying the appropriate content unit for the various study units is crucial for creating a valid content analysis protocol. Ultimately, the numbers associated with units of analysis are the values of variables being studied. This table reflects content units becoming operational definitions or study units (Riffe, Lacy & Fico, 1998).

Table 5: Content units become the operational definition or study units (format adapted from Riffe, Lacy & Fico, (1998, pp. 69)

		Study Units				
Content units	Physical Units		Sampling units	Recording units	Context units	Analysis units
		Space				
		Time				No. times MS & Gates mentioned
		Et cetera				
	Symbolic Units	Syntactical	Newspapers		Paragraph & article	
		Propositional				
		Thematic		Recurrent themes		No. paragraph / article supports category & sub-category
		Referential		Categories & sub-categories		

Units were connected with numbers. After the units had been determined, the researcher developed a system for assigning numbers to the units. Riffe, Lacy & Fico (1998) state that content can be assigned numbers that represent one of four levels of measurement; nominal, ordinal, interval and ratio. These levels concern the type of information the numbers carry, and they are the same levels of measurement used in all social sciences. Nominal measures will be used for the research study. Nominal measures have numbers assigned to groups of content and can take two different forms. The first treats membership in a collection of sub-categories as a variable. Each sub-category in the variable gets a number to designate membership. The second form of nominal measure is to treat each sub-category as a variable and assigning each case a number that either includes or excludes the case from the variable. With the one variable approach, the category has multiple sub-categories with one number each. With the multivariate approach, each sub-category becomes a variable with one number for having the variable characteristic and one for not having that characteristic. The multivariate approach allows the same article to be placed into more than one category. It is useful if a unit needs to be classified into more than one sub-category of a nominal variable (Riffe, Lacy & Fico, 1998). Selecting a measurement level for a category depended on two rules; firstly the measurement level was theoretically appropriate, that is, it reflects the nature of the content and the particular research question, and secondly, the level was as high as possible to enable better interpretation of the data (Riffe, Lacy & Fico, 1998).

According to Riffe, Lacy & Fico (1998), a classification system is a collection of category definition that assigns values to recoding units. Each category represents a variable. As mentioned, the values are nominal level, therefore a category has sub-categories. The main category and all sub-categories have definitions to guide assignment of values and sub-categories. Category definitions can be classified in a variety of ways. Deese (1969) provided a six part typology useful in conceptualizing content analysis categories. This study will use grouping, content is placed into groups when the recording units share common attributions. This study determines whether the articles are in favor of Level 5 leadership theory or the romance of leadership theory (Riffe, Lacy & Fico, 1998).

In this research study, the process of creating specific coding instructions for content has met the following five requirements: firstly, it reflects the purpose of the research, secondly its mutually exclusive, thirdly its exhaustive, next, its independent and lastly its derived from a single classification principle (Holsti, 1969. p. 101). To reflect the purpose of the research, the researcher adequately defined the variables theoretically. Then, the coding instructions clearly specified how and why content units were placed in categories for these variables. These instructions provide the operational definition and are a reliable and valid measure of the theoretical concept (Riffe, Lacy & Fico, 1998). Classification systems must be mutually exclusive when assigning numbers to recording units for a given variable. Therefore, due to the fact that statistics were used to study patterns of content analysis, the researcher ensured

that the units were not ambiguous in their meaning by not assigning more than one number to a recording unit for a given variable (Riffe, Lacy & Fico, 1998). In addition, classification systems were exhaustive. The researcher ensured that every relevant recording unit fits into a sub-category (Riffe, Lacy & Fico, 1998). The researcher ensured that placing a recording unit in one category did not influence the placement of the other units; hence independence in classification was maintained (Riffe, Lacy & Fico, 1998). Lastly each category has a single classification principle that separates different levels of analysis (Riffe, Lacy & Fico, 1998). There are two categories and seventeen sub-categories in total. The two categories are Level 5 leadership the romance of leadership. There are 8 sub-categories in Level 5 leadership and 9 sub-categories in the romance of leadership (see Appendix 2).

Measuring Instruments

The Romance of Leadership Scale (RLS)

The romance of leadership scale (Meindl & Ehrlich, 1988) is an instrument designed to assess the relative strength of individuals' tendencies to view leadership as an explanatory category - an attribution - used by observers and participants to make sense out of and to give meaning to organisational events and occurrences. In other words, it is designed to determine the extent to which a respondent is predisposed to viewing leadership as being especially important to organisations (Awamleh & Gardner, 1999). There are three versions of the RLS scale. The original scale (RLS-A) comprises 32 items, the RLS-B (21 items) and the RLS-C was formed from a subset composed of the best 11 items from RLS-B. There was no loss of internal reliability in the shorter version, compared to the RLS A and the RLS-B. RLS-C comprises those items which displayed the best psychometric qualities.

In this research study, the 9 items comprising the RLS-C scale will be used as sub-categories. Hence, it is important to note that these items will not be used as a scale, rather, these items will be used for content analysis purposes. The 9 items from the RLS-C will comprise nine sub-categories in content analysis which will be used as a criterion to find supportive evidence in the data for romance of leadership theory. Meindl & Ehrlich (1988) reported an internal reliability coefficient of .79. Two items from RLS-C are reversed scored; therefore the remaining nine items will comprise nine sub-categories. Meindl & Ehrlich (1988) reported an internal reliability coefficient of .82 for RLS-A, and an internal reliability coefficient of .85 for RLS-B. The mean score was 5.19. Test retest reliabilities have yet to be established. RSL has been used on employees from different organisations and undergraduate business students. Subjects also responded to attitudinal and belief scales, including authoritarianism, self esteem, locus of control, and social desirability, which provided preliminary information pertaining to the convergent/divergent validity of the RSL.

The impact of social desirability responses sets was negligible, although the shorter RLS-B and RLS-C were slightly more susceptible. However, variance attributed to social desirability

was well below the 10-15% typically found in literature. In addition, Meindl & Ehrlich (1988) reported a moderate relationship with locus of control together with, moderately low correlations with self esteem, and essentially zero correlations with authoritarianism (Meindl & Ehrlich, 1988)

Archival Data

For this research study, an exemplar of a Level 5 leader that has received ample press coverage, Bill Gates, was chosen. All archival data was collected for the following years: 1990, 1995, 1998 and 2006. These specific dates were chosen for the following reasons: the release of Windows 3.0 in 1990 sold around ten million copies in the first two years which cemented Microsoft's dominance in operating systems (Wallace, 1993). In 1995, the overdue launch of Windows 95 was one of the most written about events in commercial history (Dearlove, 1999). The United States versus Microsoft case took place in 1998. Many decisions that have led to anti-trust litigation over Microsoft's business practices have had Gates' approval. On June 15, 2006, Microsoft announced that effective July 2008, Gates will transition out of a day-to-day role in the company to spend more time on his global health and education work at the Bill & Melinda Gates Foundation. After July 2008, Gates will continue to serve as Microsoft's chairman and an advisor on key development projects. The two-year transition process is to ensure that there is a smooth and orderly transfer of Gates' daily responsibilities. Effective on June 2006, Ray Ozzie has assumed Gates' previous title as chief software architect and is working side by side with Gates on all technical architecture and product oversight responsibilities at Microsoft. Craig Mundie has assumed the new title of chief research and strategy officer at Microsoft and is working closely with Gates to assume his responsibility for the company's research and incubation efforts (Wallace, 1993). Therefore, the researcher has chosen two negative (1995 and 1998) and two positive events (1990 and 2006) in Microsoft's history in order to reduce bias.

All newspaper articles were collected via Contivity VPN from the following five sources: the Wall Street Journal, the Economist, Forbes, Fortune and Business Week. The Contivity VPN Client uses the IPSec protocol to establish a secure end-to-end connection. The Contivity Secure IP Services Gateway uses the Internet and remote connectivity to create secure Virtual Private Networks. Forty seven percent of the articles used in this research study were published in the Wall Street Journal due to the fact that the Wall Street Journal is considered to be the most powerful, leading publication in the world and has an impeccable reputation as a highly credible source of business news (Neilson & Nielson, 1973, cited in Meindl, Ehrlich and Dukerich, 1985).

Sampling and Data Collection

The purpose of theory based sampling is in finding examples of a theoretical construct and thereby elaborating and examining it (Punch, 2000). Therefore, this type of sampling is appropriate for the proposed study. The articles were extracted from the ProQuest database under the following newspaper names and dates: Wall Street Journal, the Economist, Forbes, Fortune and Business Week in 1976, 1980, 1990, 1995, 1998 and 2006. No articles about Microsoft and Bill Gates were identified in any of these newspapers in 1976, 1980. Due to the fact that many of the articles under the entry of Microsoft and Bill Gates provided little descriptive information about them, the researcher chose only those articles that had seven or more descriptive clauses about Microsoft and/or Bill Gates, regardless of whether the article made reference to Microsoft and/or Bill Gates in their title. A descriptive clause on Bill Gates and Microsoft is one that had in the article mentioned the words 'Bill Gates' and/or 'Microsoft' and described characteristics, activities, or any other references to them. In addition, only those articles that had more than 300 words but less than 10 000 were used. In using this approach, 201 newspaper articles were collected and content analysed. This data was divided into two groups according to the positive and negative periods in which they were published. Table 6 illustrates how many hits arose in relation to how many articles were chosen i.e. sample. Ethical considerations were not applicable for this research study as human subjects were not used.

Research Procedure

Using the ABI/INFORM Global database in ProQuest, the researcher searched for one newspaper, i.e. Wall Street Journal, the Economist, Forbes, Fortune and Business Week. Once the newspaper was found the researcher then entered the following information: search for in newspaper: Microsoft and Bill Gates. Date range: 1976, 1980, 1990, 1995, 1998 and 2006 (1 January to 31 December). Look for items in: citation and document text. The researcher ticked limit results to full text documents only. Each date within each newspaper was searched for individually. Mainly, those articles that make references to Microsoft and/or Bill Gates in their title and have seven or more descriptive clauses on Microsoft and/or Bill Gates in their articles were chosen. In addition, those articles that make no reference to Microsoft and/or Bill Gates in their titles but had seven or more descriptive clauses on Microsoft and/or Bill Gates in their articles were also chosen. A descriptive clause is one which gives information about Microsoft and or Gates instead of just referring to them. Furthermore, only those articles that had more than 300 words but less than 10 000 were used. Once all the relevant newspaper articles were collected, the researcher numbered the paragraphs that were already separated into three to eight sentences (see Table 7).

Table 6: Sample

Newspaper	Date	No. Hits	Sample
Wall Street Journal	1990	7	2
	1995	95	17
	1998	256	63
	2006	96	13
The Economist	1990	0	0
	1995	25	14
	1998	30	17
	2006	18	8
Forbes	1990	0	0
	1995	27	3
	1998	43	12
	2006	0	0
Fortune	1990	0	0
	1995	25	7
	1998	52	15
	2006	16	2
Business Week	1990	0	0
	1995	0	0
	1998	67	24
	2006	25	4
		785	201

Table 7: Research Procedure

Each article was analysed for the following characteristics
1) Publication Date mm/dd/yy
2) ProQuest Document ID
3) Newspaper Name
4) Text Word Count
5) Number of Paragraphs
6) Headline and Author
7) How many times the following words are mentioned <ol style="list-style-type: none"> 1. Microsoft 2. Bill Gates 3. Bill Gates as Microsoft (vise versa)
8) Category (in article) Classification <ol style="list-style-type: none"> 1. Romance of leadership 2. Level 5 leadership 3. Neither the Romance of leadership nor Level 5 leadership 4. Recurrent themes
9) Evidence and sub-category (in paragraph) Classification <ol style="list-style-type: none"> 1. Sentence/s that represents evidence of a sub-category 2. Romance of leadership sub-category number 3. Level 5 leadership sub-category number 4. Paragraph number where evidence was found

Pilot studies are often conducted to inform sampling decisions and to test the effectiveness of the chosen categories (Punch, 2000). A pilot study on ten articles was conducted to test the effectiveness of the two categories and seventeen sub-categories. As a result, a few changes were made. The researcher then content analysed all the data. The eight sub-categories from the principles of Level 5 leadership were used as a criterion to find supportive evidence in the data for the Level 5 leadership theory. At the same time, the researcher also used the nine items from the RLS-C which comprise nine sub-categories to find supportive evidence in the data for romance of leadership theory. Hence, by mapping this development over time, the researcher was able to examine how Gates public image in the press changed over time and then decide, by means of supportive evidence, whether the romance of leadership theory or whether the Level 5 leadership theory was more compatible with the data and what themes emerged.

Categories and Sub-categories Construction and Definitions

In this research study, an account of the content analysis reliability includes protocol definitions and procedures, information on the training of judges, the number of content items tested and how those items were selected. This chapter will discuss the protocol definitions and procedures and the reliability section in chapter 6 will provide information on the training of judges, the number of content items tested and how those items were selected.

The content analysis protocol is a document record that defines the study in general and coding rules applied to content in particular. The purpose of the protocol sets down the rules governing the study, rules that bind the researcher in the way he/she define and measure the content of interest. The protocol is the archival record of the study's operation and definitions, or how the study was conducted. Therefore, the protocol makes it possible for other researchers to interpret the results and replicate the study. Riffe, Lacy and Fico (1998) assert that such replication strengthens the ability of science to build a body of findings and theory illuminating the processes and effects of communication (see Appendix 2). A three-part approach was used for protocol organisation. The first part is an introduction, specifying the goals of the study and generally introducing the major concepts and how they are defined. The second part specifies the procedures governing how the content was to be processed. The third part of the protocol specifies each category used in the content analysis. For each category, the overall operational definition is given, along with the definitions of the values of each sub-category. During the content analysis process, the category definitions become more coder friendly as examples and exceptions are integrated (Riffe, Lacy & Fico, 1998).

In terms of concept definitions and category construction, Riffe, Lacy and Fico (1998) postulate that a concept is a broad, abstract idea about the way something is, or about the way several things interrelate. The conceptual and operational definitions specify how the concepts of interest can be recognised in the content of interest. Each category in a content

analysis is the operationalised definition on that broader, more abstract concept. Each sub-category of each content analysis category is an operational definition as well, but one subsumed by the broader operational definition of the category it is part of (Riffe, Lacy & Fico, 1998). Riffe, Lacy and Fico (1998) maintain that the more conceptually complex the categories and sub-categories are, the harder it will be to achieve acceptable reliability. Furthermore, a large number of complex concepts increase the chances that coders will make mistakes, diminishing the reliability of the study. Hence, reliability is easier to achieve when a concept is more, rather than less manifest as coders will more easily recognise the concepts in the content (Riffe, Lacy & Fico, 1998).

Riffe, Lacy and Fico (1998) posit that, although reliability is easy to achieve when content is more manifest; this content is not always the most interesting or significant. Therefore, this research study also attempted to deal with latent content, that is, the meaning embedded in the content. However, Riffe, Lacy & Fico (1998) contend that in such studies, the application of defined concepts relies on coder interpretation of content meaning and two problems can ensue, one of which affects the studies reliability. The first problem is that agreement among coders on the proper interpretation may be difficult to achieve. Therefore, in this research study, the reliability test was applied to the quantitative results and not the themes and trends. The second problem may occur that engages the interpretation of study's results. Riffe, Lacy and Fico (1998) advocate that these concepts of manifest and latent meaning can be thought to exist on a continuum. Some symbols are more manifest than others in that a higher percentage of receivers share a common meaning for those symbols. Likewise, the latent meanings of symbols vary according to how many members of the language group share the latent meaning. The latent or symbolic meaning also can change with time.

The researcher attempted to simplify the concepts so that it would be easier to recognise when the concept exists in the content and thus, the chance of achieving reliability in the study would be greater as it would be easier for coders to agree. The researcher found that converting a simple concept into words illuminated sloppy or incomplete thinking. The attempt to define concepts in words forced more discerning thinking about what the researcher really means and what the researcher is attempting to get at in a concept (Riffe, Lacy & Fico, 1998). The process forced the researcher to formulate concepts in words and sentences that are to others less ambiguous and less subject to alternative interpretations that miss the concept the researcher had in mind.

In organising the protocol, the document record of the study is coherent and sufficiently comprehensive for other researchers to replicate the study without additional information from the researchers. Furthermore, the protocol is available to anyone who wishes to use it to help interpret, replicate, extend or critique research governed by the protocol. Each category in the content analysis relates unambiguously to the actual coding sheet and to record the

content attributed of each unit of content in the study. The categories on the coding sheet were ordered as much as possible, following the content being examined. Planning the sheet design along with the protocol required the researcher to visualize what the process of data collection would be like, and how problems can be avoided. Riffe, Lacy and Fico, (1998) advocate that coding sheets usually fall into two types: single case and multiple case. The single case coding sheets have one or more pages for each case of recording unit. Multiple coding sheets allow an analyst to put more than one case on a page. This research study used multiple coding sheets as grids and columns were used to capture all relevant information (see Appendix 3 and 4).

In summary, the aim of the research study is to answer the following research question: does a recent historical profile of publicity given to a prominent Level 5 leader lends itself to a romance of leadership interpretation? This section (Chapter 5) has outlined the research methods that will be used in order to answer the research question. To be able to address the question, this study has adopted a research methodology that is qualitative in nature and has utilised archival case history research. Theory based sampling is used as the researcher is examining an example of two opposing theoretical constructs. The measuring instruments include the RLS-C scale and archival data. The nine items comprising the RLS-C scale were used as sub-categories in content analysis. These items are not used as a scale. With regard to archival data, all major articles about Microsoft and Bill Gates, from the following five sources and six years are examined via the World Wide Web (Contivity VPN): the Wall Street Journal, the Economist, Forbes, Fortune and Business Week in 1976, 1980, 1990, 1995, 1998 and 2006.

Once the two hundred and one newspaper articles were randomly selected, the researcher analysed the content via seventeen sub-categories in order to answer the research question. The eight sub-categories from the principles of Level 5 leadership were used as a criterion to find supportive evidence in the data for the Level 5 leadership theory. At the same time, the researcher also used the nine items from the RLS-C which comprise nine sub-categories to find supportive evidence in the data for romance of leadership theory. In addition, the data was reduced and summarized and patterns within the evidence were plumbed for meaning. The next section details how the data was analysed and the results that emerged as a result of this analysis.

Chapter Six: Data Analysis and Results

Analysis of Data

The research study's design has both familiarity with relevant previous research and a well focused question that facilitated data collection. Both of these aspects of good design proved crucial for good data analysis, "as previous research and the thinking that goes into assessing its meaning are vital to focusing any data analysis...first previous research provides guidance on what variables to examine and on how to collect data to measure them. Earlier research provides direction for the formation of research questions that themselves lend focus to both the data collection and data analysis" (Riffe, Lacy & Fico, 1998, p. 153). The research design, measurement, and sampling decisions served as rules for determining what evidence is relevant and how to collect it and the reliability and validity of the results offered insights that helped the researcher ensure that the evidence was of optimal quality. Once the evidence was collected, it was reduced and summarised and patterns within evidence were plumbed for meaning.

Using the ABI/INFORM Global database in ProQuest, the researcher searched for one of the following newspapers, i.e. Wall Street Journal, the Economist, Forbes, Fortune and Business Week. Once the newspaper was found the researcher then entered the following information: search for in newspaper: Microsoft and Bill Gates. Date range: 1976, 1980, 1990, 1995, 1998 and 2006 (1 January to 31 December). Each date within each newspaper was searched individually. Only those articles that made references to Microsoft and/or Bill Gates in their title and had seven or more descriptive clauses on Microsoft and/or Bill Gates in their articles were chosen. In addition, those articles that made no reference to Microsoft and/or Bill Gates in their titles but had seven or more descriptive clauses on Microsoft and/or Bill Gates in their articles were also chosen. A descriptive clause is one which gives information about Microsoft and/or Gates instead of just referring to them. Furthermore, those articles that had more than 300 words but less than 10 000 were used. The emphasis was on the typical or representative, rather than what was likely to confirm the researcher's biases (Welman & Kruger, 2001).

In the Wall Street Journal, there were 103 hits in the positive period, of which 15 articles were used. There were 351 hits in the negative period, of which 80 articles were chosen. In the Economist, there were 43 hits in positive period, of which 8 articles were used. There were 55 hits in the negative period, of which 31 articles were used. In Forbes, there were no hits in positive period. There were 70 hits in the negative period, of which 15 articles were used. In Fortune, there were 16 hits in positive period, of which 2 articles were used. There were 77 hits in the negative period, of which 22 articles were used. In Business Week, there were 25 hits in positive period, of which 4 articles were used. There were 67 hits in the

negative period, of which 24 articles were used. In total, there were 189 hits in the positive period, of which 29 articles (15%) were used in the research study. Furthermore, there were 620 hits in the negative period, of which 172 articles (28%) were used in the research study.

The resultant stimulus data comprised 201 newspaper articles. This data was divided into two groups according to the positive and negative periods in which they were published. The entire sample/procedure netted a total of 27,4015 words. 1990 comprised 2,996 words, 1995 comprised 59,382 words, 1998 comprised 171,332 words and 2006 comprised 40,305 words. Hence, the positive period comprised 4,3301 words and the negative period 230,714 words. For each newspaper article, the researcher documented the following characteristics (refer to appendix 3): publication date mm/dd/yy, ProQuest Document ID, newspaper name, text word count, number of paragraphs, headline and author, the number of times Microsoft, Bill Gates and Bill Gates as Microsoft or Microsoft as Bill Gates were mentioned, Category (in article) classification, evidence and sub-category (in paragraph) classification and the paragraph number where evidence is found.

Each unit of analysis (i.e. article and paragraph) was reviewed and categorised according to the pre-defined categories and sub-categories. The researcher ensured that where relevant, each unit of analysis was consistently categorised into the correct category. The units of analysis were analysed using quantitative and qualitative content analysis. These methods were chosen because they complement each other, since statistics are constructs not facts, there is a need to derive facts from qualitative inferences and this needs to be statistically supported (Hanson et al., 1998). The first stage of analysis involved quantitative content analysis. Riffe, Lacy and Fico (1998) postulate that researchers will have more confidence in their conclusions if data is consistent with statistical assumptions. Quantitative content analysis is a method that derives inferences from quantification (Hansen et al 1998). Describing data involves counting, means and proportions. Riffe, Lacy and Fico (1998) advocate that numbers are at the heart of quantitative content analyses. Thus, counting is at the heart of the analysis. Once the data was collected using nominal level of measurement, the results were displayed in terms of the frequencies with which the values of a variable occurred. The number of times (frequencies) that visible content considered as inductive of some construct occurred were recorded. The statistical analysis of the data obtained consisted of determining the frequencies or percentages of occurrences of the chosen content (Welman & Kruger). The occurrence and frequencies of categories and sub-categories were recorded and comparisons were made (see Appendix 3). The most frequently appearing categories reflected the most prominent issues or greatest concerns. Category counts appeared more reliable than word frequency counts, as single words need to be interpreted with caution due to their multiple meanings (Ezzy, 2002; Payne & Payne, 2004).

However, it is important to note that displaying data in these ways was not illuminating because, raw numbers do not provide a reference point for discerning the meaning of those numbers. Thus, summarising tools such as proportions or means were used, which depended on the nominal level of measurement employed for the variables being analysed (Riffe, Lacy & Fico, 1998). Riffe, Lacy and Fico (1998) stated that a mean is simply the arithmetic average of a number of scores. It assumes an interval or ratio level of measurement. The mean is a sensitive measure because it is influenced by and reflects each individual score. A mean provides a reference point for what is most common to typical in a group. The mean also has the advantage of being stable across samples. A proportion can be used with variables measures at the nominal as well as interval or ratio level of measurement. The proportion reflects the degree to which a particular category dominates the whole. A proportion is illuminated because it too provides a context for discerning the meaning of findings (Riffe, Lacy & Fico, 1998. p. 157). In addition, the number of articles, words, paragraphs and the number of times Microsoft, Bill Gates and Bill Gates as Microsoft or Microsoft as Bill Gates were mentioned were recorded. Riffe, Lacy and Fico (1998) aver that data analysis is intellectual exploration, the process of finding meaning. Whatever numbers turned up through statistical techniques in this research study, deriving meaning from them through qualitative content analysis was the goal. Understanding the significance of text is not just word or category counting. While the manifest content (the actual words) of text is important, the latent content (the implicit messages that can be interpreted) is just as pivotal (Holsti, 1969, cited in Payne & Payne, 2004).

The second stage of the analysis involved qualitative content analysis. Qualitative content analysis is a method that derives inferences from analysing texts (Hanseb et al., 1998). The analysis of text followed a thematic approach. A thematic approach aims to determine and explain topical issues within texts. Marks and Yardley (2004) stated that, compared to content analysis, thematic content analysis is more exploratory because it aims to understand, rather than know the data. Therefore, whereas quantitative content analysis was presented as categories and tables, thematic analysis was presented as arising themes and categories of themes. Arising themes from each article were recorded and grouped into more subordinate theme categories, for example, “Ability” as intellectual people, smart geeks, brainpower, knowledge, learner, talent or “Image” as reputation, impression management, credibility, Gates as ultracompetitive, precocious kid, lucky creep, bundle of contradictions, force for progress, robber baron. The main trends were then recorded and the results were interpreted (see Appendix 4). Interpretations were based on both the manifest and latent meanings evident within the data. By design, much of the qualitative analysis was interpretive. The percentage frequency of theme categories for the two performance periods was documented. This frequency provided statistics for examining the relative salience and importance of individual theme categories within the performance periods and for analysing the trend of the themes across the periods (Ogles & Howard, 1984; Dates & Gandy, 1985).

Example of Analysed Texts

Because of the large size of the data set used in this study, it is not possible to include the textual aspect of the content analysis in this research report for all the texts. Below is an example of the primary analysis of texts the researcher carried out to arrive at the sub-category and category distribution and themes for each text. The example shows the process of establishing the sub-category and category distributions and themes. In appendix 3, the researcher has recorded all the paragraphs that support a specific sub-category (see table 7 for an illustrative analysis).

The Analysis

Once all the relevant newspaper articles were collected, all the articles were transferred to word document and a table containing definitions of each sub-category was pasted at the beginning of every article. The data was arrayed in such a way that a right and left hand margin was created on the right and left hand side of the page. The researcher printed all the articles and then, they were organised into the specific dates and from January to December. Once this was done, the researcher numbered the paragraphs that were already separated into three to eight sentences

Quantitative analysis

The researcher counted then the number of times Microsoft, Bill Gates and Bill Gates as Microsoft or Microsoft as Bill Gates were mentioned. Next, the researcher documented the following characteristics the newspaper article in a table: publication date mm/dd/yy, ProQuest Document ID, newspaper name, text word count, number of paragraphs, headline and author, the number of times Microsoft, Bill Gates and Bill Gates as Microsoft or Microsoft as Bill Gates were mentioned.

The article was then read as a whole. The data was examined sentence by sentence. Each sentence was focused on in turn. The sentence and paragraph was first scanned for relation to any of the seventeen sub-categories. In this article (see table 8), paragraphs 2, 21, 22 and 27 supported sub-category 1, i.e. the quality of leadership is the single most important influence on the functioning of an organisation. The number of the sub-category (i.e. 1) was marked on the left hand column next to paragraphs 2, 21, 22 and 27. Note that sub-categories 1-9 (romance of leadership) were marked on the left hand column and sub-categories 10-17 (Level 5 leadership) were marked on the right hand column. Within the table, the number of the paragraphs that had supported sub-category 1 was written in the paragraph column.

Table 8: Illustrative Analysis

**THE WALL STREET JOURNAL
(1998)**

	THE ROMANCE OF LEADERSHIP (6)	Paragraphs (28)		LEVEL 5 LEADERSHIP (0)	Paragraphs (28)
1	The quality of leadership is the single most important influence on the functioning of an organisation.	2, 21, 22, 27	10	Creates superb results	
2	The great amount of time and energy devoted to choosing a leader is justified because of the important influence that person is likely to have.		11	Has an unwavering resolve to produce the best long-term results.	
3	Bad leadership at the top will show up in decreased organizational performance.		12	Sets the standard of building an enduring great company	
4	High versus low quality leadership has a bigger impact on a firm than a favorable versus unfavorable business environment.	6, 24	13	Looks in the mirror, not out the window, to apportion responsibility for poor results, never blaming other people, external factors, or bad luck.	
5	A company is only as good or bad as its leaders.		14	Demonstrates a compelling modesty, shunning public adulation, never boastful	
6	It's a good thing to find something out about the quality of top-level leaders before investing in a firm.		15	Calm determination and relies on inspired standards not inspiring charisma to motivate,	
7	The process by which leaders are selected is extremely important.		16	Channels ambition into the company, sets up successors for success	
8	When the top leaders are good, the organisation does well, when the leaders are bad, the organization does poorly.		17	Looks out the window, not in the mirror, to apportion credit for all the success of the company - to other people, external factors, and good luck.	
9	There is nothing as critical to the bottom-line performance of a company as the quality of its top-level leaders.				

ProQuest Document ID	34779364	MS = Microsoft	55 (s.g-1)	Themes= Business Tactics Public Image
Text Word Count	2145	Bill = Bill Gates	15	
Number of paragraphs	28	M/B = Bill Gates as Microsoft (vise versa)	1	

Table 8: Illustrative Analysis (continued)

Microsoft Case: Tapes, E-Mail and Meetings

By John R. Wilke. Wall Street Journal. (Eastern edition). New York, N.Y.: Oct 5, 1998. pg. B.1

Abstract (Document Summary)

At the Feb. 13 meeting, according to an account provided by Apple to the Justice Department, Microsoft executive Don Bradford delivered a message to Apple's chief technologist, Avi Tevanian. Mr. Bradford said Microsoft Chairman Bill Gates wanted Apple to keep its popular QuickTime multimedia software out of the Windows software market, antitrust investigators were told. In exchange, the investigators were told, Microsoft would help Apple in the smaller market for video-software tools. Apple declined the offer.

But the Justice Department will offer several memos written by top Microsoft officials to Mr. Gates in the days preceding the meeting. In one, Mr. Gates's senior strategist, Paul Maritz, says the goal of the talks with Netscape's chief executive, Jim Barksdale, is to "move Netscape out of Win 95, avoid battling them in the next year." After the meeting, another executive reported in an e-mail to Mr. Gates that the meeting's goal was to "establish Microsoft ownership of the Internet client platform in Windows."

A Microsoft official said the government is "deliberately misrepresenting" Mr. Gates's pretrial testimony. The company has a few smoking guns of its own, he also said. Among them are e-mails sent by top Netscape officials in the weeks after the same meeting detailing continuing contacts between the two companies, with no hint that Netscape had been threatened, as the government alleges. Microsoft also plans to cite strategic errors by Netscape -- some recounted in vivid language by Netscape's own executives -- to show that Netscape's problems arose from its own blunders, not Microsoft's competitive acts.

Full Text (2145 words)

Copyright Dow Jones & Company Inc Oct 5, 1998

In Silicon Valley, big deals often get done over the cinnamon-blueberry coffee cake at Hobee's, near Apple Computer Inc.'s headquarters in Cupertino, Calif. But the cafe may also be remembered for a deal that didn't get done: what antitrust investigators allege was an illegal attempt by Microsoft Corp. to kill competition in an emerging technology.

At the Feb. 13 meeting, according to an account provided by Apple to the Justice Department, Microsoft executive Don Bradford delivered a message to Apple's chief technologist, Avi Tevanian. Mr. Bradford said **Microsoft Chairman Bill Gates wanted Apple to keep its popular QuickTime multimedia software out of the Windows software market, antitrust investigators were told. In exchange, the investigators were told,** Microsoft would help Apple in the smaller market for video-software tools. Apple declined the offer.

The Apple meeting and a separate, allegedly illegal attempt by Microsoft to persuade Netscape Communications Corp. to divide up the Internet software market are likely to be the most dramatic and hard-fought charges at the historic trial scheduled to begin next week. A review of previously undisclosed evidence, much of it still under court seal, offers an outline of each side's legal strategy and reveals some of the strongest evidence it will use against the other.

Microsoft denounces the market-division charges as false, arguing that the government simply doesn't understand the software industry. Company officials say meetings between rivals are common and help ensure compatibility between competing products, to the benefit of consumers. "When the facts come out, people will see the government's claims as revisionist history," a Microsoft spokesman says. Through spokesmen, both Mr. Bradford of Microsoft and Mr. Tevanian of Apple declined to comment.

Table 8: Illustrative Analysis (continued)

4

Mr. Gates isn't scheduled to testify, but his word will be on trial. In an August deposition, he said the first he heard of a pivotal June 1995 meeting with Netscape was after it took place. Coercing Netscape not to compete in the Windows market would be "against company policy," Mr. Gates said in sworn pretrial testimony. He also said he had "no sense of what Netscape was doing," say people familiar with his testimony.

But the Justice Department will offer several memos written by top Microsoft officials to Mr. Gates in the days preceding the meeting. In one, Mr. Gates's senior strategist, Paul Maritz, says the goal of the talks with Netscape's chief executive, Jim Barksdale, is to "move Netscape out of Win 95, avoid battling them in the next year." After the meeting, another executive reported in an e-mail to Mr. Gates that the meeting's goal was to "establish Microsoft ownership of the Internet client platform in Windows."

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Netscape says any missteps of its own don't excuse Microsoft's tactics.

Microsoft also has evidence to counter claims that it unfairly grabbed key contracts for Internet-browsing software with America Online Inc., the Internet service provider, and Intuit Corp., the maker of personal-finance software, people close to the company say.

The government will charge that Microsoft won a crucial contract with AOL by promising the company a prominent display on the Windows computer screen -- in every PC shipped -- if it rejected Netscape.

But Microsoft will use Netscape's own words to try to show that Netscape lost the AOL contracts for a host of other reasons. Racing to refocus on software for big corporations, they dropped the ball in the consumer market and also had technical problems, Microsoft will argue.

Microsoft's lawyers have Netscape engineers calling the software underlying their product "spaghetti code," saying "it should have been taken out back and shot." And in a taped conversation Microsoft plans to cite, an exasperated Netscape manager says the company even blew a second chance to win AOL. Because its engineers were focused on a different project at the time, "we lost another opportunity to take charge of another 10 to 12 million browsers," the manager says. AOL declined to comment.

The audiotape was made by researchers from Harvard University and the Massachusetts Institute of Technology and is cited in a forthcoming book about Netscape. The book recounts Netscape's "obsession" with competing with Microsoft, referred to by one Netscape developer as "mooning the giant." The book, "Competing in Internet Time," by David Yoffie of Harvard and Michael Cusumano of MIT, is to be published later this month by Simon & Schuster. A draft of it is in Microsoft's possession, and it will be the centerpiece of Microsoft's defense, a Microsoft lawyer says.

In the book, Ram Shriram, then a Netscape vice president, says Netscape kept adding new features to its product, making it more cumbersome, even as Microsoft made its product, Internet Explorer, leaner and more flexible. The book shows that Microsoft's strategy to cut Explorer into customizable components helped the company win business from AOL and Intuit, which wanted to embed Internet browsers in their products.

Table 8: Illustrative Analysis (continued)

In the manuscript of the book -- which remains under court seal in the case -- the authors offer an insider's view of how Netscape, as a little start-up, shook up the computer industry with its Internet browser. But the authors also recount what they view as Netscape's many stumbles, including a period when the company "lost deal after deal" as Microsoft engaged the smaller company in battle.

In addition to the manuscript, Microsoft has subpoenaed the research that went into the book, including the authors' notes and audiotapes. Microsoft lawyers hope to play tapes in court to illustrate -- and dramatize -- the company's argument that Netscape's problems are of its own making.

Messrs. Yoffie and Cusumano have objected to Microsoft's demand for the research on the grounds that it threatens their First Amendment rights and their ability to conduct academic research. A hearing on the matter is scheduled this week in federal court in Boston.

In an interview, Mr. Cusumano says he is surprised the book has become an issue. "Despite the mistakes they made, Netscape did a lot of things well and was one of the few companies to give Microsoft a run for its money," he says. Harvard and MIT hope to reach a compromise that lets Microsoft simply verify quotes from the book -- but Microsoft lawyers insist they will need access to all of the research to mount their defense.

Netscape's Washington counsel, Christine Varney, said that "if Microsoft's defense to their illegal and anticompetitive behavior is that Netscape made decisions that business-school professors might have made differently in hindsight, that is a very weak defense."

Microsoft also unearthed an e-mail from Netscape founder James Clark written to Microsoft -- without the knowledge of others at Netscape -- months before the notorious June 1995 meeting, people close to the case said. In the note, he suggests the two companies should collaborate; Microsoft plans to argue it was simply responding to this request in the June meeting, and that it never tried to divide markets with Netscape, Apple or anyone else.

Another flashpoint in the government's antitrust case will focus on Microsoft's objective in linking its Internet software with its dominant Windows product. Microsoft will argue that the combination was meant to benefit consumers and that it had planned the move even before Netscape was formed.

1

The government will counter that Microsoft executives saw Netscape's browser as a mortal threat to the company's Windows monopoly. Prosecutors will cite alleged exclusionary deals with PC makers, Internet service providers and companies with popular Web sites.

The prosecutors will also cite Microsoft's dealings with Apple to try to show how far Mr. Gates was willing to go to crush Netscape and to stop another competing technology, the Internet-friendly Java software language made by Sun Microsystems Inc., which didn't need Windows to run.

1

Evidence in the case also suggests Mr. Gates directed an effort to "wrest control of Java from Sun" with a "polluted" Java version for Windows, the government plans to argue at the trial. "We are just proactively trying to put obstacles in Sun's path and get anyone who wants to write in Java to use J/Direct," the Windows version, an executive reported to Mr. Gates in a 1997 memo.

Table 8: Illustrative Analysis (continued)

The government will allege that Microsoft used a carrot-and-stick approach to prod Apple into bundling Microsoft's browser with its computers, including a threat to cancel customizing a crucial software program for Apple's Macintosh, called Microsoft Office. "The threat to cancel Mac Office 97 is certainly the strongest bargaining chip we have, as doing so would do a great deal of harm to Apple immediately," a Microsoft manager told Mr. Gates in a June 1997 e-mail.

Apple says its relationship with Microsoft "has produced a lot of great products for the Mac . . . and as partners we agree on many issues and disagree from time to time on others."

But evidence at the trial will reveal fissures in a partnership that the two companies announced with great fanfare last year, when Microsoft invested \$150 million in its longtime rival.

4

The government's evidence will likely raise questions about Microsoft's intentions. Prosecutors have an e-mail from a senior Microsoft manager to another executive that refers to a "conversation with billg last night." The Aug. 21, 1997, memo says **Mr. Gates's "top priority" was to get Apple to take Internet Explorer. "We should do whatever it takes to make this happen . . . bill was clear that the whole goal here is to keep apple and sun split," the e-mail says. "He doesn't care that much about being aligned with apple, he just wants them split from other potential allies."**

Tension between Microsoft and Apple over multimedia software is likely to come up at the trial as well. Federal investigators were allegedly told by Apple of two other attempts by Microsoft to keep Apple out of the Windows market before the Feb. 13 meeting with Mr. Tevanian at Hobee's. Prosecutors plan to use those accounts to show that the alleged market-division attempt with Netscape two years earlier was part of a pattern in which Microsoft tried to coerce smaller competitors.

1

The government also plans to claim that Microsoft deliberately inserted technical obstacles in Windows to thwart rival technologies, including Apple's QuickTime multimedia software. Mr. Gates was aware of the problem with QuickTime, prosecutors are expected to allege, because Apple's Mr. Tevanian complained that "Windows disables QuickTime" in an e-mail message to Mr. Gates on Aug. 8, 1997. "There is a perception that Microsoft is trying to lock out QuickTime from Windows," Mr. Tevanian wrote.

Mr. Gates, the government will allege, responded by writing to Microsoft executives after receiving Mr. Tevanian's e-mail that he wanted "to get as much mileage as possible out of our Java and browser relationship . . . do we have a clear plan on what we want Apple to do to undermine Sun?"

Microsoft's spokesman said the government is misrepresenting Mr. Gates's statements by disclosing "snippets of e-mail messages, taken out of context, to damage Microsoft's public image." The spokesman charged that the government is "trying this case in the public before we get to court, and when all the facts come out, people will reach a very different conclusion."

In addition, paragraphs 6 and 24 supported sub-category 4, i.e. high versus low quality leadership has a bigger impact on a firm than a favorable versus unfavorable business environment. The number of the sub-category (i.e. 4) was marked next to paragraphs 6 and 24 and in the table the number of the paragraph that had supported sub-category 4 was written in the paragraph column. Within the table, the number of the paragraphs that had supported sub-category 4 was written in the paragraph column. At times, a single sentence in the data could be matched to two sub-categories *in the same category*. However, a single sentence in the data could not be matched to two sub-categories *in a different category*. At the end, the researcher counted and recorded how many paragraphs supported a category. Six paragraphs supported the romance of leadership and no paragraphs supported Level 5 leadership. Therefore, the article supported the romance of leadership theory.

Qualitative analysis

The researcher attempted to reduce the data to manageable proportions to allow for the identification and extension of key issues and ideas, therefore, the following process was carried out systematically and rigorously (Eagle, 1998): first, the researcher attempted to identify clusters within the data. The researcher re-read the article several times using the right and left margins to note anything interesting or significant. Each sentence was scanned for its underlying meaning or meanings. The meanings were then recorded in the right or left hand column as a marker indicating that this particular meaning had been found in this particular sentence and so on. Second, the researcher attempted to create themes. This involved linking ideas or phrases of topics under sensible, encompassing notions, themes or motifs. Third, the researcher attempted to adjust and re-assess. In order to encompass the data, it was necessary for the researcher to adjust and re-assess these broad motifs or themes. The researcher listed all potential themes that seemed to capture the intuitive essence of the article and examined the connections between them and found key themes. These potential themes were documented in a table. In this article, the potential themes were business tactics and public image. The fourth phase was carried out once the researcher had analysed and had the themes from all the articles. In this phase, the researcher attempted to identify key trends. It was imperative to conduct a higher level analysis to identify and highlight key trends and links between themes. The researcher aimed to end up with trends that describe the essence of the data.

Results

Overall results within and across periods

This chapter sets out to present the findings of the data collected for this research. The researcher chose 2 positive (1990 & 2006) and 2 negative (1995 & 1998) events in Microsoft's history in order to reduce bias. The quantitative and qualitative results are discussed below.

Positive Period

Period 1 (1990)

Quantitative Results: The release of Windows 3.0 in 1990 sold around ten million copies in the first two years which cemented Microsoft's dominance in operating systems (Wallace, 1993). In period 1 (1990), there were 2 articles from the Wall Street Journal (2,996 words and 30 paragraphs). Microsoft was mentioned 35 times, Bill Gates 33 times and Microsoft as Gates or Gates as Microsoft 3 times.

2 (10%) articles and 14 paragraphs supported the Romance of Leadership and no articles but 2 paragraphs supported Level 5 Leadership, therefore, the Romance of Leadership dominated. Table 9 and 10 illustrate how many times a specific sub-category was supported by the articles within this period.

As a result, the following sub-categories equally dominated: sub-category 1, the quality of Bill Gates leadership is the single most important influence on the functioning, direction, development, impression or image of Microsoft. Sub-category 5, Microsoft is only as good or bad as Bill Gates or Bill Gates is Microsoft.

Qualitative Results: There were no recurrent themes that emerged in this period.

Table 9: Positive Period 1 (R-L)

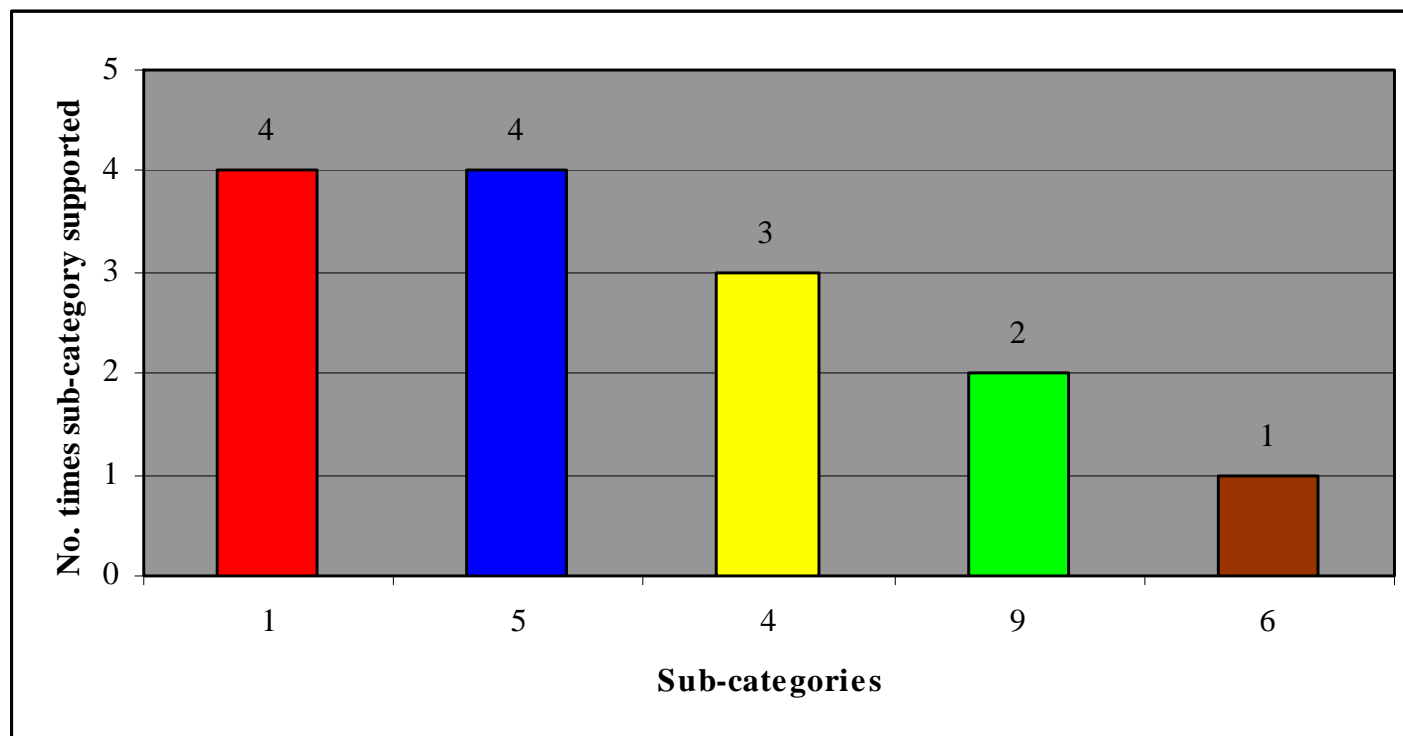
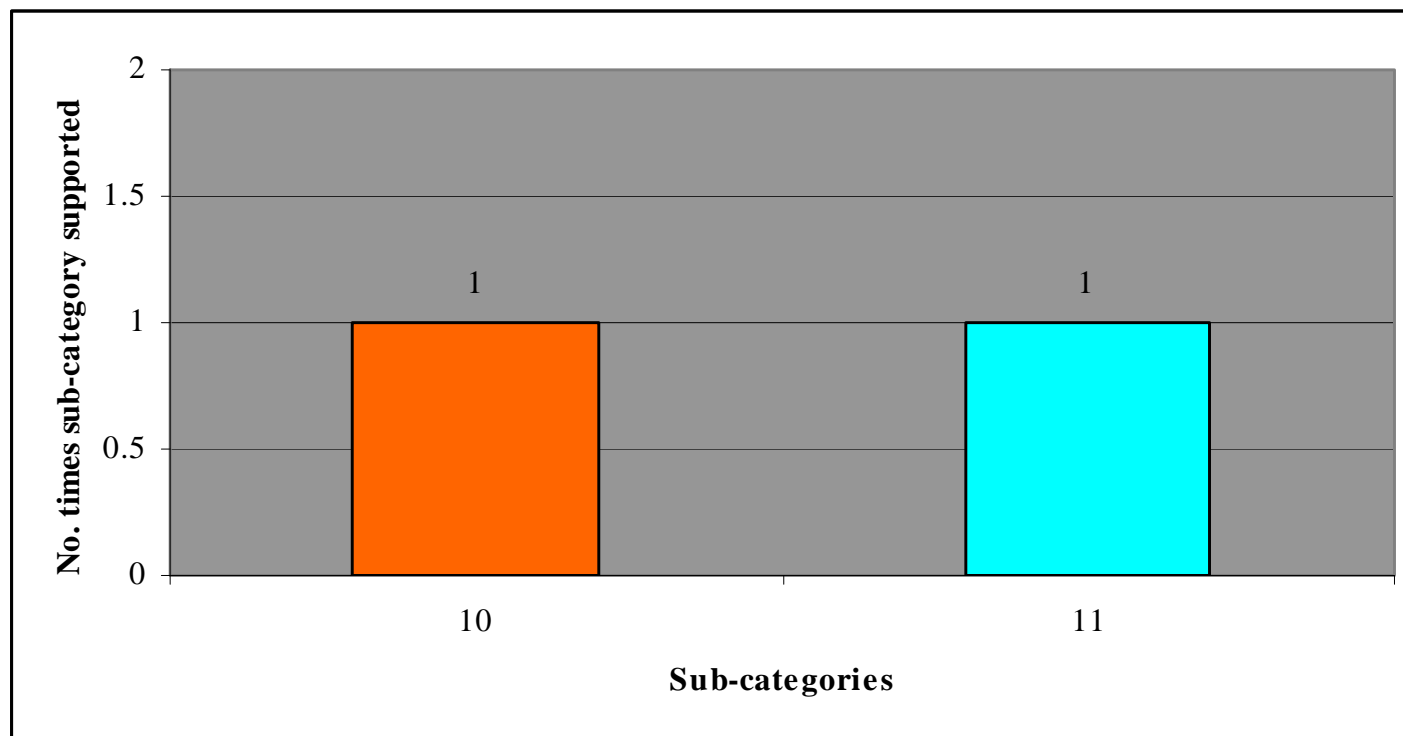


Table 10: Positive Period 1 (L-5)



Period 2 (2006)

Quantitative Results: On June 15 2006, Microsoft announced that effective July 2008, Gates will transition out of a day-to-day role in the company to spend more time on his global health and education work at the Bill & Melinda Gates Foundation. In this period, there were 27 articles in total (40,305 words and 477 paragraphs). 266 paragraphs came from the Wall Street Journal, 96 the Economist, 32 Fortune, and 83 Business Week. Microsoft was mentioned 258 times, software giant (Microsoft) was mentioned 4 times, the foundation 58 times, Microsoft as Bill or Bill as Microsoft 55 times (or Gates as foundation 2 times) and Bill Gates 219 times. When Gates was interviewed or authored an article, he mentioned 'we' 26 times and 'I' 61 times.

17 (80%) articles and 51 paragraphs supported the Romance of Leadership and 1 (0.4%) article and 6 paragraphs supported Level 5 Leadership, therefore, the Romance of Leadership dominated. 9 (4%) articles supported neither. Table 11 and 12 illustrate how many times a specific sub-category was supported by the articles within this period.

As a result, the following sub-categories dominated: sub-category 1, the quality of Bill Gates leadership is the single most important influence on the functioning, direction, development, impression or image of Microsoft. Sub-category 5, Microsoft is only as good or bad as Bill Gates or Bill Gates is Microsoft. Table 9 and Pie Chart 1 illustrate the themes and trends that emerged in 2006.

Qualitative Results: The trends that emerged in this period are Ability, Image, Philanthropy, Innovation, People, and Vision. See table 13 and Figure 4.

Table 11: Positive Period 2 (R-L)

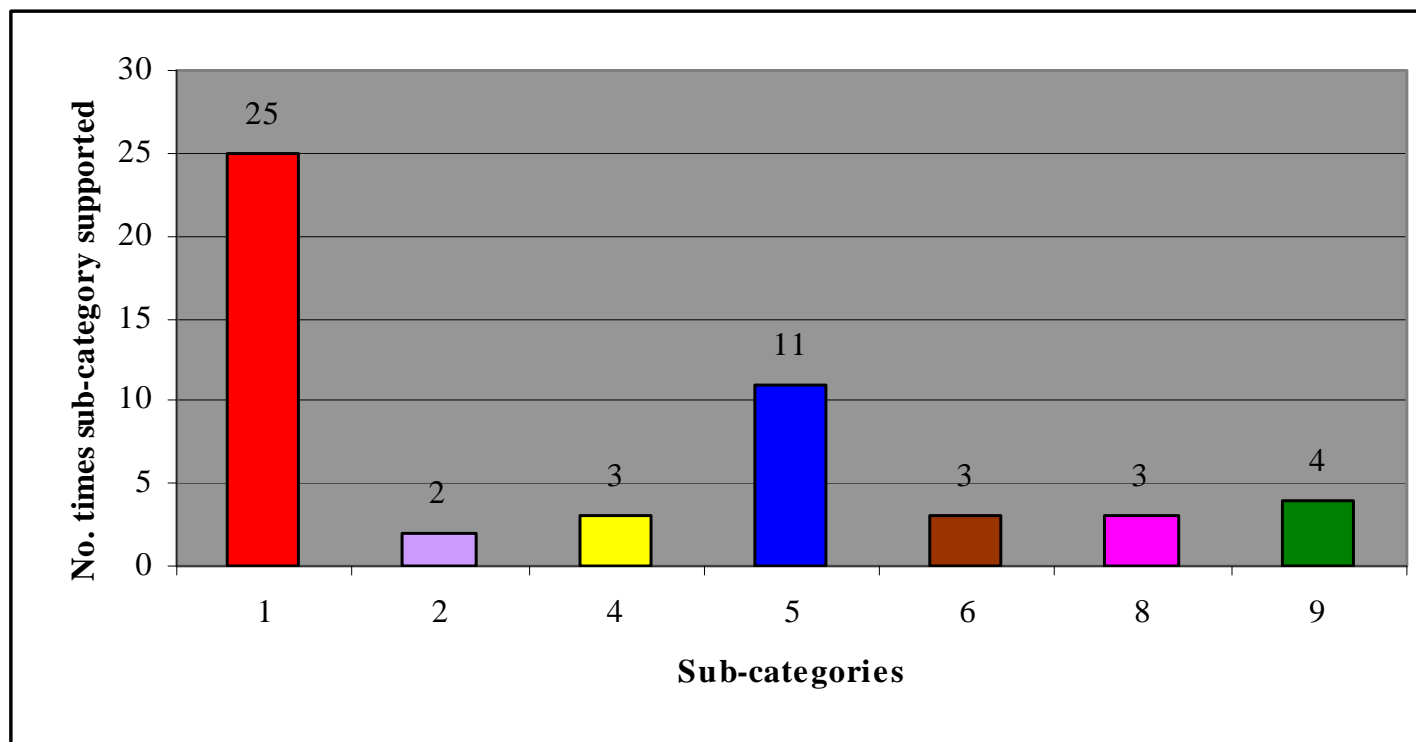


Table 12: Positive Period 2 (L-5)

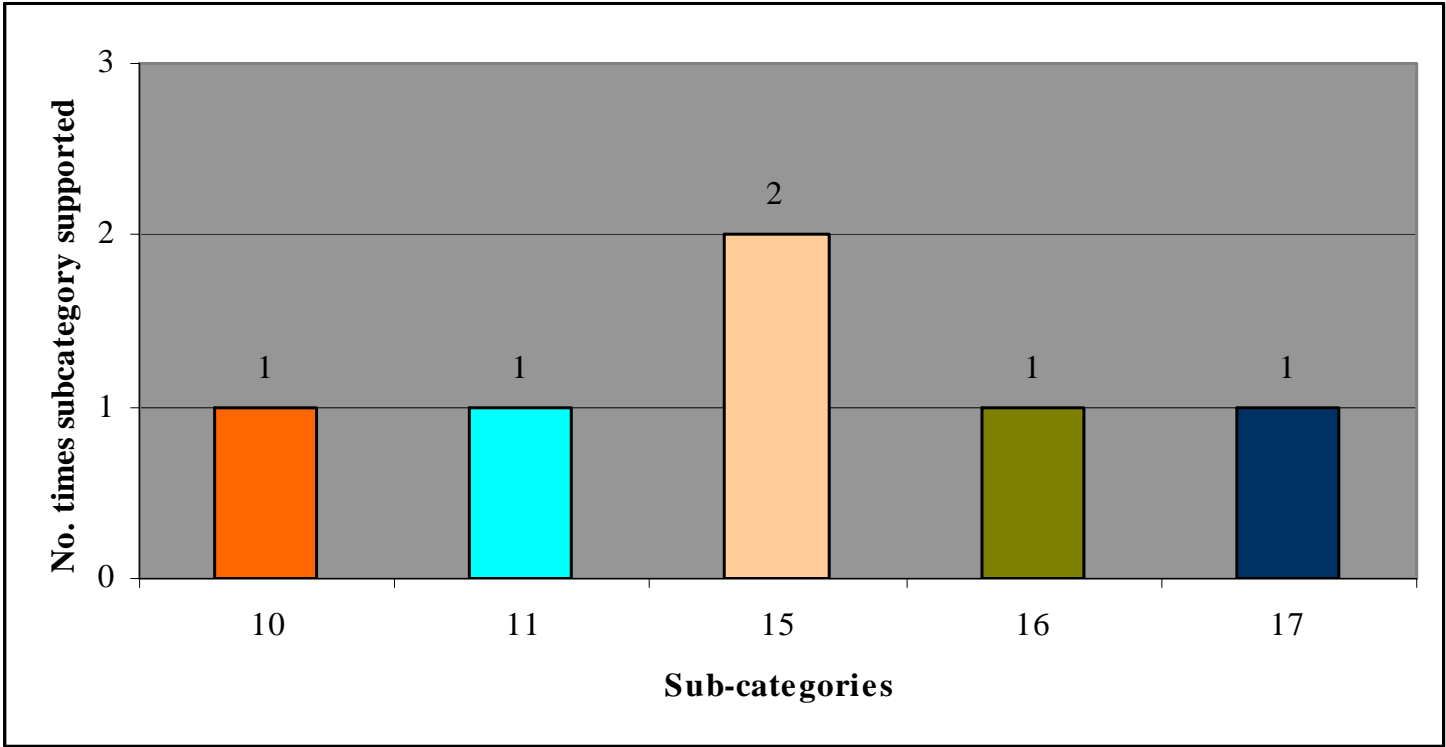
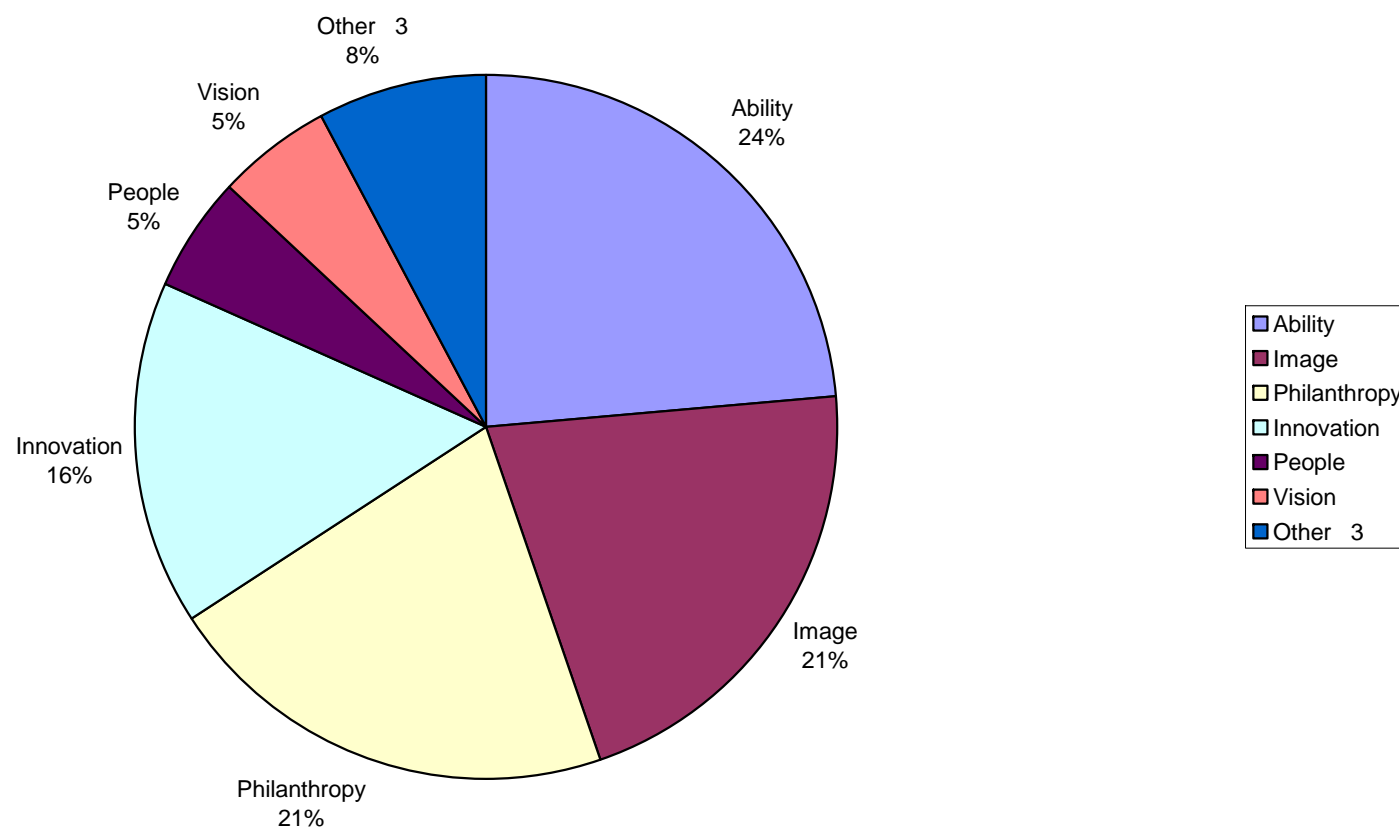


Table 13: Themes (rows) and Trends (columns) in 2006

Ability	Image	Philanthropy	Innovation	People	Vision	Other
(1) Intellectual property	(2) celebrity	(6) Global health and philanthropic dynasty	(6) innovation	(1) Competitive weapons	(2) vision	(1) impact
(3) Intellectual people, smart geeks. Brainpower	(3) Reputation	(1) Super NGO		(1) Teams		(1) influence
(1) Knowledge	(1) Financial figure	(1) Philanthro- capitalism				(1) greatness
(1) Learner	(1) Mythical CEO					
(1) Public education	(1) Gates as bare knuckle tactics					
(2) Talent						
(9) Total number articles	(8) Total number articles	(8) Total number articles	(6) Total number articles	(2) Total number articles	(2) Total number articles	(3) Total number articles

Figure 5: Trends in 2006



Negative Period

Period 1 (1995)

Quantitative Results: In 1995, the overdue launch of Windows 95 was one of the most written about events in commercial history (Dearlove, 1999). In period 1, there were 41 articles in total (59,382 words and 602 paragraphs), 17 of which came from the Wall Street Journal, 14 the Economist, 3 Forbes, and 7 Fortune. Microsoft was mentioned 556 (software giant 3 times) times, Bill Gates 283 ('we' 44 times and 'I' 51 times) times and Microsoft as Gates or Gates as Microsoft 12 times.

21 (10%) articles and 42 paragraphs supported the Romance of Leadership and 4 (10%) articles and 8 paragraphs supported Level 5 Leadership, therefore, the Romance of Leadership dominated. 18 (9%) articles supported neither. Table 14 and 15 illustrate how many times a specific sub-category was supported by the articles within this period.

As a result, the following sub-categories dominated: sub-category 1, the quality of Bill Gates leadership is the single most important influence on the functioning, direction, development, impression or image of Microsoft. Sub-category 5, Microsoft is only as good or bad as Bill Gates or Bill Gates is Microsoft.

Qualitative Results: The trends that emerged in this period are Power, Image, Innovation, Competition, Ability, Business Tactics, Vision, and People. See table 16 and figure 5.

Table 14: Negative Period 1 (R-L)

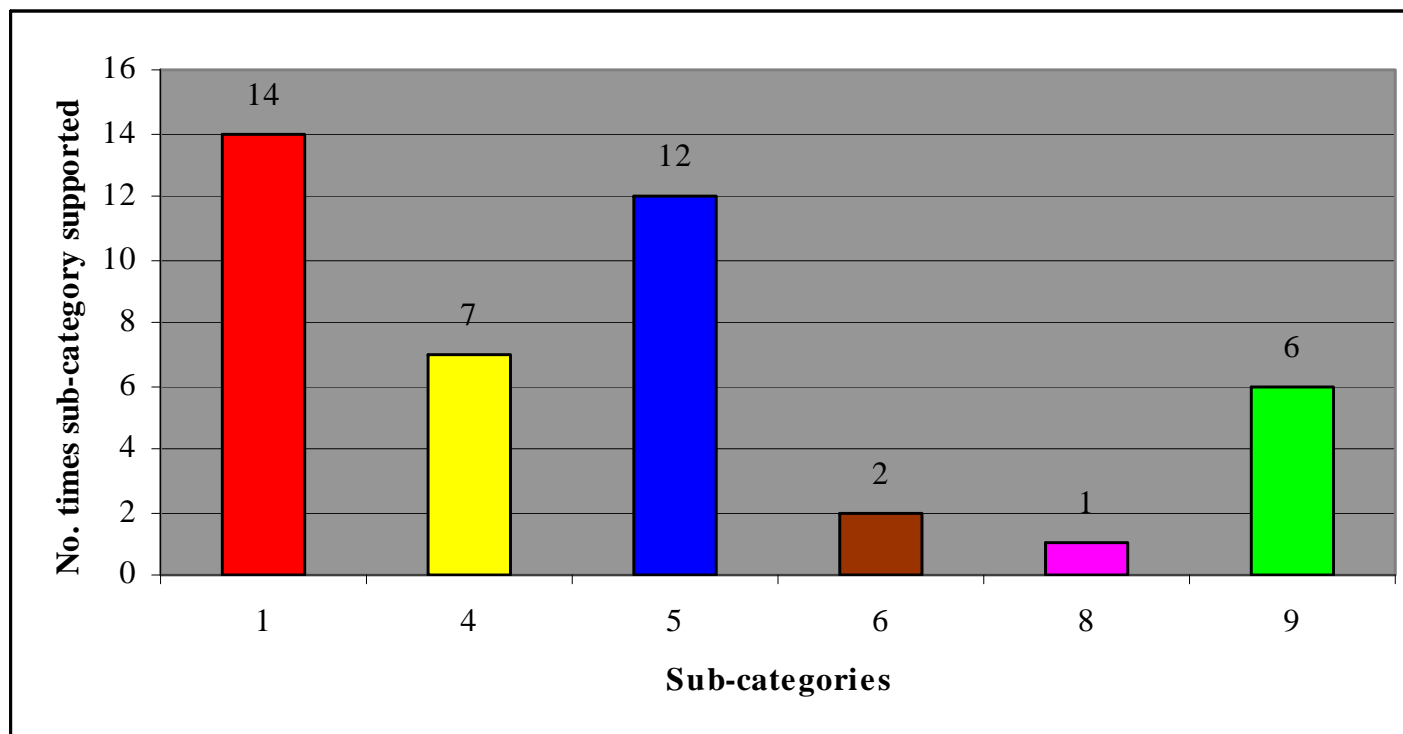


Table 15: Negative Period (L-5)

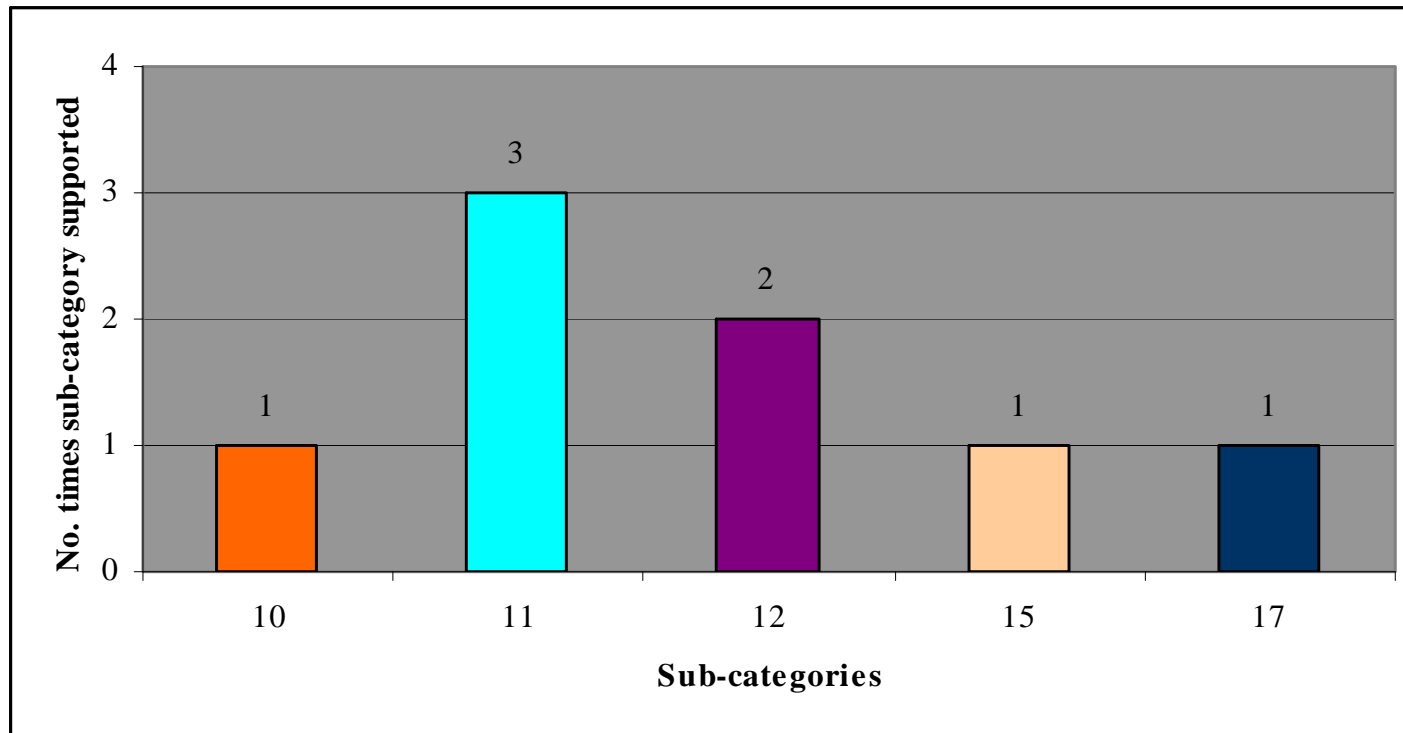
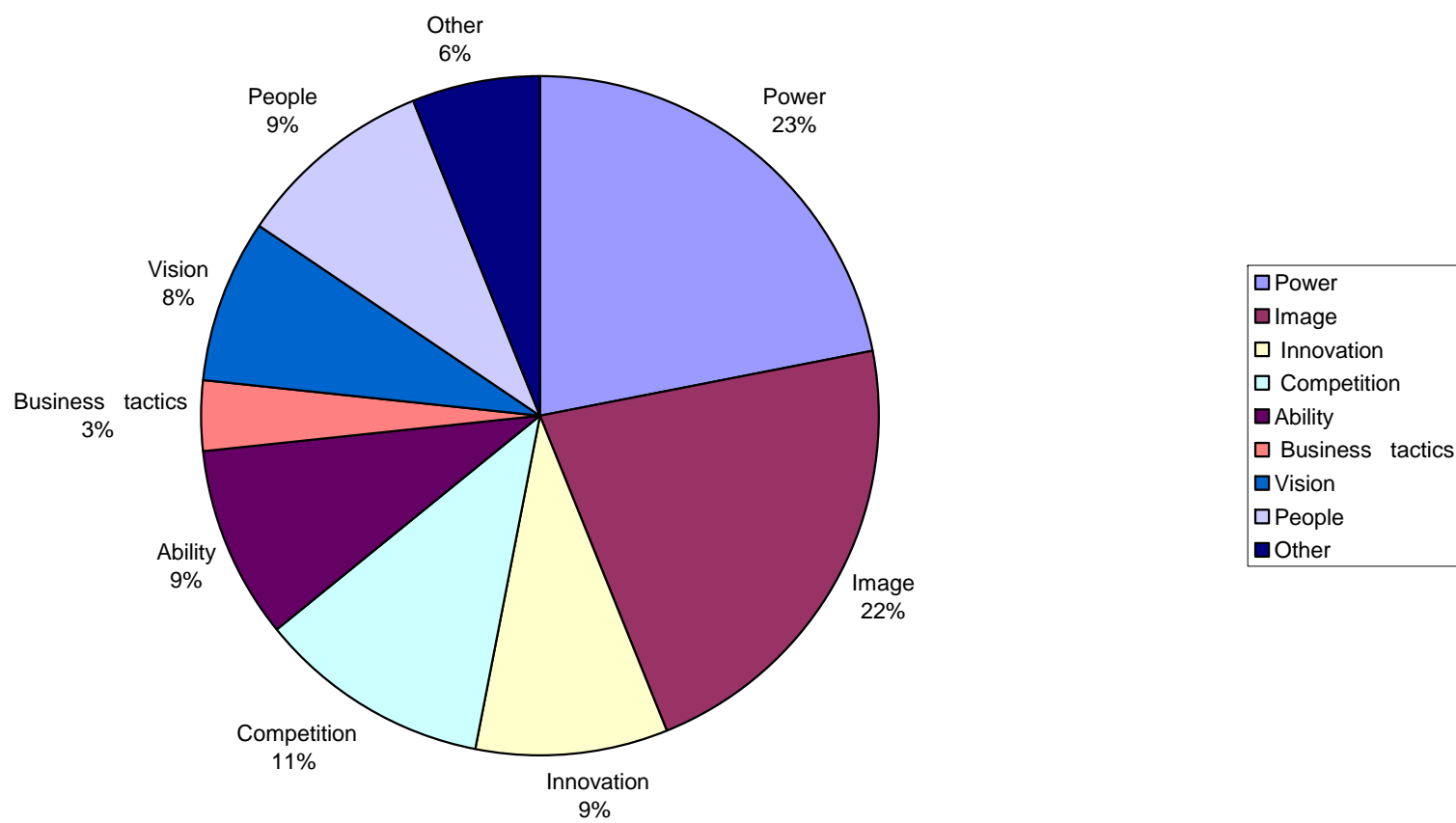


Table 16: Themes (rows) and Trends (columns) in 1995

Power	Image	Innovation	Competition	Ability	Business tactics	Vision	People	Other
(5) Monopoly	(6) Reputation	(6) Innovation	(7) Competition	(3) Talent as Leader-ship	(2) Unfair & predatory tactics	(5) vision	(4) Smart people	(1) Culture
(1) Control	(1) Impression management			(1) Intellect			(2) Small teams	(1) Attention seeking behaviour.
(1) Dominance	(1) Credibility			(1) Good ideas				(1) Greatness
(6) Power	(3) Image (+pope) Gates as: Ultracompetitive, Hyper focused, Never satisfied, Life is school, Precocious kid, big ideas, role model, sugar daddy Lucky creep			(1) Brain-power				(1) Entrep- reneur- ship
(1) Balance of power	(3) Gates As: Bundle contradictions., curious, sharp mind intellect arrogant, competitive, epitome of American Entrepreneurs, force for progress, robber baron.							(1) Moores law
(14) Total number articles	(14) Total number articles	(6) Total number articles	(7) Total number articles	(6) Total number articles	(2) Total number articles	(5) Total number articles	(6) Total number articles	(4) Total number articles

Figure 6: Trends in 1995



Period 2 (1998)

Quantitative Results: The United States versus Microsoft case took place in 1998. In period 2, there were 131 articles in total (171,332 words and 2102 paragraphs), 63 of which came from the Wall Street Journal, 17 the Economist, 12 Forbes, 15 Fortune, 24 Business Week. Microsoft was mentioned 2850 (software giant 33 times) times, Bill Gates 669 times ('we' 122 times and 'I' 42) times and Microsoft as Bill or Bill as Microsoft 69 times.

74 (37%) articles and 146 paragraphs supported the Romance of Leadership and 13 (6%) articles and 39 paragraphs supported Level 5 Leadership, therefore, the Romance of Leadership dominated. 46 (23%) articles supported neither. Table 17 and 18 illustrate how many times a specific sub-category was supported by the articles within this period. Table 17 and 18 illustrate how many times a specific sub-category was supported by the articles within this period. Table 11 and pie chart 3 illustrates the themes and trends that emerged in 2006.

As a result, the following sub-categories dominated: sub-category 1, the quality of Bill Gates leadership is the single most important influence on the functioning, direction, development, impression or image of Microsoft. Sub-category 5, Microsoft is only as good or bad as Bill Gates or Bill Gates is Microsoft.

Qualitative Results: The trends that emerged in this period are Power, Image, Innovation, Competition, Ability, Business Tactics, Vision, and People. See table 19 and figure 6.

Table 17: Negative Period 2 (R-L)

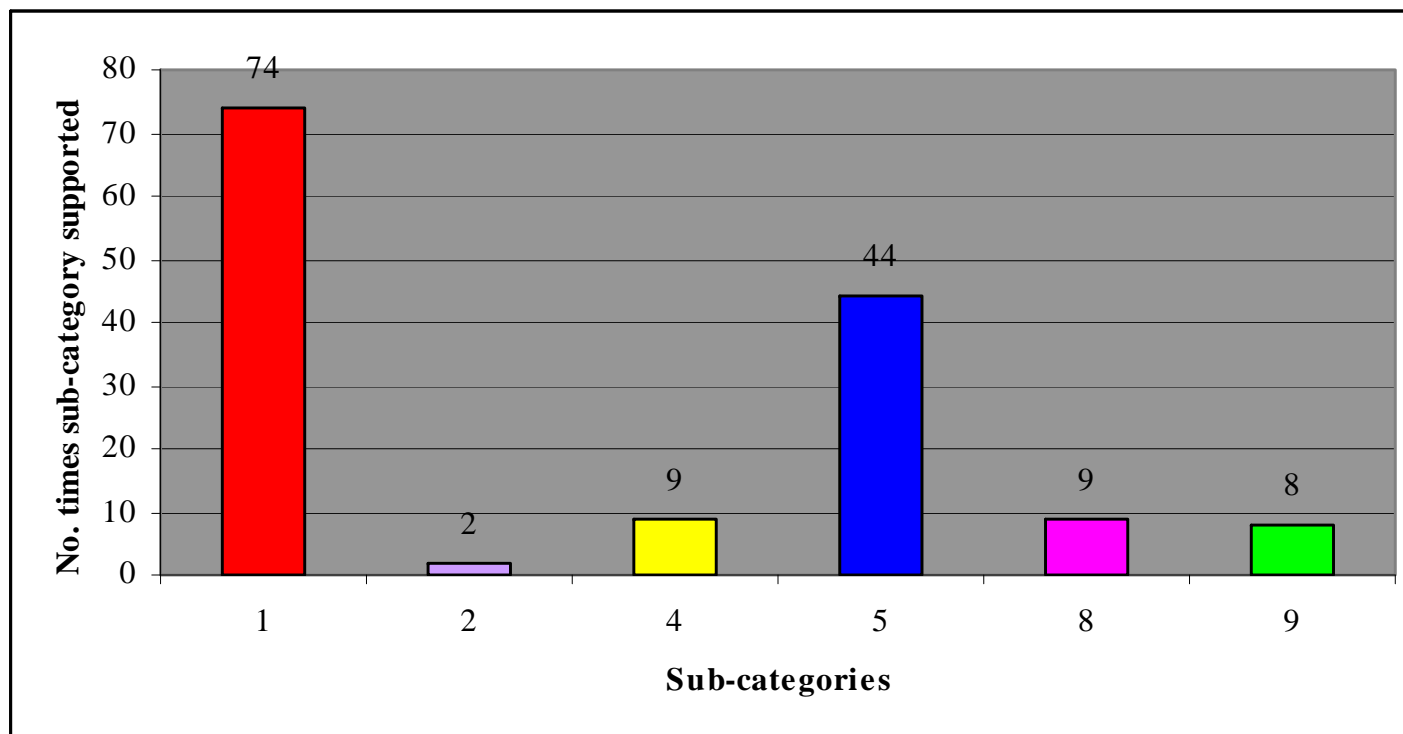


Table 18: Negative Period 2 (L-5)

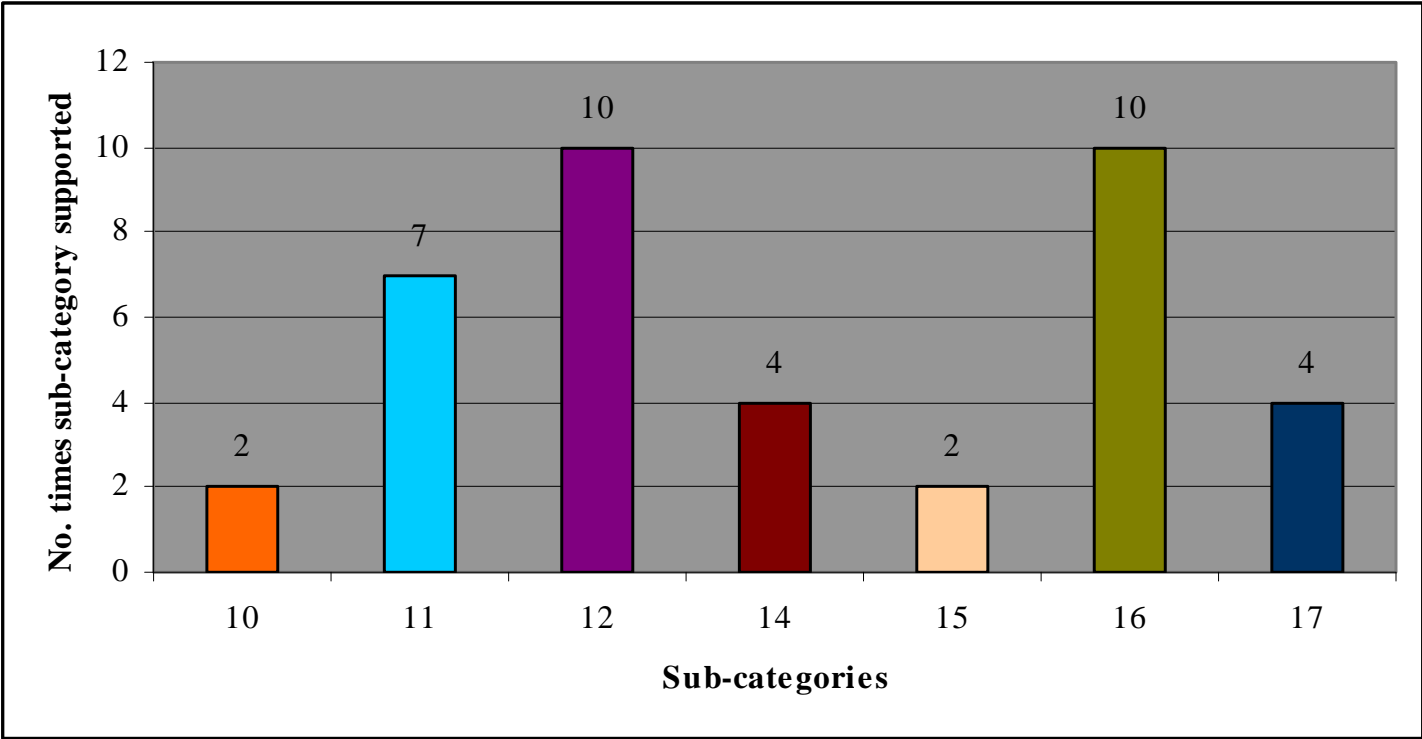


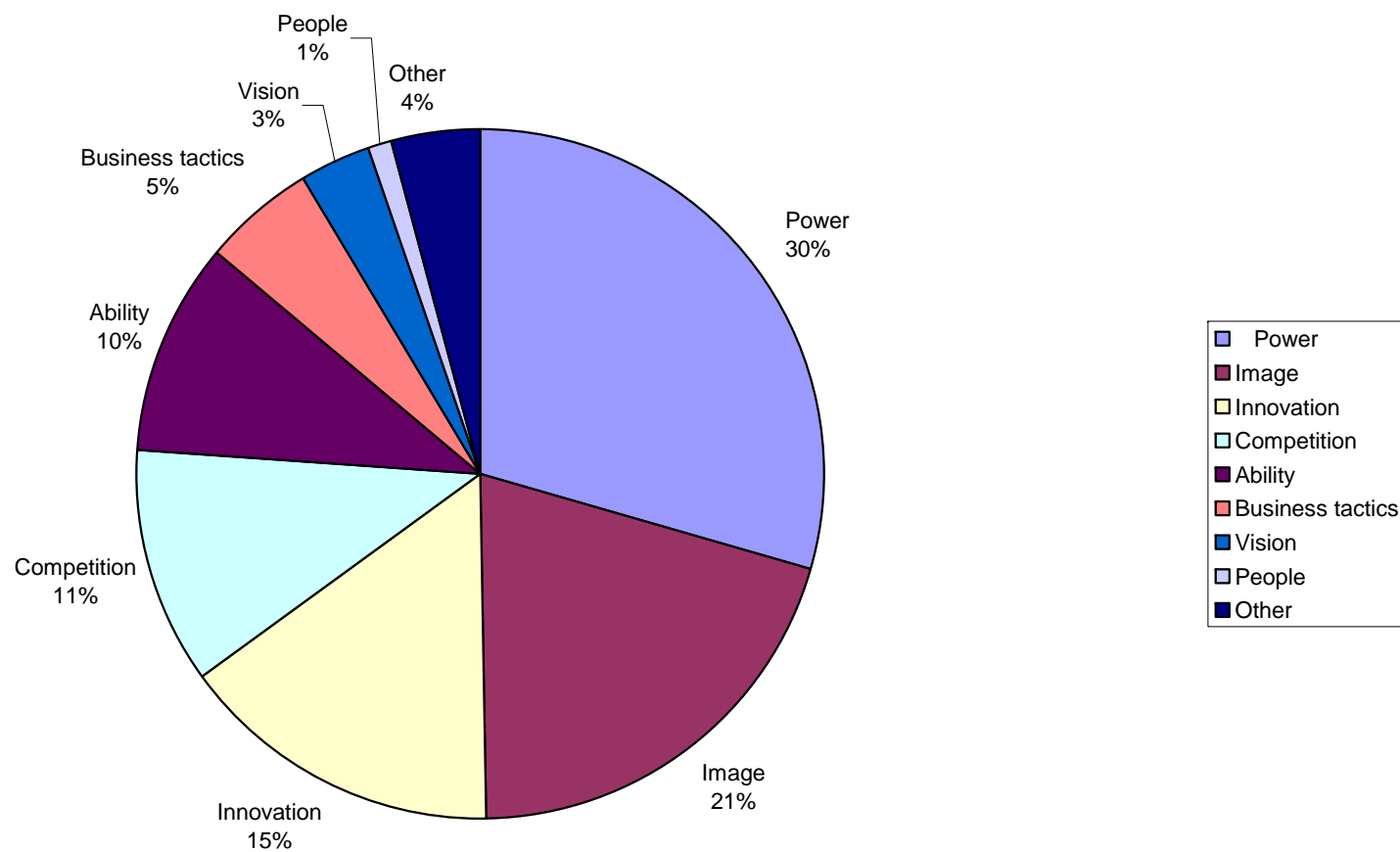
Table 19: Themes (rows) and Trends (columns) in 1998

Power	Image	Innovation	Competition	Ability	Business tactics	Vision	People	Other
(29) Power	(3) reputation	(31) Innovation	(29) Competition	(17) Brainpower Intellectual capital New ideas Intellect	(14) As ruthless, bully, Manipulative	(8) vision	(1) Recruitment. Smart people.	(1) Entrepreneurial
(33) Monopoly power	(8) Bill as: aloof, smart, rich, buddy vocalist, boyish,	(2) improvement		(3) Skills			(2) Small/great teams	(1) Influence.
(3) Dominance	(8) Gates as: ambitious, nerdy, personable witty, uncaring technocrat	(3) Improve lives		(6) Great software				(1) Facts
(2) Control	(8) Bill image: robber baron, brand bill, genius, overgrown schoolyard bully, boy genius, neurotic, hero most successful boy boomer	(1) Innovation =revolution. Improvement= change= perfection						(2) Integrity
(1) Money	(8) Gates as Hyper-competitive (image).	(2) Improvement						(1) Incentives
(1) Economy	(1) MS image as bully, killer of competition, hurt innovation and threat to free market.							(1) Attention seeking behaviour.

Table 19: Themes (rows) and Trends (columns) in 1998 (continued)

(1) Market power	(1) MS image (manipulative) innovation							(1) Greatness
(1) Control	(1) MS image as big bad bully and gates as bully in chief.							(1) Entrepreneur vs bureaucrats
(1) Cash strategy	(1) Fear of MS & Gates. Ms as arrogant							(1) Chaos theory
(1) Wealth	(1) Appearance							(1) Curiosity
(3) Aggression	(7) Credibility							(1) Friction free capitalism
	(1) PR vs substance							
	(1) Personal attacks							
	(1) Gatesians' reputation							
	(1) disrespectful, egotistical Arrogance							
(76) Total number articles	(53) Total number articles	(39) Total number articles	(29) Total number articles	(26) Total number articles	(14) Total number articles	(8) Total number articles	(3) Total number articles	(11) Total number articles

Figure 7: Trends in 1998



Summary

Quantitative Results: The sample consisted of 201 articles (27,4015 words and 3,194 paragraphs) of which 95 came from the Wall Street Journal, 39 the Economist, 15 Forbes, 24 Fortune and 28 Business Week. Microsoft was mentioned 3,727 times, Bill Gates 1204 times and Microsoft as Gates or Gates as Microsoft 135 times. See table 24.

With regard to the categories, 114 (57%) articles supported the Romance of Leadership theory and 18 (9%) articles supported Level 5 Leadership theory, therefore, based on the category count, the Romance of Leadership theory dominated. 69 (34%) articles supported neither. This information is illustrated in table 20 and figure 7.

As a result, sub-categories 1 and 5 dominated: sub-category 1, the quality of Bill Gates' leadership is the single most important influence on the functioning, direction, development, impression or image of Microsoft. Sub-category 5, Microsoft is only as good or bad as Bill Gates or Bill Gates is Microsoft. See table 21 and 22.

Qualitative Results: The trends that emerged in the positive and negative period are Power, Image, Innovation, Competition, Ability, Business Tactics, Vision, People and Philanthropy (See table 16).

90 (27%) articles supported Power, 76 (23%) articles supported Image, 53 (15%) articles supported Innovation, 36 (10%) articles supported Competition, 35 (10%) articles supported Ability, 17 (5%) articles supported Business Tactics, 18 (5%) articles supported Vision, 12 (3%) articles supported People and 8 (2%) articles supported Philanthropy. This information is illustrated in figure 5.

Table 20: Categories - Negative and Positive Periods

Theories	Positive Period	Negative Period	No. Articles
The Romance of Leadership	19	95	114
Level 5 Leadership	1	17	18
Neither	9	64	69
Total	27	174	201

Figure 8: Categories - Negative and Positive Periods

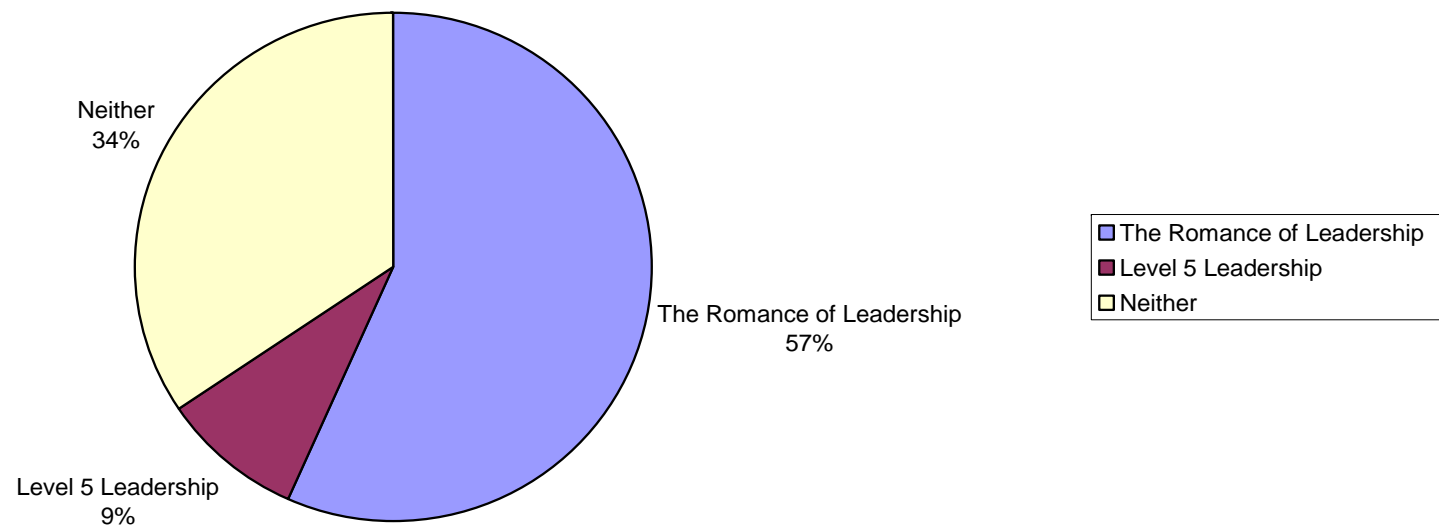


Table 21: Sub-categories - Negative and Positive Periods (R-L & L-5)

Category	Sub-category	Positive Period	Negative Period	No. articles
R-L	1	29	88	117
R-L	5	15	56	71
R-L	4	6	16	22
R-L	9	4	14	18
R-L	8	3	10	13
L-5	11	2	10	12
L-5	12	0	12	12
L-5	16	1	10	11
R-L	6	4	2	6
L-5	17	1	5	6
L-5	10	2	3	5
L-5	15	2	3	5
L-5	14	0	4	4
R-L	2	2	2	4
R-L&L-5	3, 7, 13	0	0	0

Table 22: Sub-categories - Negative and Positive Periods (R-L & L-5)

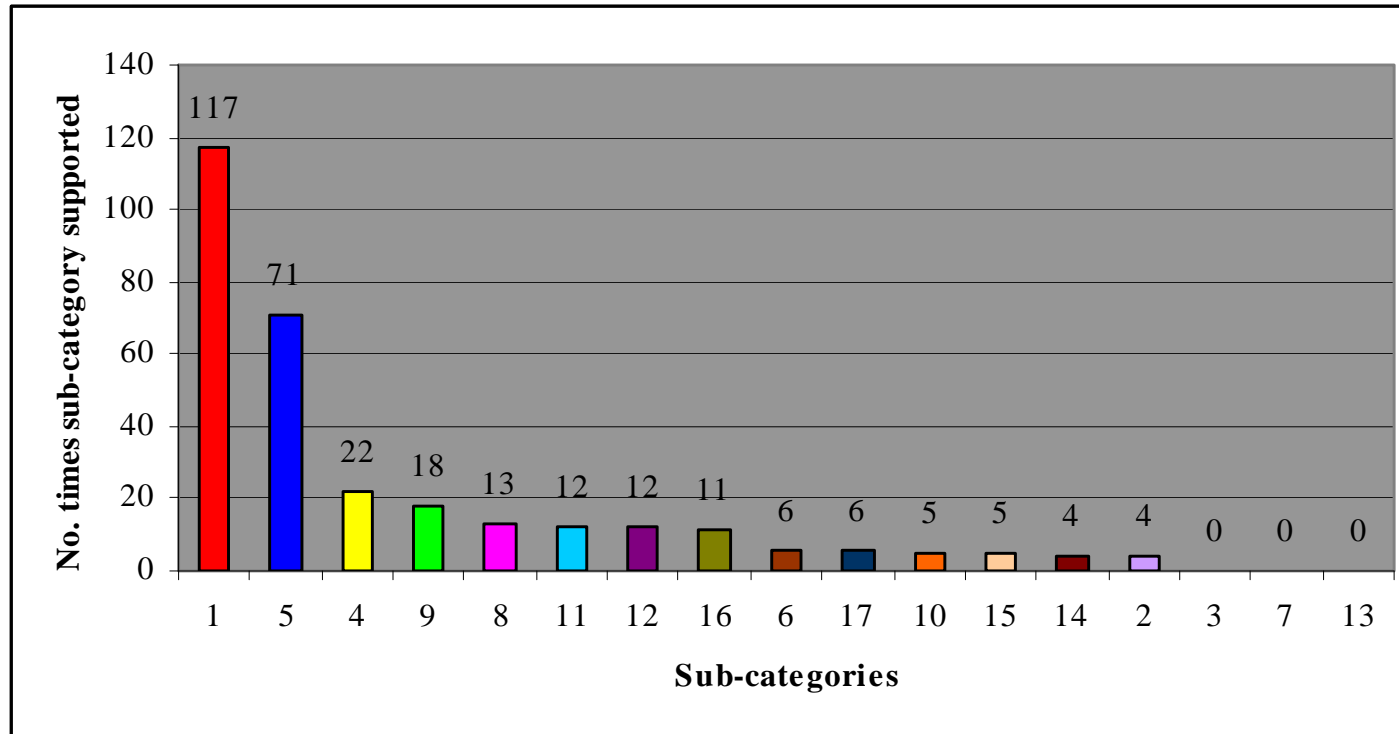


Table 23: Trends - Negative and Positive Periods

Trends	Positive Period	Negative Period	No. articles
Power	4	88	90
Image	8	68	76
Innovation	6	47	53
Competition	0	36	36
Ability	9	26	35
Business Tactics	1	16	17
Vision	2	16	18
People	2	9	12
Philanthropy	8	0	8
Total	40	306	345

Figure 9: Trends - Negative and Positive Periods

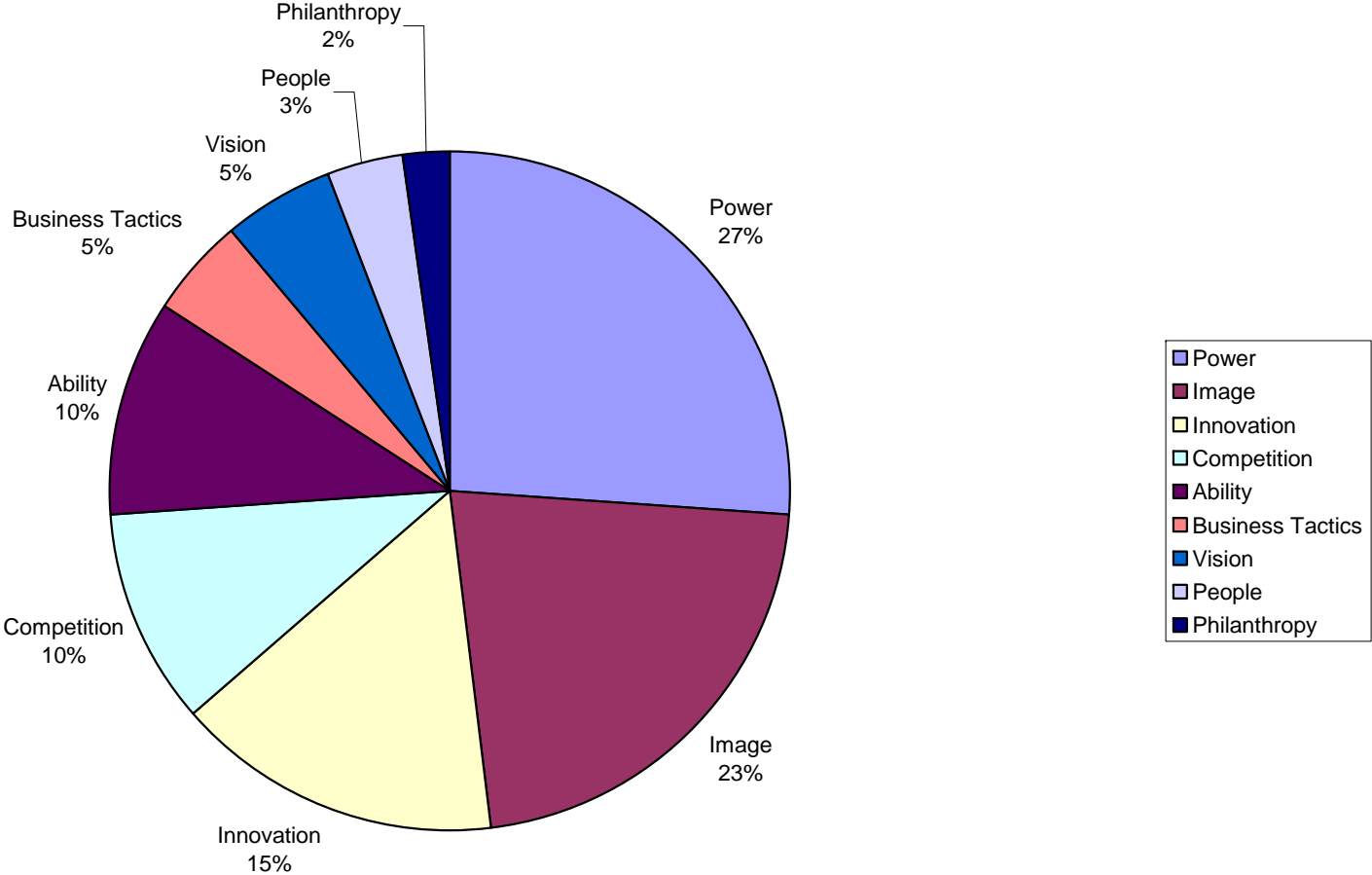


Table 24: Summary of Results

Newspaper	Date	Total # of articles	Total # of words	Total # of parag	# of times Microsoft & Bill Gates were Mentioned			Sub-category (paragraph) Classification																	Category (article) Classification			
								The Romance of Leadership (243)									Level 5 Leadership (55)											
					MS	Bill	M/B	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	R	L	N	
W.S.J	1990	2	2996	30	35	33	3	4				3	4	1			2	1	2							2	0	0
W.S.J	1995	17	18543	231	171	48 We9	8	4				5	9	1		1	2		1	2			1		1	9	2	7
W.S.J	1998	63	74522	1034	1531 G22	265 We14	51	30	1			6	14			4	5	2	4	3		1	1	3		37	7	21
W.S.J (95)	2006	13	19323	266	170 F25 G4	107	22 F1 I3 We18	15	2			2	5	2		2	4						2			9	0	4
Economist	1995	14	13855	156	170 S3	76	4	7				1	3				2	1	1							7	1	7
Economist	1998	17	19143	203	290 S3	57	3	5					3				2									8	0	9
Economist (39)	2006	8	10235	96	37 F22	60	4	4					2	1		1										4	0	4
Forbes	1995	3	11742	35	9	12	0					1					1									2	0	1
Forbes (15)	1998	12	8879	226	160 G1	57 I6 We5	3	15					12			4	1		1	1		1		1		7	1	4
Fortune	1995	7	15242	180	206	147 I4 We35	0	3						1			1		1							3	1	3
Fortune	1998	15	33702	283	337 G1	138 I27 We42	4	11	1				6			1			1	1				2	4	9	1	5
Fortune (24)	2006	2	3760	32	16 F9	9 I58 We8	0	2				1												1		1	0	1
Business Week	1998	24	35086	356	532	152	8	13				3	9						1	4		2	1	4		13	4	7

Table 24: Summary of Results (continued)

					G6	I9 We61																					
Business Week (28)	2006	4	6987	83	35 F2	43	11	4				4				1	1					1		3	1	0	
Grand Total		201	274015	3194	3727	1204	135	107	4		2 2	71	6		13	20	5	13	11		4	5	11	6	114	18	69

In summary, once the 201 newspaper articles were randomly selected, the researcher analysed the content via 17 sub-categories and the evidence was reduced, summarized and patterns within evidence were plumbed for meaning. In the positive period, sub-category 1 and 5 dominated. Four trends were extracted: Ability, Image, Philanthropy and Innovation constituting altogether 82 percent of the total propositions. Ability was the most salient trend. In the negative period, sub-categories 1 and 5 dominated. Five trends were extracted: Power, Image, Ability, Innovation and Competition constituting altogether 85 percent of the total propositions. Power and Image were the most salient trends. This research study resulted in a follower-centric, non-traditional recognition of leadership as it has provided clear support for the romance of leadership model, hence strengthening the romance of leadership theory and the follower-centric view of leadership. The next section (Chapter 7) discusses which theory is more compatible with the data. Conceptual and methodological reasons for the findings are then offered, followed by a discussion of the limitations and some theoretical and practical implications. Finally, future considerations for research are suggested.

Chapter Seven: Discussion

Discussion of Results

The aim of the research study is to examine whether a recent historical profile of publicity given to a prominent Level 5 leader lends itself to a romance of leadership interpretation. In this chapter, the research question will be examined in order to establish whether it has been answered. Furthermore, an overview of results are discussed and contextualized in terms of previous literature to describe the consistencies, the inconsistencies and any new issues that come out of the analysis. Reliability and validity of the results will then be examined. Any theoretical and practical implications of the results will be outlined, followed by a discussion of the limitations of the study. Finally, some suggestions for future research are offered.

There were two overriding theories in the present research, which took the form of opposing perspectives of leadership. The first theory addressed anti-determinist /traditional leadership perceptions as opposed to leadership attributions by followers. For the anti-determinist, the principal significance of leaders lies in their “substantive actions and activities, which effectively isolate their firms from the vagaries of environment or use environment to the advantages of their firms, or both, in direct proportion to their abilities and skills” (Chen & Meindl, 1991. p. 14). In order to address this debate, Level 5 leadership represented traditional leadership theories which emphasise the thoughts, actions, and persona of leadership over these followers. From this leader-centric perspective, the followers have been viewed as recipients or moderators of the leader's influence, and as vehicles for the actualization of the leader's vision, mission or goals.

The second theory addressed non-traditional/ determinist leadership perceptions. For the determinist, leadership's role is largely symbolic, aimed at preserving among important constituencies the illusion of a more anti-deterministic world and continued support for the leaders' stewardships (Salancik & Meindl, 1984). In order to address this debate, the romance of leadership represented non-traditional leadership theories which posit that leadership is a phenomenon constructed in the minds of followers and is used to explain organisational events, even when other factors may be responsible. The romance of leadership theory offers a follower-centric approach that views both leadership and its consequences as largely constructed by followers and hence, influenced by followers' cognitive processes and inter-follower social influence processes (Meindl, 1985).

Overview of Results

During the positive period 1, the following sub-categories dominated: sub-category 1, the quality of Bill Gates' leadership is the single most important influence on the functioning, direction, development, impression or image of Microsoft and sub-category 5, Microsoft is

only as good or bad as Bill Gates or Bill Gates is Microsoft. No themes were extracted. During the positive period 2, sub-categories 1 and 5 once again dominated. Six themes were extracted, as shown in Table 9. Those trends that had an above-average frequency of references (16%) were Ability, Image, Philanthropy and Innovation, constituting altogether 82 percent of the total propositions in period 2. All trends were positive and complemented each other. Ability, which denoted people's talent and intelligence, was the most salient trend.

During the negative period 1, sub-categories 1 and 5 once again dominated. Eight themes were extracted, as shown in Table 10. Those trends that had an above-average frequency of references (10%) were Power, Image, Innovation, Competition, and Ability, constituting altogether, 85 percent of the total propositions in period 1. Most of the trends were negative but they all complemented each other. Power, which denoted monopoly power, control and dominance and Image which denoted reputation and credibility were the most salient trends. During the negative period 2, sub-categories 1 and 5 once again dominated. Eight themes were extracted. Those trends that had an above-average frequency of references (10%) were Power, Image, Innovation, Competition and Ability, constituting altogether, 86 percent of the total propositions. Most of the trends were negative, but they all complemented each other. Power which denoted monopoly power, control, money, aggression and dominance was the most salient theme. See Appendix 4 for a sample listing of some of the thematic expressions for all periods.

Comparison of results with research question

The aim of the study was to answer the following research question: does a recent historical profile of publicity given to a prominent Level 5 leader lend itself to a romance of leadership interpretation? Having reviewed the results, the answer to the research question is yes, a recent historical profile of publicity given to a prominent Level 5 leader (Bill Gates) *does* lend itself to a romance of leadership interpretation. This is verified by the following results: 57% of the sample supported the romance of leadership, 9% supported Level 5 leadership and 34 % supported neither the romance of leadership nor Level 5 leadership. The discussion will begin with the romance of leadership theory, then Level 5 leadership theory, followed by a discussion of the themes and trends.

The literature indicates that different definitions should be perceived as different approaches to what is a highly complex behavioural pattern (Yukl, 1989) and by considering leadership as a combination of these definitions, one may gain a general understanding of leadership as a complex construct. The results indicate that leadership is, the focus of group processes, a matter of inducing compliance, as the exercise of influence, as a form of persuasion, as a power relation, as an instrument to achieve goals, as an effect of interaction, as a differentiated [and specialised] role, as initiation of structure" (Bass 1990, p. 11) a process of

creating a vision (Hellriegel, Slown & Woodman, 1989), taking responsibility for learning (Senge, 1990), as an image construction, as being innovative, competitive and possessing ability, as an attribution and a social construction (Meindl, 1990) and as a myth of the individual control (Lagace, 2002).

The Romance of Leadership

In dissertations published between 1929 and 1979, Meindl et al., (1985) found a significant correlation between an interest in leadership and hard or good times in the economy. Similarly, in this research study, there was a significantly higher interest in Bill Gates and Microsoft during the negative or hard period (620 hits) than in the positive or good period (164 hits). Those sub-categories that had an above-average frequency (6 %) were 1, 5, 4, 9, and 8 constituting altogether 79 percent of the total propositions. These sub-categories will be discussed in more detail.

58% of articles supported sub-category 1, which postulates that the quality of Bill Gates leadership is the single most important influence on the functioning, direction, development, impression or image of Microsoft, implying that people attribute Microsoft's events and occurrences to Gates' leadership. This is consistent with the attribution theory. According to Meindl & Ehrlich, (1988) leadership is an explanatory category, an attribution, used by observers and participants to make sense of and give meaning to organisational events and occurrences.

The following is a list of supporting quotations: Zachary (1990, para 4) stated that "He [Bill Gates] manages to motivate employees and provoke a flow of ideas even though he often harshly criticizes workers face to face." Furthermore, Philippe (1995, para 7) stated that "some say that Microsoft is like a government that has been democratically elected but is now tempted to take advantage of its position of power. Mr. Gates, prove these critics wrong. Use your position of leadership to foster industry practices that will help the software industry grow to its next stage of maturity, assuring our customers that the software industry will remain fair and competitive for decades to come." Carlo De Benedetti, chairman of Ing. Olivetti & C., (Anonymous, 1995. para 8) said, "Bill Gates? I wish I were him, for his age, his success, for the fact that he created a world-wide phenomenon. Not to mention his net worth." In one article, it was mentioned that "when [Bill Gates] was young, [he] wanted to be an economist, in a sense, he became one anyway. Microsoft is not a success because Mr. Gates is a good prophet or even a good programmer but because of his grasp of the economics of information, where digital copying and computer networks push manufacturing and distribution costs close to zero. He understood early on that in a new high-tech market, consumers seek security by flocking to the products of the market leader. Market share, he realised, was everything. So in his very first deal with IBM, to supply an operating system for the firm's personal computer, he charged a low initial fee on the condition that he would get

revenues from each sale, and the right to license the product to other manufacturers” (Anonymous, 1995, para 12). Furthermore, it was stated that “Mr Gates dominates his company as few men do. The reporting structure is flat, he controls every detail. For the bright, aggressive, relentlessly striving people who work for him ‘face-time with Bill’ is everything” (Anonymous, 1998, para 17).

35% of the articles supported sub-category 5, which postulates that Microsoft is only as good or bad as Bill Gates. Implying that Bill Gates is Microsoft, therefore, this sub-category is supported by the attributional process of leadership which assumes a romanticised larger-than-life role, “the epic battle between Mr. Gates and the U.S. government has its unseemly aspects” (Murray, 1998, para 6). The attributional approach to leadership suggests that leadership is not a property of leaders but rather a personal attribution constructed by followers to explain behaviours or events believed to be representative of leaders (Calner, 1977; Kraus & Gemmill, 1990; Martinko & Gardner, 1987; Mitroff & Pondy, 1978).

The following are supporting quotations: Bank and Wilke (1998, para 8) advocated “that high profile means Mr. Gates is his company...Bill Gates is Microsoft...the character of the whole company is cloned in the form of this combative, young, arrogant leader...The court strategy, authorized by Mr. Gates personally, speaks reams about the company's self-image and psychology, which is synonymous with the personality of Mr. Gates. Its managers have learned to aggressively attack detractors and competitors inside, and outside, its high-tech world.” According to Guth and Clark (2006, para 13), “Mr. Gates is more than just an executive. He's really an extension of the brand.” Bank (1998) advocates that “Bill Gates personalizes all that power and wealth. That's dangerous. It's sort of a description of how to get in trouble.” Wilke and Gruley (1998, para 13) advocate that “it's too personal - it has become a case against Gates...It should be a case against anti-competitive behaviour by a company.” According to Angrist (1995, para 4), “Mr. Gates's book is about far more than poker playing. It's his vision of the future, especially how he believes people will use the ‘information highway.’ Is there any reason why we should pay attention to his views? Yes indeed. Since the mid-1970s, no one has had a clearer picture of how computing would evolve than Mr. Gates.” Rather than bullying rivals, “Mr. Gates often gains an edge simply by outlasting or outsmarting them” (Zachary, 1990, para 6). “Today, with the emphasis on dominance and winning through competition, Bill Gates, the genius behind Microsoft Corp., is the hero: young, successful, not to mention the richest man in America. Owning Windows 95 provides some kinship to him and with other elite computer whizzes. Vince Marckioni ...found the billionaire to be a refreshing computer nerd, who is fond of math and physics. Mr. Gates, he believes, is a humanitarian out to expand the human consciousness” (Bank, 1998, para 7).

11% supported sub-category 4, which postulates that high versus low quality leadership (i.e., Mr. Gates' characteristics, worth, merit, importance and innovativeness) has a bigger impact and influence on the functioning, direction, development, impression or image of Microsoft than a favorable versus unfavorable business environment. This sub-category can be understood in terms of the fundamental attributional error, which may cause observers, or followers, to overattribute organizational success and failure to leaders, while discounting external factors. Due to the need to make sense of complex organizational environments, people tend to attribute organizational outcomes to leaders (Meindl, Ehrlich, & Dukerich, 1985), especially when exposed to extreme situations, such as very high or low performance. The following is a list of supporting quotations: According to Kahn, (1995, para 7) Bill Gates "competed in the marketplace - and [he] did a very good job of it. [He] deserves credit for that. [He's] actually done such a great job at it that today Microsoft clearly dominates the software industry". Geyelin (1998, para 24) stated that Mr. Gates "steered his company to world-wide dominance in computer software." Furthermore, "some of Mr. Gates's rivals fear his competitive cunning, suspecting that he induced them to throw their resources into developing applications for OS/2 while he made hay producing Windows applications - and then improved Windows so much they couldn't ignore it. Software firms could "never be more leery than they already are" about Microsoft's intentions, says Jim Manzi, CEO of Lotus" (Zachary, 1990, para 19). "Mr. Gates tries to strike accords with most everyone of importance in the industry, making himself the focal point of most attempts to create standards for new computer technologies" (Zachary, 1990, para 6). Viveca (1995, para 8) advocates that Bill Gates, more than anyone else should understand the power that comes with controlling the operating system market. The above quotations are further supported by research conducted by Meindl et al., (1985).

Results showed that part of the mythology of leadership involves the idea that leaders are supposed to shape and control events, so that favorable outcomes tend to be naively interpreted as signs of their single-handed success in excising control over the environment, while unfavorable outcomes are sometimes mistakenly viewed as signs of complete inadequacy (Wenck, 2003). Furthermore, results showed that leadership attributions were preferred to alternative explanations for organisational performance (Meindl et al., 1985). Collectively, these studies revealed that participants attributed success or failure to leaders rather than to alternative explanations (such as economic conditions).

9% supported sub-category 9, which postulates that there is nothing as critical to the bottom-line performance (i.e. level of employees' productivity) of Microsoft as the attributes, characteristics, worth, merit, importance, innovativeness of Mr. Gates. This sub-category illustrates the attributional theories of leadership (e.g., Calder, 1977) which contend that leadership is overvalued, primarily as a result of certain attributional biases. The following is

a supporting quotation: Mr. Nielsen (in Bank, 1998, para 7) stated "My job is to make sure my piece of the pie is executed completely...We assume Bill will take care of the rest."

6% supported sub-category 8, which postulates that when Bill Gates is good, excellent, respectable, skillful, talented, smart, innovative, creates great software, Microsoft does well, when Bill Gates is bad, poor, average, flawed, creates useless software, Microsoft does poorly (i.e. profits, power, reputation negatively decrease). The following is a supporting quotation: Sam Miller (in Bank & Wilke, 1998, para 13) stated that "Bill Gates finally understood he made a huge strategic and public-relations blunder in the way the company tried to respond to the judge's order...It finally sank in that his arrogance backfired."

Level 5 Leadership

Those sub-categories that had an above-average frequency (6 percent) 11, 12 and 16 constituting altogether 11 percent of the total propositions will be discussed in detail. 6% of articles supported sub-category 11, which postulates that Bill Gates has an unwavering resolve to produce the best long-term results. The following is a list of supporting quotations: "Mr. Gates' long struggle to make Windows work reflects traits, not often combined in a business leader: technological vision, a love of crafty dealmaking and an obsessive, almost childlike personality, which drives him to seek every possible edge" (Zachary, 1990, para 23). Gates (1995; 1998, para 9) declared that "Microsoft's founding vision of 20 years ago was to have the PC become a valuable tool on every desk and in every home. Although there is an immense amount of work to do to make this a reality, I firmly believe this will happen...When Paul Allen and I founded Microsoft in 1975, we shared a common vision - to develop affordable, accessible software that would help consumers everywhere own a computer. And we knew that to make this vision a reality, we would have to listen to consumers and spend every day improving our products. We could never have guessed that our dedication to giving consumers what they want would one day lead us into a confrontation with the Department of Justice and 20 state attorneys general."

Furthermore, it was stated that Gates was both a paragon of industry and a ruthless predator, "as a young Harvard drop-out, he gladdened every nerd's heart by selling IBM a software system that his own tiny company, Microsoft, did not even own. That system, MS-DOS, sits at the heart of four-fifths of personal computers sold today. Mr. Gates has not yet learnt to relax. Ever spinning his schemes for domination of the software market (and much else besides), he has beautified MS-DOS by hiding it behind his company's Windows software; he has also built a commanding position in PC applications such as word-processors and spreadsheets. By effort, brilliance and a remorseless desire to win, Mr Gates has become not only the world's richest man (according to Forbes), but also a symbol of modern American business" (Anonymous, 1995, para 7). Gates (in Schlender, 1998, para 16) stated that "Some friends of mine and I talked about that a lot and decided that, because of the miracle of chip

technology, they would change into something that everybody could use. We didn't see any limit to the computer's potential, and we really thought writing software was a neat thing. So we hired our friends who wrote software to see what kind of a tool this could really be-a tool for the Information Age that could magnify your brainpower instead of just your muscle power.”

6% of articles supported sub-category 12, which postulates that Bill Gates sets the standard (i.e. creates better, innovative, great software/products) of building an enduring great company (Microsoft). The following are supporting quotations: “Gates’ leadership style is all wrapped up with his personality and intelligence. By approaching his job with such intensity and doing his homework so diligently, Gates sets a lofty standard. And despite his idiosyncrasies and obsessions, associates and Microsoft employees rarely mock him or question his judgment. In fact many who work around him have unconsciously adopted his singular lingo. Like him, they overuse terms like random (inane), drill down (go into more detail), or hard core (intensely dedicated); some even echo his precise, nasal, diphthong-laden speech” (Schlender, 1995, para 4). Gates (1998) advocated that “Everything Microsoft does - and everything our competitors do in the marketplace - is driven by the goal of giving consumers innovative tools and products that will improve their lives. That is the only way we can remain competitive.”

5% of articles supported sub-category 16, which postulates that Bill Gates channels ambition into Microsoft, and sets up successors for success. The following are a list of supporting quotations: Mr. Ellison (in Bank. 1998), advocates the Bill Gates "wants to add everything to Windows - everything". Gates (in Schlender, 1998, para 7) stated, “The competition, the technological breakthroughs, and the research make the computer industry, and in particular software, the most exciting field there is, and I think I have the best job in that business.”

Salamcik and Meindl’s (1984) research showed that managers displayed strong tendencies to credit themselves for positive outcomes and to blame negative effects upon the environment. In this research study, the researcher recorded how many times Bill Gates mentioned ‘I’ and ‘we’. ‘I’ was used when Gates gave credit to himself for positive outcomes and ‘we’ was used to blame negative effects on the environment. Gates mentioned ‘I’ 57% in the positive period and 43% in the negative period and ‘we’ 4% in the positive period and 96% in the negative period. Hence, these results were consistent with Salamcik and Meindl’s (1984) research and inconsistent with sub-category 17 which postulates that Bill Gates looks out the window, not in the mirror, to apportion credit for all the success of the company - to other people, external factors, and good luck and inconsistent with sub-category 13 which postulates that Bill Gates looks in the mirror, not out the window, to apportion responsibility for poor results, never blaming other people, external factors, or bad luck. Collins (2001), claims that Level 5 leadership is an empirical, not an ideological finding. However, this

statement was not supported by the results in this study. In addition, the evidence indicated that 91% of the paragraphs that supported the Level 5 leadership theory were quotations and comments made by Bill Gates himself.

Trends

Power

The implicit theory of organisations suggests that as a means of understanding organisational processes, leadership is often imbued with extraordinary power and significance (Meindl & Ehrlich, 1988). This is consistent with the results as Power which denoted authority, influence, impact, control, monopoly, dominance, wealth, and aggression was the most salient trend constituting altogether 26 percent of the total propositions in this research study. According to French and Raven (1959), leadership behaviour is associated with power over others. Their research identifies five kinds of power: legitimate, reward, coercive, referent, and expert. In the articles, Bill Gates was portrayed to be having the following types of power: legitimate power as he is the chairman of Microsoft, reward power as he has the ability to offer and withhold types of incentives, referent power as his personal style and charisma attracted negative and positive interest from others and lastly, expert power, which is based on his knowledge and competence, that is, Gates has a certain power over others due to their need for his knowledge of information (Griffin, 1999). Nelson and Quick (1996) (in Bergh & Theron, 2003) point out that referent and expert power have been associated with greater levels of effectiveness.

The following is a list of supporting quotations: Yergin (in Murray, 1998, para 5) stated that there is a “global shift of power away from governments and toward market forces in recent decades... Even in the U.S. for so long a standard bearer of capitalism, markets operate with more force than ever before, extending their power into such traditional strongholds of regulation as airlines, telecommunications and health care.” Hatch (in Wilke & Bank, 1998, para 5) lauds Microsoft as "a critical driving force in the economy." According to Bank (1998, para 2), “Microsoft's stock jumped \$4 to \$98.875 in Nasdaq Stock Market trading, giving it a market capitalization of \$265 billion, and moving it closer to the most highly valued company, General Electric Co., at \$284 billion. Microsoft's move pushed the value of shares held by its chairman, Bill Gates, to \$55 billion”. Furthermore, “in another demonstration of its enormous marketing power, Microsoft Corp. reported a 28% surge in net income for the fiscal third quarter that pushed its net profit margins past 35%, an astronomical level for a company of its size” (Bank, 1998, para 1). Galambos (in Bank, 1998, para 1) stated that Microsoft is an attractive target for such criticism because Mr. Gates himself is so visible, "At the turn of the century, they could identify Rockefeller, Vanderbilt, J.P. Morgan and that was the heyday of anti-trust...Now Bill Gates personalizes all that

power and wealth. That's dangerous. It's sort of a description of how to get in trouble." It was stated that Bill Gates Is Good for America (Seib, 1998).

Image

The romance of leadership perspective moves the researcher away from the personality of the leaders as a significant, substantive, and causal force on the thoughts and actions of followers. It instead places more weight on the images of leaders that followers construct for one another (Meindl, 1995). Meindl (1995) posits that it assumes followers react to, and are more influenced by, their own constructions of the leaders personality than they are by the 'true' personality of the leader, "it is the personalities of leaders as imagined or constructed by followers that become the object of study, not 'actual' or 'clinical' personalities per se" (Meindl, 1995). Hence, the romance of leadership is about the thoughts of followers, how leaders are constructed and represented in their thought systems (Meindl, 1995). This is consistent with the results as Image was the second most salient trend constituting altogether 22 percent of the total propositions in this research study. Image denoted the following themes: reputation, credibility, celebrity, financial figure, mythical CEO, appearance, PR vs. substance, personal attacks, impression management, Bill Gates as ultracompetitive, hyper focused, never satisfied, precocious kid, big ideas, role model, sugar daddy, lucky creep, a bundle of contradictions, curious, sharp minded, intellectual, arrogant, competitive, epitome of American Entrepreneurs, force for progress, robber baron, disrespectful, egotistical, aloof, smart, rich, boyish, nerdy, personably witty, uncaring technocrat, brand bill, genius, overgrown schoolyard bully, boy genius, neurotic, hero, most successful baby boomer, Microsoft as a killer of competition, damaging innovation, innovative, a threat to free market, manipulative, a big bad bully and Mr. Gates as the bully-in-chief.

These results support Chen and Meindl's (1991) research in which they examined the image of Donald Burr (CEO of People Express) projected for readers by the popular press throughout the changing fortunes of People Express. They sought to explore the construction of leadership images as it is related to changing organisational performances. Analysis of the image data revealed that Burr's attributes were introduced as causes of the success of People Express, followed by details about how the success had been achieved. As organisational problems emerged, these were traced to Mr. Burr's weaknesses. Chen and Meindl (1991) stated that the CEO of a successful firm will be depicted with positive personal qualities, but if the firm subsequently experiences performance failure, the same leader will now be stigmatized with an image of failure and be depicted with negative image characteristics. The new leader image, constructed to match the performance failure, would depart radically from the original one, which was well-fitted to the performance success. This is consistent with the studies of performance-cue effects (e.g., Staw, 1975; Downey, Chacko, & McElroy, 1979; Binnings & Lord, 1980; Binnings, Zaba, & Whattam, 1986) which suggest that the

construction of leader images is mainly a process of matching leader characteristics with performance outcomes. The direction of performance outcomes (positive versus negative) therefore determines that of leader images (e.g., Staw, 1975). This view of attribution is called the outcome-primacy approach.

Meindl (1995) advocated that one would search for the opportunity to create the right impression, rather than searching for the right personality, hence, reputations would be more significant than actions as evident in the results. Initial research on the romance of leadership has supported the contention that leadership attributions enter into the thinking as individual who are faced with the need to interpret organisational events and occurrences. Several empirical studies have analysed top manager's attempts to exert influence symbolically, through causal interpretations they chose to make public in their annual reports to shareholders (Berrman & Weitz, 1983; Salamcik & Meindl, 1984; Staw et al., 1983). Each has documented reasonably coherent attributional patterns that are linked to general strategies of impression management. Meindl, (1995, p. 9) stated that once this positive image is formulated and publicized, consistency for the sake of credibility predicts continuation of the positive leader image; "however, as time goes on and the company experiences performance failure, the radical development calls for radical revision of the original leader image and the question is whether the positive leader image should be supplanted by a negative one to fit the new performance outcome or whether the highly publicized positive image should be kept intact to maintain consistency." This may be resolved by reducing leadership attributions or by making more external attributions for performance (Meindl, 1995).

Furthermore, news selection and treatment are not free from values and ideology (Gerbner, 1964; Glasgow University Media Group, 1976; Gans, 1979; Gitlin, 1980). Gans (1979) summarized the journalistic values he identified in the national news as the journalistic para-ideology, which both reflect the existing values and shape future values of the national culture. News organisations will attempt to preserve the image of the leader who is regarded as the embodiment of their cultural values and ideology (Meindl, 1995). Part of the commitment to the success image of Gates could be linked to his embodiment of certain cherished values. Mr. Gates has been referred to as an idealized representation of the American entrepreneurial spirit: a visionary, daring to dream and daring to pursue the dream until it comes true. Wenek (2003. p. 4) stated that "in addition to our reductionist tendencies, why we are disposed to exaggerate the effects of leadership probably also has something to do with the sub-conscious ideas and taken-for-granted assumptions that inform so much of Western culture - the mythology of the hero, our belief in individualism and personal agency, a pervasive belief in free will and a corresponding rejection of fatalism, the Protestant Ethic, faith in progress, and a host of other related concepts."

Leadership has a high value in liberal democratic societies because it underwrites a core mythology - the methodology of the individual control (Lagace, 2002). Meindl and Ehrlich (1987) labeled this phenomenon the romance of leadership. Ellis (2006, para 2), stated that "Gates also knows how to play on his personal mythology. Interns swoon at the opportunity to go to a summer-ending barbecue at his mansion. Chief information officers leap at the chance for an audience, though it often ends with a sales pitch from Bill."

The following are supporting quotations: "Think for a moment what it must be like to be Bill Gates. At the ripe old age of 50, you're a living cultural icon who simultaneously is the world's preeminent computer geek, its richest businessman, and its most ambitious philanthropist. You're an old-fashioned family man who dotes on his wife and three young children, and you also love your brainchild-Microsoft-as only a founder can. You're an unabashed optimist, and you've grown accustomed to being able to focus your considerable intelligence and energy on whatever activity you choose, knowing that it will have an enormous impact. You are also aware that even you can't do everything, especially if you want to do it well" (Schlender, 2006, para 1). Bank and Wilke (1998, para 33) stated that "the court strategy, authorized by Mr. Gates personally, speaks reams about the company's self-image and psychology, which is synonymous with the personality of Mr. Gates...Bill Gates is Microsoft...The character of the whole company is cloned in the form of this combative, young, arrogant leader."

Furthermore, in the articles, Mr. Gates was portrayed as a transformational and a transactional leader. According to Bass (1985), transformational leadership manifests itself when the leader displays the following behaviours: charisma, individualized consideration and intellectual stimulation. Gates was portrayed as a charismatic leader as it seemed he had a tendency to dominate, a strong conviction in his own beliefs and ideals, a need to influence others, and high self confidence. Bass (1990a) postulates that charismatic leaders transform the nature of work by making it appear more heroic, morally correct and meaningful. Mr. Gates (in Schlender, 2006, para 8) stated, "I do get to do leadership-type things-not running things per se-in my foundation work and exploring technology, with a similar thread of being optimistic about new discoveries and bringing in very sharp people and showing them how you can help their work have an impact that they may not have seen...creating great software that will change lives". Research on implicit theories (e.g., Lord, Fote & De Vader, 1986; Lord, Fote & Phillips, 1982; Lord & Phillips, 1982; 1986; Rush, Lord & Phillips, 1981) have also indicated that perception of performance may cause perceptions of charisma or transformational leadership. Mr. Gates seemed to practice intellectual stimulation as he questioned assumptions, reframed problems and approached old situations in new ways. However, there were inconsistencies with regard to whether this intellectual stimulation stimulated 'his followers' to be innovative and creative (as indicated in the literature) or whether this is assumed (as indicated in this research study). In support, Meindl (1988)

reported that the romance of leadership was related to perceptions of charismatic leadership. Bass (1990a) describes transactional leadership as comprising two types of behaviours; contingent reward and management by exception. Gates is part of the top management, possesses conceptual skills and technical skills, and his roles include the information and decision making role (Smit & Cronje, 2002).

Innovation

Innovation which denotes improvement, improving lives, and perfecting ideas was the third most salient trend constituting altogether, 15 percent of the total propositions in this research study. Here follows a list of supporting quotations: "However often software firms actually innovate, people working in the industry sure talk about it a lot: Scarcely a press release is issued without a product being called 'innovative.'... What passes for innovation is more often than not, like Windows 98, simply an incremental improvement of an existing product....Only a certain number of people are actually innovative...It's a very hard thing to do" (Gomes, 1998. para 15). Gomes (1998, para 22) added that "most of Microsoft's great successes have involved perfecting ideas - such as spreadsheets, a graphical user interface or an Internet browser - that were invented elsewhere. And Microsoft can stumble badly when it tries to do something original. Its easy-to-use package of applications with animated guides, called 'Bob,' was basically laughed out of the marketplace after its 1995 introduction." Lisa Stronawski (in Seib, 1998) contends that "Bill Gates has done more to improve my life than [Attorney General] Janet Reno ever will."

Ability

Galton's (1869) great man theory defined historical leaders as great men who possessed qualities superior to those of the masses, which were seen to be universal, inherent and applicable across all situations. Research reviews by Bass (1981; 1990a) and Yukl (1989) show that a large variety of leader traits were studied, two examples being ability (e.g. general intelligence, verbal fluency, originality) and personality (e.g., Self esteem, dominance, initiative). This is consistent with the results as Ability, which denoted people's talent, intelligence, originality, intellect, geeks, brainpower, knowledge, learner, talent, education, talent as leadership, good ideas, skills, great software, competitive weapons, teams, and recruitment was the fourth most salient trend constituting altogether 13 percent of the total propositions in this research study. a list of supporting quotations supports this: "Mr. Gates' leadership style is all wrapped-up with his personality and intelligence. By approaching his job with such intensity and doing his homework so diligently, Gates sets a lofty standard (Schlender, 1995). "Meticulous recruitment and the ability to attract some of the smartest people on the planet help make Microsoft a marvelous intellectual machine. In most companies, the strategy is devised at the top and loses coherence as it passes down each tier of management. At Microsoft, strategy starts with Mr. Gates, but loses nothing as it is

taken up by the people who run different parts of the business. If anything, it is burnished until it glistens, harder and more perfect than ever” (Anonymous, 1998. para 5). Hechinger and Golden (2006. para 5) stated that "we can use our brainpower to make the world a better place now -- not to leave a bunch of money that will be around in 100 years. Being the biggest foundation, [Bill and Melinda Gates Foundation] doesn't interest us at all."

Furthermore, in the Managerial Grid five independent management styles based on initiating structure and consideration are identified and located in four quadrants similar to those identified by the Ohio State studies (Blake & Mouton, 1980). Blake and Mouton (1964) stated these two dimensional yield five generalized managerial styles in the grid ranging from 1,1 ‘ impoverished’ management style through to 9,9 team management style. According to Blake & Mouton (1980) the team management style (9,9) ensures goal clarity and elicits higher levels of productivity from committed employees through very high concern for both production and people. The articles indicate that Bill Gates practiced the team management style (9, 9) as he ensured goal clarity and he had high concern for both production and people. However, there were inconsistencies with regard to whether this concern actually elicited higher levels of productivity from committed employees (indicated in the literature) or whether this is assumed as 9% of the articles support sub-category 9 which postulates that there is nothing as critical as employees’ level of productivity at Microsoft other than the quality of Bill Gates leadership. In addition, Microsoft was committed to development orientation (Robbins, Odendaal & Roodt, 2001).

Competition

Competition was the fifth trend constituting altogether 10 percent of the total propositions in this research study. The following is a supporting quotation: “A settlement would preclude what was promised to be the most significant anti-trust action since cases against AT&T Corp. and International Business Machines Corp. in the 1980s. It was viewed as a test of how effective the government can be in protecting competition in a fast-changing, technology-driven economy - without unfairly punishing Microsoft, a company that has come to symbolize America's global competitiveness” (Wilke & Bank, 1998. para 6).

Business Tactics

Business Tactics which denotes unfair and predatory tactics, manipulative, bully, ruthlessness was the sixth trend constituting altogether 5 percent of the total propositions in this research study. The following is a supporting quotation: “Industry insiders, however, believe that this is merely a change in tactics, not a change of heart. The idea that Microsoft might curb its ultra-competitiveness, or the snarling aggression with which it meets any challenge to its Windows monopoly, is regarded as ridiculous by people who know Bill Gates. And, for all practical purposes, Microsoft is Bill Gates” (Anonymous, 1998. para 3).

Vision

Vision which was also the fifth trend constituting altogether 5 percent of the total propositions in this research study. The following supporting quotations are important: "Microsoft's founding vision of 20 years ago was to have the PC become a valuable tool on every desk and in every home. Although there is an immense amount of work to do to make this a reality, I firmly believe this will happen" (Gates, 1995. para 16). According to Angrist (1995. para 2), "Mr. Gates's book is about ...his vision of the future, especially how he believes people will use the 'information highway.' Is there any reason why we should pay attention to his views? Yes indeed. Since the mid-1970s, no one has had a clearer picture of how computing would evolve than Mr. Gates."

Philanthropy

Philanthropy which denotes global health, super NGO, philanthro-capitalism was the last trend constituting altogether 2 percent of the total propositions in this research study. The following is a list of supporting quotations: "Several days ago, an article in this paper noted what might be called a subsidiary union between Mr. Gates and Bill Clinton to combat HIV/AIDS. The piece noted that Mr. Clinton represents large- government, G-8-type approaches to the hard problems. It quoted Richard Holbrooke, a former Clinton janissary and now head of the Global Business Coalition on HIV/AIDS as calling the Clinton-Gates relationship 'the beginning of what you might call the first super NGO.' But the article also noted that Mr. Gates tends to be averse to processing his grant money through politicians. This brings us to the *sine qua non* of any successful philanthropic effort - the founder's vision. A good philanthropy, as when Andrew Carnegie ran his, does what the founder wants, not what the world says he should want" (Henninger, 2006. para 8).

Reliability

Reliability is a defining trait in science and thus crucial to content analysis as a scientific method. In this research study, the report on content analysis reliability includes protocol definitions and procedures, information on the training of judges, the number of content items tested and how those items were selected. Riffe, Lacy and Fico (1998) advocate that the specific coder reliability tests applied and the achieved numeric reliability along with confidence intervals should be included, failure to assess and report reliability virtually invalidates whatever usefulness a content study have. Reliability in content analysis is defined as agreement among coders about categorising content. Content analysis is a research tool that is based on the assumption that explicitly defined and accepted concept definitions control assignment of content to particular categories by coders. The core notion of reliability is the measurement instruments applied to observations must be highly consistent over time, place and circumstance (Riffe, Lacy & Fico, 1998).

Problems with reliability arise due to the ambiguities of word meanings, category definitions and coding rules (Weber, 1994). As a means to counter this problem and to ensure improved reliability, the data in this research study has been analysed and coded by two independent raters. It was thus possible to achieve inter-coder reliability, as the content classification produced the same results when the text was coded by more than one coder. According to Riffe, Lacy and Fico (1998), if one measure changes in something, one must be certain that such changes are in what is being observed and not the result of distortions appearing in ones measuring stick (Riffe, Lacy & Fico, 1998). Since the world of research with human subjects is not perfect, researchers developed a number of techniques for estimating reliably i.e. the degree of error in measurement. One such technique is called the reliability coefficient, a measure which ranges from $r = 0$ to $r = 1$ (perfect reliability). The higher the correlation coefficient (i.e., the closer to 1), the higher the reliability of the measure and the lower the 'error' of measurement (Riffe, Lacy & Fico, 1998).

Along with everyone else, researchers carry mental baggage that influences their perception and interpretation of communication content. A single coder may not notice the dimensions of a concept being missed or how a protocol that is perfectly clear to him or herself may be unclear to another. Several coders are more likely to hammer out conceptual and operational definitions that are clearer and more explicit (Riffe, Lacy & Fico, 1998). The first step in the training the coder was to familiarise the coder with the content being analysed. In an attempt to minimize coder differences, the study established a procedure that coders follow in dealing with content (see Appendix 2). In addition, each article took between half an hour to an hour to content analyse. Therefore, in order to reduce the chance that coder fatigue may systematically degrade the coding of content toward the end the session, coding sessions were restricted to a set amount of content or set amount of time and each coding session was started with a full reading of the protocol in order to refresh coder memory of category definitions (Riffe, Lacy & Fico, 1998). According to Riffe, Lacy and Fico (1998) a category problem may occur because of fundamental ambiguity or complexity in the category or because the rules assigning content to the category are poorly spelled out in the protocol. Therefore, in an attempt to reduce category problems, the researcher ensured that the rules assigning content to the category were well spelled out in the protocol and the overly complex categories were broken down into several parts that were relatively easier to handle (see Appendix 2).

The researcher assessed the degree to which the content definitions and procedures were reliably applied. Each variable (content category) in the analysis was tested by looking at how the coders have agreed on using relevant values of the variable being tested (Riffe, Lacy & Fico, 1998). According to Wimwe & Dominick (1997), between 10% and 20% of the body of content should be tested. Others (Kaid & Wadsworth, 1989) suggest that between 5% and 7% of the total is adequate. Other advice has been ambiguous from the larger body of

material to be coded. According to Riffe, Lacy and Fico (1998), random sampling, relying on unbiased mathematical principles for selection of observers, accomplishes two things. First, it controls for the inevitable human biases in selection. Second, the procedure produces, with a known possibility of error, a sample that reflects the appropriate proportions of the characteristics of the overall population of content being studied.

Lucy and Riffe (1996) stated that the amount of units of content that should be selected depend on several factors. One is the total number of units to be coded. Another is the desired degree of confidence in the eventual reliability assessment. A third factor is the degree of precision desired in the reliability assessment. The fourth is the researcher estimate of the actual agreement that would have been obtained had all the content of interest been used in the reliability test. In an attempt to test 30% of the sample, the researcher removed all the articles that supported neither the romance of leadership nor Level 5 leadership from the sample. Consequently 132 articles were left from the initial 201. It is important to note that the 201 articles had been organised according to the newspaper, date and month of publication (see Appendix 3). The researcher then chose every second article for reliability purposes, resulting in a reliability sample of 66 articles (33%).

According to Riffe, Lacy and Fico (1998) the procedure for selecting content for a coder reliability test works directly into the simplest of coder reliability tests, the percentage of agreement among two or more coders. In the test, coder's determine the proportion of correct judgments as a percentage of total judgment made. A minimum level of agreement is 80% is standard (Riffe, Lacy & Fico, 1998). Table 25 and figure 10 illustrate that the inter-rater reliability is 86%. Validity of measurement presupposes that a study has achieved reliability. A reliable measure is consistent across time, place, or circumstance of application and does not necessarily measure what one thinks it does as a measure can be reliable in its application, but wrong in what the researcher assumes it is really measuring. A valid measure is both reliable in its application and valid for what it measures (Riffe, Lacy & Fico, 1998).

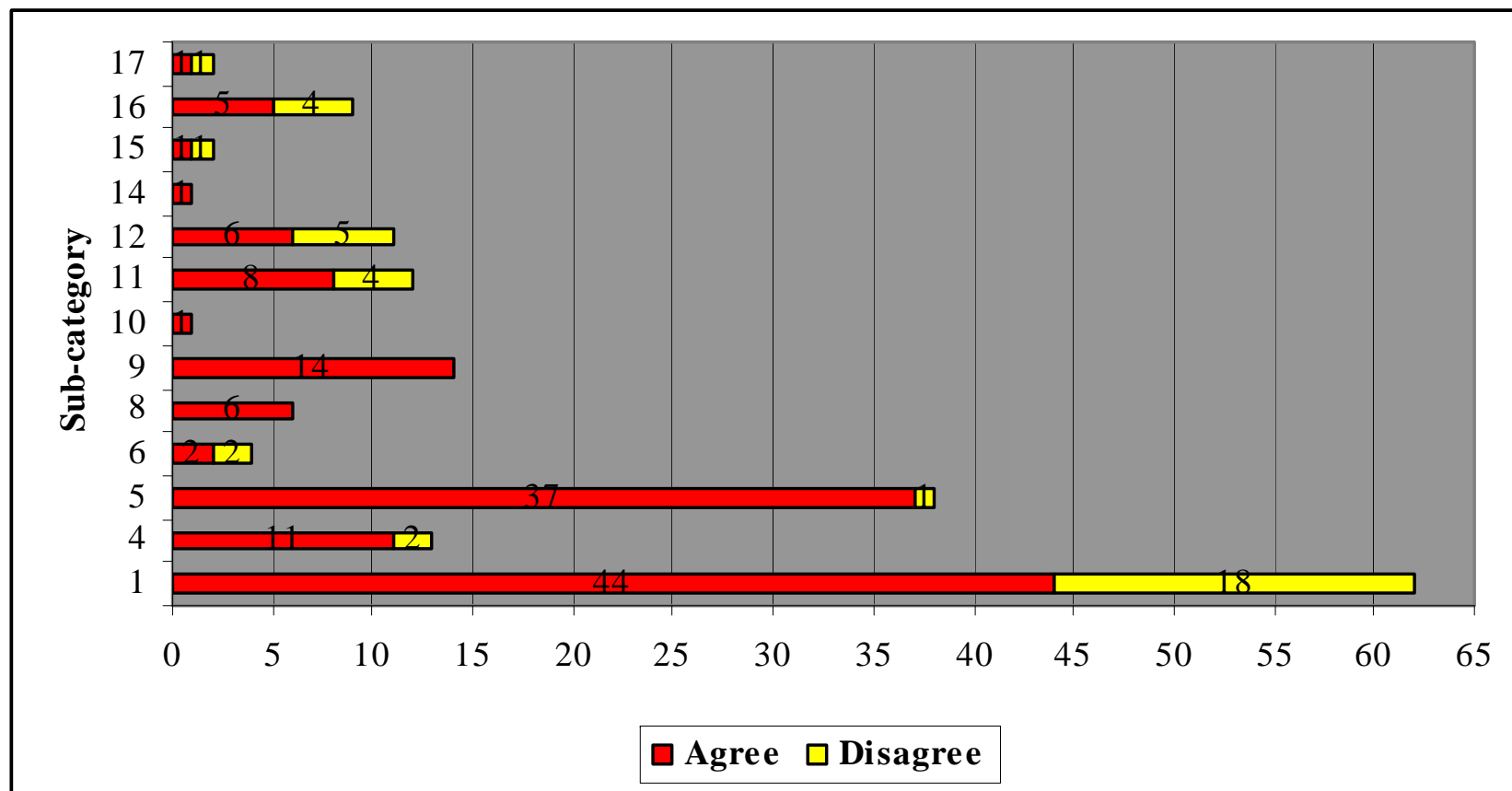
Validity

Validity is the quality or state of being true, therefore, in the context of this research study, validity is concerned with the truth of the research or the accuracy of the results. Validity is an attempt to check out whether the meaning and interpretation of an event is sound or whether a particular measure is an accurate reflection on what the researcher intend to find out. If the categories and rules are conceptually and theoretically sound and are reliably applied, it increases the chance that the study's results will be valid (Riffe, Lacy & Fico, 1998). However, research that is flawed because of some aspect of design or measurement cannot be trusted to generate new knowledge. According to Riffe, Lacy and Fico (1998), the social science notion of validity relates more rigorously to procedures for obtaining information so that appropriate inferences and interpretations may be made. It can also relate

Table 25: Inter Coder Reliability

Sub-category (160 para of evidence)	Coder	External Coder	Agree	Disagree	Disagree with sub- category in same category	Disagree with sub- category in different category
1	62	44	44	18	11	7
2	0	0	0	0	0	0
3	0	1	0	0	0	0
4	13	11	11	2	2	0
5	38	37	37	1	0	1
6	2	4	2	2	2	0
7	0	0	0	0	0	0
8	6	6	6	0	0	0
9	14	14	14	0	0	0
10	1	8	1	0	7	0
11	8	12	8	4	4	0
12	6	11	6	5	5	0
13	0	0	0	0	0	0
14	1	1	1	0	0	0
15	2	1	1	1	0	1
16	5	9	5	4	4	0
17	2	1	1	1	1	0
	160	160	137	38	37	9

Figure 10: Inter Coder Reliability



to how such knowledge is understood, valued, or used. This content research attempted to satisfy the appropriate criteria for scientific validation as without that validation, generalization or interpretation of findings would be difficult or impossible.

Internal validity deals with the design governing data collection, and how designs may strengthen causal inference. Data collection also requires assessment of measurement validity, consisting of face, concurrent, predictive, and construct validity (Riffe, Lacy & Fico, 1998). Moreover, a research study has internal validity if it produces a single, unambiguous explanation for the results (Gravetter & Forzano, 2003). With regard to the tests of validity, Holsti (1969) familiar typology identifies four tests of measurement validity: face, concurrent, predictive, and construct. In terms of face validity, the researcher was sensitive to what seems obvious on its face but sometimes is not. The researcher assumed that the adequacy of a measure is obvious to all, and requires little additional explanation.

With regard to concurrent validity, one of the best techniques is to correlate the measure used in one study with a similar one used in another study. In effect, the two methods can provide mutual or concurrent validation (Riffe, Lacy & Fico, 1998). Predictive validity is test that correlates a measure with some predicted outcome. Of the outcome occurs as expected, the validity of the measure is established (Riffe, Lacy & Fico, 1998). In this research study, it was predicted that a recent historical profile of publicity given to a prominent Level 5 leader might lend itself to a romance of leadership interpretation. 57% of the newspaper articles supported the romance of leadership category and sub-categories 1 to 9, therefore, the measurement procedure is said to have predictive validity. Construct Validity involves the theoretical context which a measure is taken, “essentially, construct validity relates to the entire research program and theoretical framework that as a whole validates a particular study’s findings of some casual relationship and the appropriateness of the measures used to illuminate that relationship” (Riffe, Lacy & Fico, 1998, p. 144).

According to Riffe, Lacy and Fico (1998), the notion of external validity can be related to a study’s social validity. This social validity depended on the social significance of the content that content analysis explored, and the degree to which the content analysis categories created by researcher had relevance and meaning beyond an academic audience (Riffe, Lacy & Fico, 1998). Furthermore, the external and social validity of a content analysis presupposes the internal validity of measurement and design that makes content analysis a part of scientific method (Riffe, Lacy & Fico, 1998). This research links to knowledge about the romance of leadership that is already known, as revealed by the work of other researchers (e.g., Meindl & Ehrlich, 1988; Calner, 1977; Kraus & Gemmill, 1990; Martinko & Gardner, 1987; Mitroff & Pondy, 1978; Meindl, Ehrlich, & Dukerich, 1985; Chen & Meindl, 1991; Davis & Luthans). According to Riffe, Lacy & Fico (1998), the scientific validation of research is necessary before that research can have any broader meaning or importance; therefore, internal validity

is a necessary condition for external validity. In this study, the requirements for scientific validation of research were met as the current research grows out of previous work, and the researcher has explicitly called attention to its relevance for developing or modifying theory, replicating findings, extending the research line and filling research gaps, or resolving contradictions in previous` studies (Riffe, Lacy & Fico, 1998).

The ultimate validity of content analysis derives from its importance to its attentive and competent audience to whom the research is relevant, significant or meaningful. This audience is the scientific community as well as the entire population of a nation (Riffe, Lacy & Fico, 1998). According to Riffe, Lacy and Fico (1998, p. 147), the external validity of a content analysis beyond the scientific community is strengthened in two ways; that is the social importance of the content categories and the way they have been measured and analysed. In this research study, the external validity of content analysis was increased due to the fact that the content being explored was and is important as it plays a crucial role and function in society. Furthermore, according to Riffe, Lacy & Fico (1998), the conceptual and operational definitions of a content category can also influence a study's social validity. Krippendorff's (1980) considered a study to be high in semantical validity when the "data language corresponds to that of the source, the receiver or any other context" (p. 157).

This study contained manifest and latent content. The manifest content answered the research question and the latent content added meaning to the evidence. Therefore, both manifest and latent approaches to content analysis were profitably employed in the same research and their combined application, enriched the research and extend its meaningfulness (Riffe, Lacy & Fico, 1998). The study of manifest content achieved high reliability in counting, and the researcher ensured that what was counted was relevant. According to Riffe, Lacy and Fico (1998), analysis that attempt to capture latent content deal with the judgment, evaluations, and interpretations of content and its context. The meaning of content is illuminated by the discernment of the researcher who brings the appropriate context to the communication as a whole and its social role.

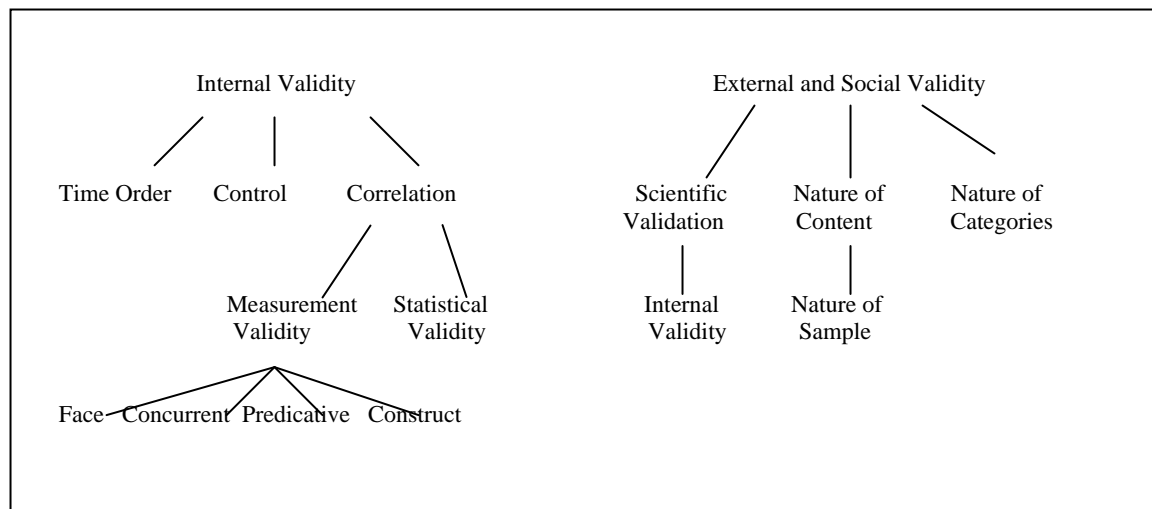
Limitations to the Study

Several theoretical and methodological limitations concerning the present study are identified in this section. Limitations are discussed in terms of the Level 5 leadership theory, research design, categories and sub-categories construction and definitions, data collection, reliability and validity.

With regard to the Level 5 leadership theory, in order to answer the research question, an exemplar of a Level 5 leader that has received ample press coverage had to be chosen. However, Collins (2001a) did not provide a criterion to justify why an individual classifies as a Level 5 leader. He did, however, state that "HUMILITY + WILL = LEVEL 5", and that in

order to find Level 5 leaders, the key is to scrutinise for sustained great results of their company. Therefore, based on the assumption that Bill Gates has the characteristics of a Level 5 leader, and due to the fact that his company, Microsoft, has generally sustained great results over thirty two years (1975-2007) as evident in his business success in financial terms, the researcher identified Bill Gates as a Level 5 leader. Hence, whether Mr. Gates is a Level 5 leader or not is assumed by the researcher. In addition, this research study examined how Gates is portrayed in the media (i.e. public image) rather than his leadership style per se. There is a limited amount of empirical research about the Level 5 leadership theory. Accordingly, this research study could not lend support to nor reject a substantial amount of claims made by other researchers, besides the claims made by Collins (2001a).

Figure 11: Types of Content Analysis Validity (adapted from Riffe, Lacy & Fico, 1998. p. 137)



With regard to the research design, this study contained manifest and latent content. The manifest content answered the research question and the latent content added meaning to the evidence. According to Riffe, Lacy and Fico (1998) analysis that attempts to capture latent content deal with the judgment, evaluations, and interpretations of content and its context. The meaning of content is illuminated by the discernment of the researcher who brings the appropriate context to the communication as a whole and its social role. However, the study of latent content implicitly assumes that the researcher possesses one or both of two different even contradictory qualities; “the first is that the researcher is an authoritative interpreter who can intuitively assess the meaning and effects of some communication for audiences. In other words, although human biases in selective exposure, perception and recall exist in the naive perceiver the researcher is somehow immune... A second but contradictory quality assumed the researcher in analysis of latent content, is that the researcher is himself or herself is a kind of representative of the audience for a communication. If this is so, the observations or conclusions the researcher draws would be made by anyone” (Riffe, Lacy & Fico, 1998. p. 148). Furthermore, each article took between half an hour to an hour to content analyse. Therefore, in order to reduce the chance that coder fatigue may systematically degrade the coding of content toward the end the session, coding sessions were restricted to a set amount of content or set amount of time. However, the coders did not always abide to the set amount of content or set amount of time in each coding session which could have resulted in degrading of content due to coder fatigue.

With regard to the categories and sub-categories construction, the particular limitation is true of most content analyses where the findings in a particular analysis is also limited to the framework of the categories and definitions used in that analysis (Wimmer & Dominick, 1994). Before conducting the pilot study, there was large number of complex concepts which could have potentially increased the chances that the coders would have made mistakes and ultimately diminished the reliability of the study. Therefore, the researcher attempted to make the concepts more manifest so that coders would more easily recognise the concepts in the content. However, during content analysis the researcher found it difficult to differentiate whether the evidence supported a particular sub-category because at times, a sentence in the data could be matched to two sub-categories in the same category. However, the researcher ensured that a sentence in the data could not be matched to two sub-categories in a different category. Sub-category 9 and 10 were problematic because they were related in the sense that employees’ level of productivity creates suburb results. Another limitation was utilising the 11 itemed RLS-C scale as sub-categories instead of the 32 itemed RLS-A scale.

One area of limitation includes the method of data collection. Initially, the following dates were chosen as they were relevant in that they are significant milestones in Microsoft’s history: 1976, 1980, 1990, 1995, 1998 and 2006. However, no articles about Microsoft and Bill Gates was identified in any of these newspapers in 1976, 1980 and 65% of the articles

that were identified were published in 1998, hence this may have increased bias. With regard to reliability, the application of defined concepts relied on coder interpretation of content meaning. Therefore, a problem that arose was agreement among coders on the proper interpretation were somewhat difficult to achieve. However, the study of manifest content achieved high reliability in counting, and the researcher ensured that what was counted was relevant. With regard to validity, Stouffer (1977) stated that strong design ensures that “evidence is not capable of a dozen alternative interpretations” (p. 27). However, in this study, the internal validity of a few trends were weak because they were susceptible to fallacies of interpretations. Further research is needed, and this is less an acknowledgement of the study’s limitations, and more of an invitation to join this investigation.

Theoretical and Practical Implications of the Study

Theoretically, the findings of the present study contribute to the romance of leadership model, as proposed by Meindl, Ehrlich and Dukerich (1985). The romance of leadership represented non-traditional leadership theories which posit that leadership is a phenomenon constructed in the minds of followers and is used to explain organisational events even when other factors may be responsible. The romance of leadership theory offers a follower-centric approach that views both leadership and its consequences as largely constructed by followers and hence influenced by followers’ cognitive processes and inter-follower social influence processes (Meindl, 1985). Overall, the present study lends support to the romance of leadership theory as this theory was supported by 57% of the sample. This will be discussed in more detail.

In dissertations published between 1929 and 1979, Meindl et al., (1985) found a significant correlation between an interest in leadership and hard or good times in the economy. Thus, the present study lends support to this research as there were a significantly higher interest in Bill Gates and Microsoft during the negative or hard period (620 hits) than in the positive or good period (162 hits). According to Meindl and Ehrlich, (1988) leadership is an explanatory category, an attribution, used by observers and participants to make sense of and give meaning to organisational events and occurrences. The present study lends support to the attribution theory as 58% of articles supported sub-category 1, which postulates that the quality of Bill Gates leadership is the single most important influence on the functioning, direction, development, impression or image of Microsoft, implying that people attribute Microsoft’s events and occurrences to Gates leadership.

Furthermore, the present study lends support to the attributional approach to leadership which assumes a romanticised larger than life role (Calner, 1977; Kraus & Gemmill, 1990; Martinko & Gardner, 1987; Mitroff & Pondy, 1978) as 35% of the articles supported sub-category 5, which postulates that Microsoft is only as good or bad as Bill Gates, implying that Bill Gates is Microsoft. 9% supported sub-category 9, which postulates that there is

nothing as critical to the bottom-line performance (i.e., level of employees' productivity) of Microsoft as the attributes, characteristics, worth, merit, importance, innovativeness of Gates lends further support to attributional theories of leadership (e.g., Calder, 1977) which contend that leadership is overvalued, primarily as a result of certain attributional biases.

According to Meindl, Ehrlich and Dukerich (1985), the fundamental attributional error may cause observers, or followers, to over-attribute organizational success and failure to leaders, while discounting external factors. The present study lends support to the fundamental attributional error as 11% supported sub-category 4, which postulates that high versus low quality leadership (i.e., Gates' characteristics, worth, merit, importance, innovativeness) has a bigger impact and influence on the functioning, direction, development, impression or image of Microsoft than a favorable versus unfavorable business environment.

The implicit theory of organisations suggests that as a means of understanding organisational processes, leadership is often imbued with extraordinary power and significance (Meindl & Ehrlich, 1988). The present study lends support to the implicit theory, as Power was the most salient trend constituting altogether 26 percent of the total propositions in this research study.

The romance of leadership perspective moves the researcher away from the personality of the leaders as a significant, substantive, and causal force on the thoughts and actions of followers. It instead places more weight on the images of leaders that followers construct for one another (Meindl, 1995). The present study lends support to this idea as Image was the second most salient trend constituting altogether 22 percent of the total propositions in this research study.

According to Bass (1985), transformational leadership manifests itself when the leader displays the following behaviours: charisma, individualized consideration and intellectual stimulation. Gates was portrayed as a charismatic leader as it seemed he had a tendency to dominate, a strong conviction in his own beliefs and ideals, a need to influence others, and high self confidence. In support, Meindl (1988) reported that the romance of leadership was related to perceptions of charismatic leadership. Research on implicit theories (e.g. Lord, Fote & De Vader, 1986; Lord, Fote & Phillips, 1982; Lord & Phillips, 1982; 1986; Rush, Lord & Phillips, 1981) have also indicated that perception of performance may cause perceptions of charisma or transformational leadership. Mr. Gates seemed to practice intellectual stimulation as he questioned assumptions, reframed problems and approached old situations in new ways. However, there were inconsistencies with regard to whether this intellectual stimulation stimulated 'his followers' to be innovative and creative (as indicated in the literature) or whether this is assumed (as indicated in this research study).

Galton's (1869) great man theory defined historical leaders as great men who possessed qualities superior to those of the masses, which were seen to be universal, inherent and

applicable across all situations. Research reviews by Bass (1981, 1990a) and Yukl (1989) show that a large variety of leader traits were studied, two examples being ability (e.g. general intelligence, verbal fluency, originality) and personality (e.g. Self esteem, dominance, initiative). Thus the present study lends partial support to the trait theory as Ability, which denoted people's talent, intelligence, originality, was the fourth most salient trend constituting altogether 13 percent of the total propositions in this research study.

Furthermore, in the Managerial Grid five independent management styles based on initiating structure and consideration are identified and located in four quadrants similar to those identified by the Ohio state studies (Blake & Mouton, 1980). According to Blake & Mouton, (1980) the team management style (9,9) ensures goal clarity and elicits higher levels of productivity from committed employees through very high concern or both production and people. The articles indicate that Bill Gates practiced the team management style (9,9) as he ensured goal clarity and he had high concern or both production and people, however there were inconsistencies with regard to whether this concern actually elicited higher levels of productivity from committed employees (indicated in the literature) or whether this is assumed as 9% of the articles support sub-category 9 which postulates that there is nothing as critical as employees level of productivity at Microsoft than the quality of Bill Gates leadership.

With regard to Level 5 leadership, Collins (2001a) postulated that a Level 5 leader has an unwavering resolve to produce the best long-term results (sub-category 11) sets the standard of building an enduring great company (sub-category 12) and channels ambition into the company and sets up successors for success (sub-category 16). The present study lends partial support to sub-category 11, 12 and 16 as 6% of articles supported sub-category 11 and 12 and 5% of articles supported sub-category 16. Furthermore, Salancik and Meindl (1984) research showed that managers displayed strong tendencies to credit themselves for positive outcomes and to blame negative effects upon the environment. Hence the results in the present study were consistent with Salancik and Meindl (1984) research and inconsistent with two of Collins (2001a) claims. The first claim is that a Level 5 leader looks out the window, not in the mirror, to apportion credit for all the success of the company - to other people, external factors, and good luck (sub-category 17) and secondly a Level 5 leader looks in the mirror, not out the window, to apportion responsibility for poor results, never blaming other people, external factors, or bad luck (sub-category 13). Overall the present study did not lend support to Collins (2001a) claim that Level 5 leadership is an empirical, not an ideological finding.

Implications for Future Research

Future researchers may refine and expand the findings of the present study and gain greater specificity and insight to issues raised by addressing some of the methodological limitations identified earlier in the chapter.

This study could not control or measure every potential important variable as few phenomena are themselves the results of single causes. This explains why it is important for other researchers continue to ‘tinker’ with the ideas and explanations raised, incorporate more variables in their own research designs, seek contingent conditions, and test refined research questions in the area where the bulk of evidence pointed to in a particular direction, which was the romance of leadership theory (Riffe, Lacy & Fico, 1998). In this research study the researcher assumed that Bill Gates is a Level 5 leader. Future research could assess the link between Level 5 leadership and Bill Gates in more detail or replicate this study using different exemplars, for example Charles Coffin, Bill Allan, Sam Walton, David Packard, Richard Branson, Tokyo Sexwale, Franklin Delano Roosevelt, Winston Churchill, Margaret Thatcher, Ellen Johnson-Sirleaf, Nelson Mandela, Mahatma Ghandi, Desond Tu Tu, Pope John Paul etc. The 32 itemed RLS-A scale could be utilised instead of the 11 itemed RLS-C which would help coders recognise the concepts in the content more easily, decrease the chances of making mistakes and hence increase the reliability of the study. In order to reduce bias, future research could collect an equal amount of newspaper articles during periods that denote the company’s positive and negative milestones. Furthermore, to test directly the impact of values on image construction, future research can examine how news agencies with different value orientations report the same leader.

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Appendices

List of Newspaper Articles Analysed, Coding Book, Quantitative Coding Sheet,
Qualitative Coding Sheet and Good-to-Great Executive Interview Schedule

Appendix 1

List of Newspaper Articles Analysed (Electronic Source: Proquest)

Wall Street Journal: 1990, 1995, 1998 and 2006

Zachary, G. P. (May 21, 1990). Latest from Microsoft Will Heighten Competition with Apple's Macintosh. Wall Street Journal

Zachary, G. P. (May 21, 1990). Operating System: Opening of 'Windows' Shows How Bill Gates Succeeds in Software --- Microsoft Founder Bargains, Frets, Badgers Engineers and Never Tires of Games --- An Early Zeal for Capitalism. Wall Street Journal

Viveca, N. (January 23, 1995). Judge and Attorneys Duel Over Microsoft - Biting Comments Pepper Heated Antitrust Hearing. Wall Street Journal

Viveca, N. (February 17, 1995). Microsoft and government will appeal judge's rejection of antitrust accord. Wall Street Journal

Gates, B. (March 16, 1995). They're talking, we're selling. Wall Street Journal

McCoy, C. (March 17, 1995). Gates says mom was once kidnapped; Details are few, guesses numerous. Wall Street Journal

King, T & Clark, D. (March 23, 1995). Gates Invests a Byte Of Money for Cache Of Hollywood Stars - Microsoft Sees DreamWorks As Ally Providing Access To Family-Fun Products. Wall Street Journal

Kahn, P. (March 24, 1995). An open letter to Gates and Manzi. Wall Street Journal

Anonymous (May 1, 1995). U.S. Move in Microsoft Antitrust Suit Is Meant as a Warning to Companies. Wall Street Journal

Clark, D. (July 14, 1995). Golden Code: Amid Hype and Fear, Microsoft Windows 95 Gets Ready to Roll --- Despite Delays, New Program Is Expected to Boost Software Giant's Reach - -- How PC Makers Fell in Line. Wall Street Journal

Viveca, N. (July 20, 1995). Microsoft's rivals urge it to separate new on-line service from Windows 95. Wall Street Journal

Kneale, D (August 25, 1995). Windows 95 hype leaves some unimpressed. Wall Street Journal

Anonymous. (August 25, 1995). Windows. Wall Street Journal

Anonymous (August 25, 1995). For Microsoft, nothing succeeds like excess. Wall Street Journal

Anonymous. (September 5, 1995). Europeans Roll Out Many Red Carpets For American Icon --- Pomp and Circumstance Greet Bill Gates's 8-Day Tour To Promote Windows 95. Wall Street Journal

Clark, D. (December 7, 1995). Microsoft to unveil Internet products. [Wall Street Journal](#).

Clark, D. (December 8, 1995) Microsoft to adopt rival technologies. [Wall Street Journal](#)

Jensen, E. (December 8, 1995). NBC, Microsoft weighs CNN challenge. [Wall Street Journal](#)

Angrist, S. W. (December 12, 1995). Business bookshelf: Windows on Microsoft. [Wall Street Journal](#)

Cauley, L & Bank, D (Jan, 9 1998) Microsoft Battles Sun Over TCI Set-Top Boxes. [Wall Street Journal](#)

Cauley, L & Bank, D (Jan 12, 1998). TCI Set-Top-Box Pacts Pit Microsoft Against Sun. [Wall Street Journal](#)

Wilke, J. R & Clark, D (Jan 15, 1998) Judge Rejects Attempt by Microsoft To Remove Special Master in U.S. Action. [Wall Street Journal](#)

Wilke, J. R & Clark, D (Jan 23, 1998). Browser Bruiser: Microsoft and Justice End a Skirmish, Yet War Could Escalate --- Company Agrees to Unbundle Internet Software; Will Regulators Widen Case? --- Why Netscape Still Frets. [Wall Street Journal](#)

Bank, D. (Feb 3, 1998). Subpoenas Issued in Probe Of Microsoft. [Wall Street Journal](#)
Kara Swisher Feb 12, 1998. Software: A Web Pioneer Does a Delicate Dance With Microsoft. [Wall Street Journal](#)

Swisher, K. (Feb 12, 1998). Software: A Web pioneer does a delicate dance with Microsoft. [Wall Street Journal](#)

Bank, D. (Feb 13, 1998). Microsoft May Face Battle Over 'Content' --- U.S. Focuses on Bid to Become Primary Web Gateway. [Wall Street Journal](#)

Wilke, J. R (Apr 6, 1998) U.S. Closes In on New Microsoft Case --- Officials Think Evidence Supports a Broad Charge On Extending Monopoly. [Wall Street Journal](#)

Wilke, J. R (Apr 22, 1998). Microsoft Injunction Comes Under Fire --- Appeals Panel Seems to Back Firm's View That Order Exceeded Court's Power. [Wall Street Journal](#)

Bank, D. (Apr 23, 1998). Microsoft Net, Profit Margins Climb Sharply. [Wall Street Journal](#)

Wilke, J. R & Bank, D. (Mar 3, 1998). Gates Answers To Criticism Of Microsoft. [Wall Street Journal](#).

Bank, D. . (Mar 5, 1998). Washington Face-Off Dims Microsoft's Day. [Wall Street Journal](#)

Murray, A. (Mar 9, 1998). It's Time Gates Placed Trust in Trustbusters. [Wall Street Journal](#)

Gomes, L. (Mar 12, 1998). Seeking Prosperity in Microsoft's Long Shadow. [Wall Street Journal](#)

Wilke, J. R & Bank, D. (May 1, 1998) Microsoft Seeks Allies to Halt Antitrust Move. Wall Street Journal

Wilke, J. R & Bank, D. (May 6, 1998). Gates, U.S. Meet as New Lawsuit Looms. Wall Street Journal

Mossberg, W. S. (May 14, 1998.) Windows 98 Offers Users Some Useful, But Not Vital, Features. Wall Street Journal

Wilke, J. R & Bank, D. (May 15, 1998). Microsoft, Signaling Concessions, Averts Suits for Now --- Windows Release Is Delayed Until Monday as Gates Talks to Antitrust Chief. Wall Street Journal

Wilke, J. R & Gruley, B. (May 15, 1998). Taking On Titans: Trustbuster Joel Klein, Once Viewed as Timid, Faces a Very Full Plate --- The Microsoft Battle Is Big, But It's Only One of Many As Megamergers Pile Up --- A Run-In With Mrs. Clinton. Wall Street Journal

Wilke, J. R & Bank, D. (May 18, 1998). Microsoft Faces Historic Antitrust Suits --- Filings by U.S., 20 States Expected Today as Talks On Settlement Collapse. Wall Street Journal

Gruley, B. (May 19, 1998). Microsoft's Memos Bolster Government's Case. Wall Street Journal

Priest, G. L. (May 19, 1998). U.S. v. Microsoft: A Case Built on Wild Speculation, Dubious Theories. Wall Street Journal

Wilke, J. R (May 19, 1998). U.S. Sues Microsoft on Antitrust Grounds --- Software Giant Is Accused Of Curbing Competition; States Also Bring Action. Wall Street Journal

Bank, B (May 19, 1998). Is Microsoft a New 'Public Utility'?. Wall Street Journal

Jenkins, H. W. (May 20, 1998). Business World On Microsoft, Standard Oil and Trustbusters. Wall Street Journal

Schlesinger, J. M. & Barrett, P. M. (May 20, 1998). Microsoft's Battle Offers Plenty of Work For Lawyers, Lobbyists and Economists. Wall Street Journal

Gates, B. (May 20, 1998.) U.S. v. Microsoft: We're Defending Our Right to Innovate. Wall Street Journal

Jacobs, M. A. (May 20, 1998) Injunction Looms as Showdown for Microsoft. Wall Street Journal

Bank, D. (May 21, 1998) Management: Microsoft Hears 'White Noise' In Legal Battle. Wall Street Journal

Seib, G. F. (Jun 9, 1998). Freedom Fighters: Antitrust Suits Expand And Libertarians Ask, Who's the Bad Guy? --- They Distrust Government, But Some See Microsoft And Intel as Exploitative --- Mr. Bork Spots a 'Predator'. Wall Street Journal

Gomes, L. (Jun 25, 1998). Bigger vs. Better: As Innovation Slows, Software Companies Pile On the Features --- It's Called Bloatware, and It Crowds Store Shelves; Microsoft's Small Step --- 'Like Owning a Car in 1910'. [Wall Street Journal](#)

Gomes, L. (Jul 1, 1998). Electronics: Microsoft Finds Windows CE Is No Juggernaut. [Wall Street Journal](#)

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Appendix 2

Coding Book

Part 1: Introduction, goals of the study and definition of major concepts

This protocol aims to investigate and describe whether a recent historical profile of publicity (news stories in newspaper articles) given to a prominent Level 5 leader (Bill Gates) lend itself to a romance of leadership interpretation. The study examines the coverage given to Microsoft in 1990, 1995, 1998 and 2006. The following definitions will be used to select and analyse the content under study.

News Story

News stories are defined as non-advertising matter in a news product. In a newspaper, this would usually include all staff produced news stories found in the first and 'local' sections but excluding editorial pages, op ed pages, reader opinions, sports, routine business data, society news and similar matter. It may include relevant features produced by local staff reporters and syndicated and wire services stories relevant to the issue being analysed (Riffe, Lacy & Fico, 1998)

Source

A source is a person, or organisation, who gives information to news reporters. Sources are explicitly identified as such when news reporters quote or paraphrase information from them in stories.

Part 2: Procedures governing how the content was to be processed

The following steps should be taken in the content analysis coding described:

(a) Using ProQuest, type Microsoft and Bill Gates for the following newspapers and dates: the Wall Street Journal, the Economist, Forbes, Fortune and Business Week in 1976, 1980, 1990, 1995, 1998 and 2006.

(b) Only those articles that make references to Microsoft and/or Bill Gates in their title and have seven or more descriptive clauses on Microsoft and/or Bill Gates in their articles must be chosen. In addition, those articles that make no reference to Microsoft and/or Bill Gates in their titles but has seven or more descriptive clauses on Microsoft and/or Bill Gates in their articles must also be chosen. Furthermore, only those articles that had more than 300 words but less than 10 000 must be used.

(c) Once all the relevant newspaper articles are collected, the coder must number the paragraphs that are already separated into three to eight sentences.

(d) Each story is then analysed for specific characteristics described in the following table

Table 7: Research Procedure

1) Publication Date mm/dd/yy
2) ProQuest Document ID
3) Newspaper Name
4) Text Word Count
5) Number of Paragraphs
6) Headline and Author
<p>7) How many times the following words are mentioned</p> <ol style="list-style-type: none"> 1. Microsoft 2. Bill Gates 3. Bill Gates as Microsoft (vise versa)
<p>8) Category (in article) Classification</p> <ol style="list-style-type: none"> 1. Romance of leadership 2. Level 5 leadership 3. Neither the Romance of leadership nor Level 5 leadership 4. Recurrent themes
<p>9) Evidence and sub-category (in paragraph) Classification</p> <ol style="list-style-type: none"> 1. Sentence/s that represents evidence of a sub-category 2. Romance of leadership sub-category number 3. Level 5 leadership sub-category number 4. Paragraph number where evidence was found

Part 3: Overall category operational definitions and the definitions of the values of each sub-category

Table 26: Category and Sub-category Operational Definitions

<p>Category – The Romance of Leadership</p> <p><u>Definition:</u> the romanticised concept of leadership can be interpreted as a preconception, assumption, or bias, Its the many prefer to cope and come to grips with the cognitive and moral complexities of understanding the countless interactions among causal forces that create and maintain organized activity, basically it reduces and translates these complexities into simple human terms that people can understand, live with, and communicate easily to others.</p>	<p>Category – Level 5 Leadership</p> <p><u>Definition:</u> Level 5 leaders are individuals who blends extreme personal humility with intense professional will. They channel their ego needs away from themselves and into the larger goal of building a great company. Their ambition is first and foremost for the institution, not themselves. They are a study in duality: modest and willful, humble and fearless.</p>
<p>9 sub-categories</p>	<p>8 sub-categories</p>
<p>Sub-category 1 - <i>The quality of leadership is the single most important influence on the functioning of an organisation.</i></p> <ul style="list-style-type: none"> - <i>The quality:</i> refers to good or bad, effective or ineffective - <i>leadership:</i> refers specifically to Bill Gates leadership and not management - <i>is the single most:</i> an influence. - <i>important influence on the functioning of an organisation:</i> not only the functioning but direction, development, impression or image of the Microsoft. 	<p>Sub-category 10 – <i>a Level 5 leader creates superb results, is a catalyst in the transition from good to great</i></p> <ul style="list-style-type: none"> - <i>a Level 5 leader:</i> Bill Gates - <i>creates:</i> generates, produces, is responsible. - <i>superb results:</i> increased profits and positive reputation (not excellent employee productivity) - <i>is a catalyst:</i> medium, channel - <i>in the transition from good to great:</i> Great performance was defined as a cumulative total stock return of at least three times the general market for the period from the transition point through fifteen years. They defined good performance as a cumulative total stock return no better than 1.25 times the general stock market for fifteen years prior to the point of transition. <p>This sub category is similar to sub-category number 9 as it refers to <i>bottom-line performance</i> i.e. excellent employee productivity. Therefore in this sub-category results will refer to profits and reputation</p>

Table 26: Category and Sub-category Operational Definitions (Continued)

<p>Sub-category 2 - <i>The great amount of time and energy devoted to choosing a leader is justified because of the important influence that person is likely to have.</i></p> <p>Does not apply as Gates is the founder of Microsoft. Therefore the leader refers to a Microsoft's managers.</p>	<p>Sub-category 11 - <i>a Level 5 leader has an unwavering resolve to do to whatever must be done to produce the best long-term results, no matter how difficult</i></p> <ul style="list-style-type: none"> - <i>a Level 5 leader</i>: Bill Gates - <i>has an unwavering resolve</i>: infatigable determination and persistence - <i>to do to whatever must be done</i>: to take whatever action - <i>to produce the best long-term results</i>: to produce lasting positive consequences - <i>no matter how difficult</i>
<p>Sub-category 3 - <i>Bad leadership at the top will show up in decreased organizational performance.</i></p> <ul style="list-style-type: none"> - <i>Bad</i>: refers to inefficient or poor - <i>leadership at the top</i>: refers specifically to Bill Gates as the leader - <i>will show up in decreased organizational performance</i>: as evident in decreased turnover or profits. 	<p>Sub-category 12 - <i>a Level 5 leader sets the standard of building an enduring great company, will settle for nothing less</i></p> <ul style="list-style-type: none"> - <i>a Level 5 leader</i>: Bill Gates - <i>sets the standard</i>: creates better, innovative, great software/ products, - <i>of building an enduring great company</i>: which builds a durable Microsoft - <i>will settle for nothing less</i>: not satisfied unless its achieved
<p>Sub-category 4 - <i>High versus low quality leadership has a bigger impact on a firm than a favorable versus unfavorable business environment.</i></p> <ul style="list-style-type: none"> - <i>High versus low quality leadership</i>: the positive versus negative attributes, characteristics, worth, merit, importance, innovativeness of Gates - <i>has a bigger impact on a firm</i>: has an influence on the functioning, direction, development, impression or image of the Microsoft. - <i>than a favorable versus unfavorable business environment</i>: than positive or negative events outside of Gates control 	<p>Sub-category 13 - <i>a Level 5 leader looks in the mirror, not out the window, to apportion responsibility for poor results, never blaming other people, external factors, or bad luck</i></p> <ul style="list-style-type: none"> - <i>a Level 5 leader</i>: Bill Gates - <i>looks in the mirror</i>: at himself to take responsibility - <i>not out the window</i>: not at the people who work at Microsoft. - <i>to apportion responsibility for poor results, never blaming other people, external factors, or bad luck</i>
<p>Sub-category 5 - <i>A company is only as good or bad as its leaders.</i></p> <ul style="list-style-type: none"> - <i>A company</i>: Microsoft - <i>is only as good or bad</i>: successful or unsuccessful, existent or nonexistent - <i>as its leaders</i>: Gates <p>Gates is referred to as Microsoft, or Microsoft is referred to as Gates. Microsoft is Gates and Gates is Microsoft. They are one of the same.</p>	<p>Sub-category 14 - <i>a Level 5 leader demonstrates a compelling modesty, shunning public adulation, never boastful.</i></p> <ul style="list-style-type: none"> - <i>a Level 5 leader</i>: Bill Gates - <i>demonstrates a compelling modesty</i>: down to earth, humble - <i>shunning public adulation, never boastful.</i>

Table 26: Category and Sub-category Operational Definitions (Continued)

<p>Sub-category 6 - <i>It's a good thing to find something out about the quality of top-level leaders before investing in a firm.</i></p> <ul style="list-style-type: none"> - <i>It's a good thing:</i> it's a good decision or investment. - <i>to find something out about:</i> to gather information - <i>the quality of top-level leaders:</i> the attributes, characteristics, worth, merit, importance of Gates - <i>before investing in a firm:</i> investing in Microsoft 	<p>Sub-category 15 - <i>a Level 5 leader acts with quiet calm determination and relies principally on inspired standards not inspiring charisma, to motivate,</i></p> <ul style="list-style-type: none"> - <i>a Level 5 leader:</i> Bill Gates - <i>leader acts with quiet calm determination and relies principally on inspired standards:</i> freedom of innovation, intellectual capital and creating great software - <i>not inspiring charisma:</i> not his personality - <i>to motivate:</i> himself and employees at Microsoft
<p>Sub-category 7 - <i>The process by which leaders are selected is extremely important</i></p> <p>Does not apply as Gates is the founder of Microsoft. Therefore the leader refers to a Microsoft's managers.</p> <ul style="list-style-type: none"> - <i>The process:</i> gather information about history of Microsoft's potential managers - <i>by which leaders are selected:</i> refers to a Microsoft's managers. - <i>is extremely important:</i> necessary as will positively contribute to Microsoft 	<p>Sub-category 16 - <i>a Level 5 leader channels ambition into the company not the self, sets up successors for even greater success in the next generation</i></p> <ul style="list-style-type: none"> - <i>a Level 5 leader:</i> Bill Gates - <i>channels ambition into the company not the self:</i> channels his drive, aspirations, hopes and dreams into Microsoft not himself - <i>sets up successors for even greater success in the next generation:</i> sets up successor for even greater profits, great software in the next generation
<p>Sub-category 8 - <i>When the top leaders are good, the organisation does well, when the leaders are bad, the organization does poorly.</i></p> <ul style="list-style-type: none"> - <i>When the top leaders are good:</i> when Gates is excellent, respectable, skillful, talented, smart, innovative, creates great software - <i>the organisation does well:</i> Microsoft's profits, power, reputation positively increase - <i>when the leaders are bad:</i> when Gates is poor, average, flawed, creates useless software - <i>the organization does poorly:</i> Microsoft's profits, power, reputation negatively decrease 	<p>Sub-category 17 - <i>a Level 5 leader looks out the window, not in the mirror, to apportion credit for all the success of the company - to other people, external factors, and good luck</i></p> <ul style="list-style-type: none"> - <i>a Level 5 leader:</i> Bill Gates - <i>looks out the window:</i> at Microsoft employees - <i>not in the mirror:</i> not himself - <i>to apportion credit for all the success of the company - to other people, external factors, and good luck</i>
<p>Sub-category 9 - <i>There is nothing as critical to the bottom-line performance of a company as the quality of its top-level leaders.</i></p>	

Table 26: Category and Sub-category Operational Definitions (Continued)

<ul style="list-style-type: none"> - <i>There is nothing as critical</i>: the main reason for - <i>to the bottom-line performance</i>: employees level of productivity - <i>of a company</i>: Microsoft - <i>as the quality of its top-level leaders</i>: the attributes, characteristics, worth, merit, importance, innovativeness of Gates 	
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Appendix 3

Quantitative Coding Sheet

Table 27: Quantitative Coding Sheet

Publication Date	ProQuest Document ID	Newspaper Name	Text Word Count	#Para	Headline & Author	# MS & Gates Mentioned			Category (article) Classification				Evidence and Sub-category (paragraph) Classification			
						1 MS	2 Bill	3 M/B	1 R-L	2 L-5	3 Neither	4 Themes	1 Evidence	2 R	3 L	4 Par
May 21, 1990	4211085	Wall Street Journal	511	5	Latest from Microsoft Will Heighten Competition with Apple's Macintosh - <i>Zachary, G Pascal.</i>	7	4	1	✓ (2)				Maybe so. But Windows 3.0, a product he's so proud of that even his mother will be on hand when Microsoft unveils it tomorrow, presents the most formidable technical challenge ever to the Macintosh, Apple Computer's main computer family. Over the years, some at Apple have called for breaking with Mr. Gates, fearing that his secret plan is to weaken Apple's position by imposing a single software standard for all desktop users	8 5		1 4
May 21, 1990.	27579021	Wall Street Journal	2485	25	Operating System: Opening of 'Windows' Shows How Bill Gates Succeeds in Software --- Microsoft Founder Bargains, Frets, Badgers Engineers And Never Tires of Games --- An Early Zeal for Capitalism - <i>G. Pascal Zachary.</i>	28	29	2	✓ (12)	(2)			Tomorrow, the Microsoft Corp. co-founder will demonstrate this neat trick when he unveils a program that makes it far easier for 40 million users of personal computers to run their machines. The program, called Windows 3.0, promises to increase Microsoft's already-soaring profits and cement Mr. Gates's position as the single most influential figure in the computer industry. For even as he was developing OS/2, Mr. Gates kept tinkering with his "Windows," a program Microsoft had announced seven years ago. While competitors long paid Windows little heed -- even ridiculed it -- Mr. Gates gradually improved its power and ease of use as a new type of command system. Mr. Gates's long struggle to make Windows work reflects traits not often combined in a business leader: technological vision, a love of crafty dealmaking and an obsessive, almost childlike personality, which		10 11 11	1 2 5

													Still, the drive to establish a following for Windows -- even while developing OS/2 for IBM -- almost cost Mr. Gates his prized relationship with the computer giant. Mr. Gates, who had co-founded Microsoft in 1976, didn't come to real prominence until four years later when he supplied the MS-DOS operating program for IBM's first PC. The IBM link helped Microsoft set the most important PC standards, spawning an entire industry around its MS-DOS operating software. The standard allowed personal computers made by IBM competitors to run the same word processors, spreadsheets or other applications.	4		14
													Even today, Mr. Gates's relationship with IBM is stormy, and he can't always get Big Blue to stick with Microsoft to the exclusion of rivals. In February, IBM said publicly that it would offer its new family of workstations with a piece of system software made by Steve Jobs's Next Inc. instead of Microsoft. The next month, IBM decided not to use Microsoft printer software for its full range of computers.	5		16
													Though his ties with IBM are most useful, Mr. Gates's power rests even more in his ability to patch together alliances of warring industry factions. "Even Microsoft can't unilaterally impose standards on the industry," says Michael Swavely, president of Compaq Computer Corp.'s North American operations. So Mr. Gates tries to strike accords with most everyone of importance in the industry, making himself the focal point of most attempts to create standards for new computer technologies.	4		17
													Last year, for instance, Mr. Gates tried to strike a deal with Adobe Systems Inc., which sells software to control the size and shape of computerized type.	1		19
													But rather than bullying rivals, Mr. Gates often gains	5		20

													an edge simply by outlasting or outsmarting them.	6		21
													His persistence isn't lost on Microsoft's executives. Last fall he publicly said that his product managers ought to wake up thinking about their main competitor and even to know his or her children's names and birth dates.	9		22
													Sales may be an obsession with Mr. Gates, but writing code is closest to his heart. Discussions with Microsoft engineers resemble a legal proceeding, with Mr. Gates as prosecuting attorney. Often, he begins by asking simple questions, then insists he understands a problem better than those assigned to solve it. At one recent meeting, he described a program as "the stupidest piece of code ever written," repeatedly noting that a tiny competitor had done a better job.			
Jan 23, 1995.	23847687	Wall Street Journal	942	10	Judge and Attorneys Duel Over Microsoft --- Biting Comments Pepper Heated Antitrust Hearing - <i>Viveca Novak</i> .	21	1	0			✓					
Feb 17, 1995	4635134	Wall Street Journal	804	9	Microsoft and government will appeal judge's rejection of antitrust accord - <i>Novak, Viveca</i>	6	1	0			✓					
Mar 16, 1995.	4637733	Wall Street Journal	1547	17	They're talking, we're selling - <i>Gates, Bill</i> .	12	-	0	(??)	✓ (5)		Vision	Is the personal computer marketplace working? A recent editorial on this page by Jim Manzi, the chief executive officer of Lotus Development Corp., suggests that if this question is to be answered based on the unfriendly comments of competitors -- rather than the purchasing decisions of customers -- the answer is no. Fortunately, that is not how our free-enterprise system operates. It is understandable that Mr. Manzi would prefer to measure performance in	4		1

Table 27: Quantitative Coding Sheet (Continued)

Mar 17, 1995	00999660	Wall Street Journal	772	9	Gates says mom was once kidnapped; Details are few, guesses numerous - <i>McCoy, Charles</i>	14	4	0			✓								
Mar 23, 1995.	00999660	Wall Street Journal	996	13	Gates Invests a Byte Of Money for Cache Of Hollywood Stars -- - Microsoft Sees DreamWorks As Ally Providing Access To Family-Fun Products - <i>Thomas R. King and Don Clark.</i>	11	6	0	✓ (2)	(1)		Talent. Reputation	Microsoft, which also confirmed it is taking an undisclosed minority equity stake in DreamWorks -- believed to be under \$50 million -- is just the latest big name to link up with the fledgling studio. On Sunday, computer-software billionaire Paul G. Allen, a Microsoft co-founder, said he would invest \$500 million to be DreamWorks' majority outside investor. The studio also has struck a television-programming alliance with Capital Cities/ABC Inc., which also is expected to take a minority equity stake. DreamWorks will soon announce other small equity holders, possibly including International Business Machines Corp. and Silicon Graphics Inc., people with knowledge of the company's negotiations say Some industry executives wonder if the chemistry of the new venture will work, based on rocky collaborations in the past between Hollywood artists and Silicon Valley programmers. "They are two companies run by very strong people," said Mike Ramsay, president of Silicon Graphics Inc.'s Silicon Studios unit, which competes with Microsoft in programming tools. "They better agree or they are not going to get anything done." Yesterday, the executives talked about how excited they are to be working together. "This notion that somehow our culture and their culture are these two completely unrelated worlds is a huge exaggeration," said Mr. Katzenberg, the former Walt Disney Co. studio chief. Said <i>Mr. Gates</i> : " <i>After this announcement we're just going to get the people</i>	6	1	6	7	11	9

													together and get to work building great titles."								
Mar 24, 1995.	4638472	Wall Street Journal	1236	15	An open letter to Gates and Manzi - Kahn, Philippe.	6	11	1	✓ (6)			Reputation. Leadership	<p>When I founded Borland over a decade ago, Microsoft was Borland's first competitor. <i>You were already a large company.</i> We were a bootstrapped garage operation. Through great technology, Borland grew to become the leader in developmental tools. A healthy competition developed between your large company and our more modest enterprise. As a consequence, the rate of innovation in the tools market continued to increase. We prevailed in tools, but you took the lead in applications and databases.</p> <p>Mr. Manzi's unfair competitive practices certainly helped you -- all of our competitors flourished as we weakened under Mr. Manzi's relentless attacks on our reputation. However, unlike Mr. Manzi, who tried to use the legal system to gain a competitive advantage, you, <i>Mr. Gates, competed in the marketplace -- and you did a very good job of it. You deserve credit for that. You've actually done such a great job at it that today Microsoft clearly dominates the software industry.</i></p> <p>Some say that Microsoft is like a government that has been democratically elected but is now tempted to take advantage of its position of power. Mr. Gates, prove these critics wrong. <i>Use your position of leadership to foster industry practices that will help the software industry grow to its next stage of maturity, assuring our customers that the software industry will remain fair and competitive for decades to come.</i></p> <p><i>Mr. Gates, the ball is in your court.</i> Windows 95 is a great operating system. Borland and Starfish are among the many software companies around the world that are building the great products to reinforce that. You now have an opportunity to prove all of</p>	5	4	1	4	8	9	10	12

													<p>your detractors wrong. Take the high road. <i>You and Microsoft are</i> in a position to help build personal computing into the next century and make it one of the most exciting industrial endeavors ever. As an industry, we can help people around the world become more productive, stay better organized, and communicate better. <i>Your leadership is needed here.</i></p> <p>The U.S. software industry, led by Microsoft, is the clear global leader. As a matter of fact, the top 10 software companies in the world are U.S. companies. Let's take that incredible economic advantage into the next century. Let's make sure that Windows 95 provides a fair opportunity for innovative products such as Delphi and Sidekick. This will help customers, increase the rate of innovation, and, in the long run, profit Microsoft. It will strengthen the U.S. software industry and Microsoft. Most of all, <i>it will help build the vision that you, among others, have been pursuing for the past two decades: a computer on every desk and in every home.</i></p>	9		15
May 1, 1995.	767387111	Wall Street Journal	577	9	U.S. Move in Microsoft Antitrust Suit Is Meant as a Warning to Companies	5	1	0			✓					
Jul 14, 1995	23869720	Wall Street Journal	2841	33	Golden Code: Amid Hype and Fear, Microsoft Windows 95 Gets Ready to Roll --- Despite Delays, New Program Is Expected to Boost Software Giant's Reach --- How PC Makers Fell in Line <i>By Don Clark</i>	43	4	0	✓ (1)			Monopoly.	Compaq Computer Corp., the No. 1 PC vendor and a close collaborator of Microsoft's, stole a marketing edge on other makers with a deal to use a special logo describing itself as "the Lead Systems Partner for Windows 95." Like several other big manufacturers, the Houston-based company plans to install both Windows 95 and Windows 3.1 on machines sold to businesses; users are given a choice of which system to install and which to delete. (Some may want to go to Windows 95 only in stages.) But Compaq expects to convert its consumer systems rapidly to Windows 95 only. IBM, by contrast, plans to install OS/2,	4		20

													Windows 3.1 and Windows 95 on both business and home systems. Competitors Robert Frankenberg sees Bill Gates as his most dangerous rival. <i>Yet the chief executive officer of Novell Inc. is preparing to help Mr. Gates once again, showing how interdependent the industry is.</i>			
Jul 20, 1995.	6868931	Wall Street Journal	494	5	Microsoft's rivals urge it to separate new on-line service from Windows 95 <i>Novak, Viveca</i>	10	0	1	✓ (1)			Control. Competition	<p>The chief executives of America Online Inc., CompuServe Inc. and Prodigy Services Co. released an open letter to Microsoft Chairman Bill Gates at a news conference. "You more than anyone should understand the power that comes with <i>controlling the operating system market</i>," they wrote. "With dominant position comes added responsibilities."</p> <p>The chief executives, along with the head of Sun Microsystems, Scott McNealy, urged <i>congressional leaders -- including Senate Majority Leader Robert Dole (R., Kan.) who recently criticized the Justice probe -- to support the inquiry.</i></p>	4	1	5
Aug 25, 1995.	6872753	Wall Street Journal	972	13	Windows 95 hype leaves some unimpressed <i>Kneale, Dennis</i>	11	0	1			✓	Reputation				
Aug 25, 1995.	23854415	Wall Street Journal	1397	15	Windows <i>Anonymous</i>	0	4	1 W 9	✓ (1)			Culture	<p>In the past, there were astronauts pioneering outer space and capturing the collective imagination. Today, with the emphasis on dominance and winning through competition, <i>Bill Gates, the genius behind Microsoft Corp., is the hero: young, successful, not to mention the richest man in America.</i> Owning Windows 95 provides some kinship to him and with other elite computer whizzes. Vince Marckioni watched Mr. Gates on TV Monday night and again on Tuesday night, and found the billionaire to be a refreshing computer nerd, who is fond of math and physics. Mr. Gates, he believes, is a humanitarian out</p>	5		12

													to "expand the human consciousness."			
Aug 25, 1995.	6872678	Wall Street Journal	1658	21	For Microsoft, nothing succeeds like excess	9	8	3	✓ (4)			Vision. Reputation	Microsoft's muscular marketing raises the risk of a backlash. Mr. Gates hopes to deliver on the promise first made by rival Apple for its Macintosh over a decade ago -- computers "for the rest of us." But the unsophisticated masses could turn unruly if Windows 95 has glitches or if Microsoft isn't attentive to consumer queries or complaints.	9		6
													Yet Windows 95 has become a seminal marketing event in part because it almost surely will become the on-screen "environment" that 80% of the world's computer users will see each day. And because it embodies <i>Mr. Gates -- the richest person in the world, according to Forbes magazine -- and Microsoft, a corporate force that rivals and critics fret is too big and too powerful for the nation's good.</i>	5		15
													Marketing experts say Mr. Gates has lent his presence and fame to this campaign with an alacrity -- and ubiquitousness -- rivaled by few chief executives. Now there are unconfirmed Gates "sightings": Late Wednesday night, he was said to be in a crowd of 2,000 at a Seattle computer store. Never press-shy, he will even star in a Coke commercial that will appear exclusively during Microsoft's own 30-minute commercial airing in 70 major markets.	5		16
													That high profile means Mr. Gates is his company -- both to fans and critics. At a store in Rockville, Md., service technician Rich Buff isn't worried about the store's slim supplies of Windows 95. "Bill Gates won't let us run out," he says reassuringly.	5		18
Sep 5, 1995.	767359431	Wall Street	610	7	Europeans Roll Out Many Red Carpets For American Icon ---	4	8	1	✓ (3)			Reputation. Image.	From ordinary computer users to business tycoons, Mr. Gates has become something of an icon of the	5		2

		Journal			Pomp and Circumstance Greet Bill Gates's 8-Day Tour To Promote Windows 95							Impression management	America that people both love and fear, a nation that can transform a geeky, bespectacled kid with a high IQ and a mere million-dollar trust fund (willed to him by his grandfather) into the richest man in the world, and among the most influential. Carlo De Benedetti, chairman of Ing. Olivetti & C., said, "Bill Gates? I wish I were him, for his age, his success, for <i>the fact that he created a world-wide phenomenon</i> . Not to mention his net worth." But others see him as a model, and argue that Europeans also are starting to produce brilliant youngsters who may someday produce a European version of Microsoft.	1 5	3 6
Dec 7, 1995	8720643	Wall Street Journal	980	14	Microsoft to unveil Internet products - Clark, Don.	19	6	0	✓ (1)	✓ (1)			Java is just one symbol for Microsoft's rapid shifts in strategy on the Internet, where the company finds itself in a fierce battle for programmers. <i>Mr. Gates, speaking to reporters in Silicon Valley on Tuesday, made clear that Internet technology standards will be set by thousands of technologists, computer managers and content creators who hope to make their fortunes on the new medium.</i> But the shifts in Microsoft's strategy are clear. Among other things, Microsoft today is expected to announce a further reduction in emphasis on original information on its own on-line service, focusing instead on helping users find data on the Web. <i>In supporting standards from other companies, Microsoft executives say they will incorporate new developments from Netscape in Microsoft's Internet Explorer browser, and will let Netscape use Microsoft advancements.</i>	8	12 8
Dec 8,	8720736	Wall	990	19	Microsoft to adopt rival	25	3	1			✓				

1995		Street Journal			technologies -Clark, Don													
Dec 8, 1995.	8720740	Wall Street Journal	812	12	NBC, Microsoft weigh CNN challenge -Jensen, Elizabeth.	11	0	1			✓							
Dec 12, 1995.	8962759	Wall Street Journal	915	10	Business bookshelf: Windows on Microsoft -Angrist, Stanley W.	7	9	1	✓ (2)			Smart people. Small teams	Parents, teach your children to play poker -- it's a paradigm for life. That's according to Chairman Mao - - no, sorry, I mean Chairman Gates -- in "The Road Ahead" (Viking, 286 pages, \$29.95). Bill Gates did a lot of poker playing before he dropped out of Harvard to establish Microsoft Corp. <i>He found the time to think about the future of personal computing and raise some cash at the poker table by doing as little classwork as possible during the semester and then trying to master the subject matter just before the final. Most of the time it worked.</i> But Mr. Gates's book is about far more than poker playing. It's his vision of the future, especially how he believes people will use the "information highway." Is there any reason why we should pay attention to his views? Yes indeed. Since the mid-1970s, <i>no one has had a clearer picture of how computing would evolve than Mr. Gates</i>	1	5	1	2	
Jan, 9 1998	25264711	Wall Street Journal	849	12	Microsoft Battles Sun Over TCI Set-Top Boxes -By Leslie Cauley and David Bank	21	0	1			✓	Image. reputation						
Jan 12, 1998.	25304440	Wall Street Journal	1135	14	TCI Set-Top-Box Pacts Pit Microsoft Against Sun -By David Bank and Leslie Cauley	21	1	1			✓							
Jan 15, 1998	25375565	Wall Street Journal	1000	13	Judge Rejects Attempt by Microsoft To Remove Special Master in U.S. Action	19	2	1	✓ (1)				Late yesterday, Robert Herbold, Microsoft's chief operating officer, said there was nothing unusual about Mr. Gates's personal participation in the	1			13	

					-By John R. Wilke and Don Clark								company's response to the court order. "Bill makes all the important decisions here," he said.			
Jan 23, 1998.	25556655	Wall Street Journal	2392	33	Browser Bruiser: Microsoft and Justice End a Skirmish, Yet War Could Escalate --- Company Agrees to Unbundle Internet Software; Will Regulators Widen Case? --- Why Netscape Still Frets -By David Bank and John R. Wilke.	63	7	1	✓ (4)			Power. Image	"Bill Gates finally understood he made a huge strategic and public-relations blunder in the way the company tried to respond to the judge's order," says Sam Miller, a San Francisco attorney who was part of the Justice Department team that pursued an initial antitrust case that led to a 1995 consent decree. "It finally sank in that their arrogance backfired."	8		3
													This dust-up is but the latest in a series of skirmishes that go back to 1994. Justice sued originally on the grounds that Microsoft was using its licensing practices with PC makers to smother competition. <i>Mr. Gates cagily settled that case with a consent decree in 1995, agreeing to make minor changes and preserving Microsoft's right to develop "integrated" products. It was considered a major victory for Microsoft, which continued its startling growth.</i> The browser case is actually a reprise of the 1994 litigation; browsers, which connect PC users to the ever-expanding Internet, are already a huge business.	8		5
													The court strategy, authorized by Mr. Gates personally, speaks reams about the company's self-image and psychology, which is synonymous with the personality of Mr. Gates. Its managers have learned to aggressively attack detractors and competitors inside, and outside, its high-tech world.	1		33
													"Bill Gates is Microsoft," says Alan Brew, a partner in the San Francisco corporate branding consultancy Addison Seefeld and Brew. "The character of the whole company is cloned in the form of this combative, young, arrogant leader."	5		33

Feb 3, 1998.	25806109	Wall Street Journal	956	12	Subpoenas Issued in Probe Of Microsoft <i>By David Bank.</i>	23	1	2			✓						
Feb 12, 1998.	26169112	Wall Street Journal	1608	22	Software: A Web Pioneer Does a Delicate Dance With Microsoft <i>By Kara Swisher</i>	31	7	0	✓ (2)			Image. Power. vision	<i>Rob Glaser learned the software business as one of Bill Gates's most aggressive proteges at Microsoft Corp. So he knows all too well the anguishing strategic decision that most software entrepreneurs inevitably confront: Go head-to-head against Mr. Gates and risk annihilation. Or cooperate with him -- and risk annihilation.</i> Mr. Glaser insists he and the software giant can coexist. "I learned an amazing amount from Bill," he says, speaking in staccato bursts and radiating so much intensity that his face resembles a clenched fist. "We knew we could either compete head-on like Netscape or do something a lot more interesting."	4	4	1	
Feb 13, 1998.	26188181	Wall Street Journal	1169	13	Microsoft May Face Battle Over `Content' --- U.S. Focuses on Bid to Become Primary Web Gateway <i>By David Bank.</i>	35	2	1		✓ (2)		Image.	"We didn't do anything but what was right for advancing the Internet as a great medium," said Mr. Gates during a recent gathering with reporters in Silicon Valley. Mr. Gates said the offer of prime placement on the channel bar was simply a way to encourage media companies to use the company's latest Web technology." We've turned to companies and said, `If you're excited about this, we'll put you in a channel.'" He said Microsoft didn't discriminate in its selection of media partners and simply selected those that had taken advantage of the new features.		12	9	
Apr 6, 1998	28419331	Wall Street Journal	958	15	U.S. Closes In on New Microsoft Case --- Officials Think Evidence Supports a Broad Charge On Extending Monopoly <i>By John R. Wilke</i>	27	0	1			✓	Power. Dominance. Control. Innovation. improvment					

Apr 22, 1998	28849388	Wall Street Journal	822	12	Microsoft Injunction Comes Under Fire --- Appeals Panel Seems to Back Firm's View That Order Exceeded Court's Power <i>By John R. Wilke</i>	17	1	1				Power					
Apr 23, 1998.	28910281	Wall Street Journal	1239	19	Microsoft Net, Profit Margins Climb Sharply <i>By David Bank</i>	28	3	1	✓ (1)			Money. Power. Intellectual capital	He said Microsoft is an attractive target for such criticism because Mr. Gates himself is so visible. "At the turn of the century, they could identify Rockefeller, Vanderbilt, J.P. Morgan and that was the heyday of antitrust," Mr. Galambos said. "Now Bill Gates personalizes all that power and wealth. That's dangerous. It's sort of a description of how to get in trouble."	5			19
Mar 3, 1998.	26857078	Wall Street Journal	855	12	Gates Answers To Criticism Of Microsoft <i>By John R. Wilke and David Bank</i>	29	1	3			✓	Power. Innovation. image					
Mar 5, 1998.	26915205	Wall Street Journal	1000	16	Washington Face-Off Dims Microsoft's Day <i>David Bank.</i>	17	3	2	✓ (1)			Power. image	Mr. Gates and other Microsoft executives say such casualties are a fact of life in the fiercely competitive software industry. In their view, Microsoft's practice of including commonly used features in the operating system aids other software companies by freeing them to innovate in more specialized areas. As long as customers are getting better products at lower prices, there can be no violation of antitrust law, says William Neukom, Microsoft's general counsel.	8			15
Mar 9, 1998.	27002348	Wall Street Journal	876	15	It's Time Gates Placed Trust in Trustbusters <i>Alan Murray</i>	8	5	0	✓ (3)	(1)		Power. Monopoly. image	The epic battle between Mr. Gates and the U.S. government has its unseemly aspects. He can hardly be blamed for feeling revulsion toward the steady stream of lobbyists and legislators advising him to get wise to the ways of Washington -- i.e., to hire lobbyists and give money to legislators.	5			2

													<p>This isn't, however, just an effort by the Washington establishment to shake down Bill Gates; nor is it just a kneejerk invasion by government bureaucrats into the workings of the marketplace. <i>Mr. Gates has managed to win near-total control of the most valuable real estate in business today: His Windows operating system has become almost the sole entry point to cyberspace.</i></p> <p><i>He objects to such comparisons</i>, but his business position is one that even John D. Rockefeller could envy</p> <p>How well any of this might work is far from clear. But as a tactical matter, Mr. Gates would be wise to start participating in the search for middle ground. The hearing last week shows that concern about his company is on the rise in Washington. If he continues to resist any effort to circumscribe his company's behavior, he may eventually find the Justice Department and Congress considering more-radical remedies.</p>	5		2
															14	3
															1	15
Mar 12, 1998.	27090844	Wall Street Journal	1013	12	Seeking Prosperity in Microsoft's Long Shadow <i>By Lee Gomes.</i>	11 G2	4	1			✓	Power. Giant				
May 1, 1998	29112509	Wall Street Journal	872	10	Microsoft Seeks Allies to Halt Antitrust Move <i>By John R. Wilke and David Bank.</i>	16 G1	2	1			✓	Power. Economy.				
May 6, 1998.	29208543	Wall Street Journal	993	14	Gates, U.S. Meet as New Lawsuit Looms <i>By John R. Wilke and David Bank.</i>	18	6	0	✓ (1)			Monopoly. Power. dominance	"I have been told that some executives in fact hope to see the Justice Department pursue further its case against Microsoft," Sen. Orrin Hatch (R., Utah), chairman of the Senate Judiciary Committee, said on the Senate floor, "but have chosen to join Mr. Gates on that stage today because they feel they have little choice but do so in order not to jeopardize their	1		14

													relationship with the industry's most powerful and important player."			
May 14, 1998.	29414253	Wall Street Journal	937	13	Windows 98 Offers Users Some Useful, But Not Vital, Features <i>By Walter S. Mossberg</i>	9	0	1		✓ (1)			Last week, Microsoft Chairman Bill Gates called Windows 98 "a major software innovation" and declared that "any government action that would derail or delay Windows 98 would hurt the American economy."		10	3
May 15, 1998	29440252	Wall Street Journal	1459	20	Microsoft, Signaling Concessions, Averts Suits for Now --- Windows Release Is Delayed Until Monday as Gates Talks to Antitrust Chief <i>By John R. Wilke and David Bank</i>	35 G1	4	0	✓ (1)			power	Beginning two weeks ago, Mr. Gates counterattacked. He launched a publicity blitz and an orchestrated show of computer-industry support, crisscrossing the country, accusing the regulators of stifling high-tech innovation and suggesting the suits would delay the introduction of Microsoft's new Windows 98 operating system, damaging the entire U.S. economy.	1		3
May 15, 1998.	29440285	Wall Street Journal	2355	28	Taking On Titans: Trustbuster Joel Klein, Once Viewed as Timid, Faces a Very Full Plate -- - The Microsoft Battle Is Big, But It's Only One of Many As Megamergers Pile Up --- A Run-In With Mrs. Clinton <i>By John R. Wilke and Bryan Gruley</i>	5	1	2	✓ (1)				Mr. Klein's biggest target is Mr. Gates and Microsoft. He was prepared yesterday to file a court case charging the software giant with violating the antitrust laws. But at the last minute, Microsoft offered significant new concessions, prompting a new round of talks that are likely to last into next week, with the outcome uncertain.	5		3
May 18, 1998.	29509500	Wall Street Journal	1433	20	Microsoft Faces Historic Antitrust Suits --- Filings by U.S., 20 States Expected Today as Talks On Settlement Collapse <i>By John R. Wilke and David Bank.</i>	37	1	1	✓ (1)	✓ (1)		Innovation	The two lawsuits, which will accuse Microsoft of illegally protecting a monopoly in computer operating systems, come after the collapse of settlement talks Saturday and accusations of bad faith by both sides. <i>The government blamed the breakdown on a decision by Bill Gates, Microsoft's chairman, to withdraw key concessions affecting its contracts with PC makers. Microsoft said it was blind-sided by a government suggestion that it distribute software from rival Netscape Communications Corp.</i>	1		1

													Mr. Gates vowed to defend what he called "the right of every American company to innovate." He said the government's demands "put everything <i>we have worked for and built for the past 23 years at risk.</i> " But he and other Microsoft officials said the company will continue to seek a settlement before the case goes to trial.		11	3
May 19, 1998.	29542869	Wall Street Journal	1499	14	Microsoft's Memos Bolster Government's Case <i>By Bryan Gruley</i>	32	3	1	✓ (1)	✓ (1)			<p>In a news conference yesterday, Microsoft executives declined to respond directly to the substance of the internal documents cited in the Justice Department complaint, saying they hadn't had a chance to read the complete filings. But Microsoft Chairman Bill Gates scoffed at the suggestion that such statements were evidence of illegal activity. "It's no surprise to me that there are quotes from inside Microsoft that say, 'Let's compete, let's do a better product,'" he said.</p> <p>Microsoft has steadfastly maintained that it has the right to integrate other products, such as the Internet browser, with its Windows product. The Justice Department cites several memos purporting to show that the company believed its Internet Explorer couldn't compete with Netscape's product unless it were bundled with Windows. Distributing the browser free also was designed to hurt Netscape, the department's lawsuit contends. The department cites a quote by Mr. Gates that appeared in the Financial Times in June 1996: "<i>Our business model works even if all Internet software is free . . . We are still selling operating systems. What does Netscape's business model look like [if that happens]? Not very good.</i>"</p>	2	16	5
May 19, 1998.	29542936	Wall Street Journal	895	11	U.S. v. Microsoft: A Case Built on Wild Speculation, Dubious Theories <i>By George L. Priest</i>	21	1	0			✓	Power. Intellectual capotal.				

May 19, 1998	29542907	Wall Street Journal	1757	25	U.S. Sues Microsoft on Antitrust Grounds --- Software Giant Is Accused Of Curbing Competition; States Also Bring Action <i>By John R. Wilke.</i>	44	3	1	✓ (2)			Innovation. Monopoly power	Antitrust chief Joel Klein accused Microsoft of launching a "barrage of illegal, anticompetitive practices . . . to destroy its rivals and avoid competition." He said <i>Microsoft Chairman Bill Gates targeted the fast-growing Internet and rival Netscape Communications Corp., which "posed a real threat to Microsoft's Windows monopoly."</i>	1		3
													The government quotes from internal e-mail message about a year earlier from Mr. Gates, who discussed financial inducements with Intuit Chairman Scott Cook. "I was quite frank with him, that if he had a favor we could do for him that would cost us something like \$1M [\$1 million] to do that in return for switching browsers in the next few months, I would be open to doing that."	1		24
May 19, 1998.	29542884	Wall Street Journal	1492	22	Is Microsoft a New 'Public Utility'? <i>By David Bank.</i>	47 G1	0	1	✓ (1)				Looming far out on the horizon is a far simpler government weapon: breaking up Microsoft. The Justice Department is known to have considered some blue-sky scenarios -- which would certainly be cleaner than setting up a long-term regulatory regime. <i>One radical plan would give the rights to some or all Windows products to each of four or five Baby Bills, forcing Microsoft to compete against itself. Another is to force Microsoft itself to decide how to divide the company, but leave it up to the judge or the Justice Department to decide which one Microsoft Chairman Bill Gates will lead.</i>	1		22
May 20, 1998.	29575427	Wall Street Journal	1059	17	Business World On Microsoft, Standard Oil and Trustbusters <i>By Holman W. Jenkins Jr.</i>	16	1	0			✓	Monopoly. Power				
May 20, 1998.	29575387	Wall Street Journal	822	16	Microsoft's Battle Offers Plenty of Work For Lawyers, Lobbyists and Economists <i>By Jacob M. Schlesinger And Paul M. Barrett.</i>	17 G1	0	1			✓					

May 20, 1998.	29575344	Wall Street Journal	1226	14	U.S. v. Microsoft: We're Defending Our Right to Innovate <i>By Bill Gates</i>	8	I 2	We 14		✓ (6)		Vision, innovation. Improve lives. Image	<p>When Paul Allen and I founded Microsoft in 1975, we shared a common vision -- to develop affordable, accessible software that would help consumers everywhere own a computer. And we knew that to make this vision a reality, we would have to listen to consumers and spend every day improving our products. We could never have guessed that our dedication to giving consumers what they want would one day lead us into a confrontation with the Department of Justice and 20 state attorneys general.</p> <p>I'm deeply disappointed that this has gone to litigation. We worked long and hard to avoid this outcome, which we believe will be bad not only for Microsoft, but for consumers, taxpayers and America's high-tech industry. We spent 10 days in serious discussions with the government, and offered substantive proposals that addressed their concerns. <i>But we were unwilling to compromise a principle fundamental to the high-tech industry -- the freedom to design products with the innovative new features, functions and improvements consumers want.</i></p> <p>Driving all this are consumers -- the free market's taskmasters. Everything Microsoft does -- and everything our competitors do in the marketplace -- is driven by the goal of giving consumers innovative tools and products that will improve their lives. That is the only way we can remain competitive.</p> <p>That's why we spend time and money every year researching and developing new products and new features. It's why we are working to develop software that will help computers interact with people more naturally -- computers that will be able to see, listen and learn. Consumers tell us they want an easier way to interact with their PCs than by typing on a keyboard. They want to talk to their PCs like they converse with each other. Such futuristic features</p>	11	1
														12	2
														15	6
														16	9

													won't be a standard part of your PC for several years. But if the government prevails, those features -- and many more like them -- may never reach your desktop, or will be more expensive and more difficult to use.				10	11	
													The odd thing is that each of these competitors has prospered by constantly integrating new features into its products -- just as Microsoft. IBM, Apple, Sun and Novell have each integrated Internet technology into their operating systems, while Netscape aims to transform its Web browser into an alternative operating system by integrating it with other software. <i>But because our operating system is -- for now -- the most popular, these competitors want to restrict us from innovating, while continuing to innovate themselves. They want to penalize us for being too good at giving consumers what they want.</i>						
													Windows, too, has always been subject to the same free-market challenges. The first versions of Windows weren't popular with consumers. We had to add features they wanted. <i>Next month we launch Windows 98, which will include even more innovations that consumers have told us they want -- the ability to watch television on their PC, more games support, full Web integration, greater reliability and speed, and so on. We know that if we don't continue to innovate, consumers will soon defect to other operating systems.</i>			11	13		
May 20, 1998.	29575290	Wall Street Journal	1134	16	Injunction Looms as Showdown for Microsoft <i>By Margaret A. Jacobs.</i>	17 G1	0	1			✓								
May 21, 1998	29601994	Wall Street Journal	846	10	Management: Microsoft Hears `White Noise' In Legal Battle <i>By David Bank</i>	14	1	1	✓ (2)			Teams. Competition. Image. Management	Internally, Microsoft's response to the lawsuits was low-key. Mr. Gates sent an e-mail Monday to all employees, reiterating the same arguments against the antitrust action he has been making to reporters and	9				6	

												Brain power. Incentives	government officials. The next day, Mr. Gates was holding back-to-back product meetings, the first to discuss new features customers are seeking, the second a regularly scheduled review. "My job is to make sure my piece of the pie is executed completely," Mr. Nielsen says. "We assume Bill will take care of the rest"	9		8
Jun 9, 1998.	30031174	Wall Street Journal	1779	25	Freedom Fighters: Antitrust Suits Expand And Libertarians Ask, Who's the Bad Guy? --- They Distrust Government, But Some See Microsoft And Intel as Exploitative --- Mr. Bork Spots a 'Predator' <i>By Gerald F. Seib.</i>	27	4	1	✓ (2)			Monopoly. Power & money. Entrepreneurial. Improve lives. Image. Influence. Business tactics	Libertarians even have staged some street activism, of a sort, on behalf of Microsoft. Students from the George Washington University College Libertarians appeared in front of the Justice Department building not long ago to protest against the Microsoft case. They carried signs proclaiming "Bill Gates Is Good for America" and "Don't Punish Success." Lisa Stronawski, one of the protesters, contends "that Bill Gates has done more to improve my life than [Attorney General] Janet Reno ever will."	5	1	24
Jun 25, 1998.	30445923	Wall Street Journal	2217	28	Bigger vs. Better: As Innovation Slows, Software Companies Pile On the Features --- It's Called Bloatware, and It Crowds Store Shelves; Microsoft's Small Step -- 'Like Owning a Car in 1910' <i>By Lee Gomes</i>	21	0	1			✓	Innovation=revolution. Improvement=change=perfection				
Jul 1, 1998.	30854209	Wall Street Journal	1089	10	Electronics: Microsoft Finds Windows CE Is No Juggernaut <i>By Lee Gomes</i>	24	1	0	✓ (1)				It's Bill Gates's latest crusade -- to move the Windows franchise beyond computers and into entertainment devices, consumer electronics and cars. This time, though, Microsoft Corp. seems to be finding there are limits to its leverage.	1		1
Jul 24,	32303588	Wall	826	15	Reno Gets By As Gates Gets	6	9	1	✓			Power.	The same immunity doesn't apply to Mr. Gates, who	5		11

1998.		Street Journal			Burned <i>By Paul A. Gigot.</i>				(2)			Image	faces law suits from Justice and 20 states. Far from scrutinizing this effort, Mr. Hatch has been urging them on. His one-sided hearing in March portrayed Mr. Gates as a robber baron, and he's kept the heat on since. No one seems sure why Mr. Gates has become the senator's great white whale. Some cite Utah-based Novell, Inc., whose software was crushed by Microsoft. Others think he wants to be president, or a Supreme Court justice, and so he craves the publicity a Republican gets when he attacks business.	5		14
Jul 24, 1998	32303633	Wall Street Journal	1013	15	Software: A Former Ally Joins the War On Microsoft <i>By John R. Wilke and Don Clark</i>	30 G1	1	1			✓	Business tactics. Innovation				
Jul 24, 1998.	32303593	Wall Street Journal	2006	33	Software Hardball: Why Oracle Is Having Fits With an Upstart Known as Microsoft --- Gates & Co. Use Price Cuts, Freebies to Bolster Share Of Business Customers --- Ellison's Pleas on Capitol Hill <i>By David Bank.</i>	58 G2	1	1		✓ (1)		Monopoly. Image. Value. Improve lives	On Thursday, Mr. Ellison testified before the Senate Judiciary Committee that Microsoft is seeking to extend its dominance. Microsoft CEO Bill Gates " <i>wants to add everything to Windows -- everything,</i> " said Mr. Ellison. "We are now seeing Microsoft leverage its monopoly into other markets." (Mr. Gates declined to attend the hearing, but a company spokesman said, "It's unfortunate that our competitors use the government as a weapon.") As for HBOC, the medical-software firm, Oracle executives never made a serious effort to persuade the company to stick with them, Mr. James says. Microsoft, on the other hand, committed to a joint-marketing plan, provided the company with free software and gave HBOC weeks of free access to its development labs, where the two companies simulated a supply system for a 500-bed hospital to test the software	9?	16	7 30
Aug 11,	32745450	Wall	900	13	Microsoft Launches New Attack	22	3	0	✓			Monopoly	In seeking to demonstrate Microsoft's anticompetitive	1		6

1998.		Street Journal			Against Suits <i>By Don Clark and Bryan Gruley</i>	S1			(1)				intent, the government suits cite Microsoft electronic-mail messages and internal documents to show that <i>Chairman Bill Gates and other executives were obsessed with the threat from Netscape, and had concluded that Microsoft couldn't boost its market share in the browser market without technical ties between that product and the operating system.</i> The suits also attack a series of Microsoft contract agreements with computer on-line and Internet services, PC makers and other partners that limited their ability to use or promote Netscape's browser.			
Sep 2, 1998	33574534	Wall Street Journal	966	14	U.S. Adds to Case vs. Microsoft and Gates Illegal Pressure on Apple, Intel, Others Alleged; Chairman's Role Noted <i>By John R. Wilke and Don Clark.</i>	27	3	1	✓ (3)			Monopoly	They also charged that Microsoft Chairman Bill Gates was at the center of these efforts. In a deposition last week, Mr. Gates said he first learned of the meeting in an article in The Wall Street Journal earlier this year, people close to the case said. But the government has obtained electronic-mail messages from <i>Microsoft executives to Mr. Gates detailing plans for the Netscape meeting before it occurred, then reporting its results, these people said.</i> <i>Mr. Gates, "who is placed at the center of key events by numerous documents, displayed a particular failure of recollection at his deposition," the federal-state filing said; his deposition is scheduled to resume today. Some of the documents cited in the brief released to the public yesterday were removed to protect confidential commercial information, lawyers on both sides said.</i>	1 1 1		1 3 4
Sep 10, 1998	33773966	Wall Street Journal	930	12	Beating Up on Bill <i>By Holman Jenkins Jr.</i>	16	11	0	✓ (3)			Monopoly. Image. Power	Halfway through "The Microsoft File" (Times Books, 313 pages, \$25.95), Wendy Goldman Rohm interjects that " <i>everybody was getting a bit bored with figuring out the bits and bytes of Bill Gates.</i> "	5 1		1 9

												<p>One of those enemies, Novell Chairman Ray Noorda, was obviously a big source for Ms. Rohm. He is forever using tough-guy bluster to cover his chagrin at being bested by "Pearly Gates" (as he calls the Microsoft honcho). At an airport meeting, he accuses Mr. Gates of stringing him along with phony merger talks while gathering information about Novell's plans. Mr. Gates rocks back and forth, protesting, <i>"But I did want to merge! I did want to merge!"</i> As elsewhere, Mr. Gates comes across as a guy who succeeds not by being more clairvoyant or more powerful than anyone else, but by keeping his finger in every pie and shifting his focus quickly to whichever one catches the computing world's fancy.</p> <p>As the trial date approaches, the department has begun throwing every new allegation it can think of against the wall -- concerning Microsoft's dealings with Intel, with Apple, with the entire industry. Justice has given up one of antitrust's basic tenets, that a "monopoly" is illegal only if it arises from illegal means. <i>Bill Gates may be eager to smite his competitors, but so are a lot of businessmen. That, and having the right product at the right time, makes you worth \$40 billion.</i></p>	1	10
Sep 16, 1998.	34037545	Wall Street Journal	1085	15	Business World: Arggghh, Microsoft! <i>By Holman W. Jenkins Jr.</i>	10	5	0	✓ (2)		Media. Appearance. Image	<p>The lawyers for IBM knew what they were doing: Delay, delay, delay, until Washington came to its senses. <i>Bill Gates, responsible for a thriving, busy enterprise, would be foolish not to do the same.</i> And, to Joel Klein at Justice, what could be more mortifying than the prospect of a court finally gazing upon his months of aimless labor? Even should he win, he can't say what he wants to do with Microsoft.</p> <p>Bill Gates would be a fool not to recognize what is going on. The great media eye having fallen on his personal wealth, and many members of the media class being erotomaniacally involved with their</p>	9 5	2 5

													computers, he was destined to be our age's target. He will remain the target until the media squirrel gets in its wheel and runs the other way.			
Sep 18, 1998.	34123123	Wall Street Journal	1015	15	At Augusta National, Microsoft's Bill Gates Hits an Iron (Curtain) --- Billionaire Duffer Would Love To Belong to Storied Club, But He Lacks an Invitation <i>By John R. Wilke.</i>	5	12	0			✓					
Oct 5, 1998	34779364	Wall Street Journal	2145	28	Microsoft Case: Tapes, E-Mail and Meetings <i>By John R. Wilke</i>	55 G1	15	1	✓ (7)			Business tactics. Public image	At the Feb. 13 meeting, according to an account provided by Apple to the Justice Department, Microsoft executive Don Bradford delivered a message to Apple's chief technologist, Avi Tevanian. Mr. Bradford said <i>Microsoft Chairman Bill Gates wanted Apple to keep its popular QuickTime multimedia software out of the Windows software market, antitrust investigators were told. In exchange, the investigators were told, Microsoft would help Apple in the smaller market for video-software tools. Apple declined the offer.</i> But the Justice Department will offer several memos written by top Microsoft officials to Mr. Gates in the days preceding the meeting. In one, Mr. Gates's senior strategist, Paul Maritz, says the goal of the talks with Netscape's chief executive, Jim Barksdale, is to "move Netscape out of Win 95, avoid battling them in the next year." After the meeting, another executive reported in an e-mail to Mr. Gates that the meeting's goal was to "establish Microsoft ownership of the Internet client platform in Windows." The government will counter that Microsoft executives saw Netscape's browser as a mortal threat to the company's Windows monopoly. Prosecutors will cite alleged exclusionary deals with PC makers, Internet service providers and companies with popular	1 4 1?	2 6 20	

													Web sites.			
													The prosecutors will also cite Microsoft's dealings with Apple to try to show how far <i>Mr. Gates was willing to go to crush Netscape</i> and to stop another competing technology, the Internet-friendly Java software language made by Sun Microsystems Inc., which didn't need Windows to run	1		21
													Evidence in the case also suggests Mr. Gates directed an effort to "wrest control of Java from Sun" with a "polluted" Java version for Windows, the government plans to argue at the trial. "We are just proactively trying to put obstacles in Sun's path and get anyone who wants to write in Java to use J/Direct," the Windows version, an executive reported to Mr. Gates in a 1997 memo.	1		22
													The government's evidence will likely raise questions about Microsoft's intentions. Prosecutors have an e-mail from a senior Microsoft manager to another executive that refers to a "conversation with billg last night." <i>The Aug. 21, 1997, memo says Mr. Gates's "top priority" was to get Apple to take Internet Explorer. "We should do whatever it takes to make this happen . . . bill was clear that the whole goal here is to keep apple and sun split," the e-mail says. "He doesn't care that much about being aligned with apple, he just wants them split from other potential allies."</i>	4		24
													Mr. Gates, the government will allege, responded by writing to Microsoft executives after receiving Mr. Tevanian's e-mail that he wanted "to get as much mileage as possible out of our Java and browser relationship . . . do we have a clear plan on what we want Apple to do to undermine Sun?"	1		27
Oct 5,	34779331	Wall	1294	15	Manager's Journal: Why We're	13	0	1	✓			Monopoly	Why don't we ask Microsoft CEO Bill Gates what he	8		7

1998.		Street Journal			Suing Microsoft By Scott McNealy.				(1)			power. Innovation. Competition	thinks? In an essay on this page in November 1997, he declared that his company needed strict controls over how its technology was distributed: "Without a uniform Windows installation, end-users could not be sure of the performance of the integrated operating system, and Microsoft could not stand behind its product. Furthermore, Windows would become Balkanized, like the many incompatible versions of UNIX. This would eventually drive prices for PC products higher as software developers and hardware manufacturers would have to develop and test their products for all the different versions of Windows. And innovation would slow because developers would be reluctant to write new programs if they couldn't be sure that new features would work on all Windows PCs."			
Oct 12, 1998.	34974643	Wall Street Journal	412	7	Microsoft Goals Include Software Accessible By David Bank	4	3	5	✓ (1)				Mr. Gates who recently relinquished some business responsible to focus on Microsoft's technology and product strategies, outlined the challenges in a 14-page memo sent to Redmond, Wash., company's top managers last month. The memo which makes no mention of the antitrust suit against the company that is scheduled to go to trial next week, was intended to keep the company focused on its core business	9		2
Oct 16, 1998.	35111319	Wall Street Journal	1425	35	Microsoft Trial Promises Stars, Impact, Legal Fireworks By John R. Wilke.	28 G1	3	0	✓ (1)			Power Monopoly Facts	Provocative evidence abounds. The government's 155-page exhibit list includes oblique references to some of Microsoft's most closely held secrets, including something labeled "Gates unplugged," a handwritten note from last July 11. Evidence could also be presented from BellSouth Corp., Ameritech Corp., U S West Inc., Lucent Corp. and Dell Computer Corp.	1		2
Oct 19, 1998.	35166009	Wall Street	854	13	America Online Gives U.S. Prosecutors New Evidence in	28 S1	3	1	✓ (3)			Facts. Monopoly	Also retrieved from AOL's files are notes from a Jan. 18, 1996, meeting between Microsoft and AOL	1		5

		Journal			Case Against Microsoft By John R. Wilke.							power	executives. According to the notes, <i>Microsoft Chairman Bill Gates tried to persuade AOL to align with his company and dump Netscape. At one point, according to the notes, "Gates delivered a characteristically blunt query: how much do we need to pay you to screw Netscape?" Later, the notes purport to quote Mr. Gates saying, "This is your lucky day."</i> The memo, dated Jan. 21, 1996, also suggests that Microsoft offered another incentive -- a "significant long-term commitment to buying advertising from AOL", described as being "on the order of tens of millions of dollars of advertising and promotion." However, the memo says <i>Mr. Gates stopped short of agreeing to package AOL's software with Windows 95.</i> The memo was signed "DCC," identified in a court document as David Cole, an AOL executive; it was sent to AOL Chairman Steve Case and a dozen other senior managers. The memo concludes that <i>Mr. Gates's basic message was "wake up and go where the power is."</i>	1		8	
															1		9
Oct 19, 1998.	35166016	Wall Street Journal	1106	15	Gates Pushes Integration Even as Microsoft Trial Looms By David Bank	25	7	0	✓ (2)			Innovation	Bill Gates has a message for anyone who thinks the government will cause Microsoft Corp. to scale back its outsized ambitions: You ain't seen nothing yet. The most far-reaching integration effort involves Mr. Gates' vision for Megaserver, which he says will likewise require Windows developers to work with the Interactive Media Group. Megaserver would manage users' personal data and documents on the Internet so information would be available from any computer or non-PC device, such as a handheld computer or television set-top box.	1	1	1	14

Oct 20, 1998.	35178215	Wall Street Journal	1074		Gates Under Fire as Microsoft Trial Opens <i>By John R. Wilke.</i>	26 S1	8	0	✓ (1)			Credibility. Monopoly. Power. Competition	WASHINGTON -- The government launched a blistering attack on Microsoft Corp. <i>Chairman Bill Gates, challenging his credibility under oath and charging that he personally directed a campaign to crush a competitor that threatened his company's monopoly.</i>	5		1
Oct 21, 1998	35210634	Wall Street Journal	1263	19	Microsoft Blasts Prosecution as 'Return of the Luddites' <i>By John R. Wilke.</i>	24 S1	2	0	✓ (1)			Credibility. Innovation. Monopoly. Competitive. tactics	<i>On Monday, prosecutors charged in U.S. District Court here that the Microsoft chairman had personally directed a campaign to crush an innovative competitor, Netscape Communications Corp., whose Internet software threatened to erode the market power of Microsoft's Windows franchise. They cited numerous internal documents that they said showed Mr. Gates's hardball tactics.</i>	1		3
Oct 30, 1998	35499836	Wall Street Journal	1019	15	Gates Videotape Is Delayed Again As Microsoft Trial Plods Along <i>By John R. Wilke</i>	18	13	0	✓ (2)			Credibility. Integrity	The delay irked prosecutors, who think the videotape of Mr. Gates's deposition -- which also will be available to television stations through a video feed -- will dramatically call into question the credibility of the world's richest man, who they allege masterminded plans to monopolize much of the software industry. "Apparently Bill just exploded at John Malone . . . as part of their scheduled one-on-one meeting, threatening to bury his company, buy cable operators and do whatever it took to crush At Home since we are so obviously anti-Microsoft that it's criminal," Mr. Medin wrote to Netscape's Marc Andreessen in the message, entitled "Gates on the Warpath."	1 1		2 13
Nov 2, 1998.	35572183	Wall Street Journal	1204	17	In U.S. vs. Microsoft, Government Has Edge <i>By John R. Wilke and Bryan Gruley</i>	34 G1	3	0	✓ (1)			Power/dominance Competition Innovation	"It's too personal -- it has become a case against Gates," he says. "It should be a case against	5		17

												Credgibity Tactics	anticompetitive behavior by a company."			
Nov 3, 1998.	35607715	Wall Street Journal	1003	13	Gates Appears Sullen in Trial Videotape --- Microsoft Chairman Denies Knowledge of Events Despite Data Presented <i>John R. Wilke and Bryan Gruley.</i>	21	17	0	✓ (1)			Image. Sensalisation Credibility	Microsoft denounced what it called "an unfair personal attack on Bill Gates," and a spokesman said the taped testimony showed "a witness who doesn't let the government put words in his mouth, doesn't let the government bully him" into saying what it wants him to say. <i>He charged that the government is unfairly trying to make the trial revolve around Mr. Gates and that it only played selected excerpts of the taped testimony in order to show him in a negative light and sensationalize the trial.</i>	1		5
Nov 9, 1998.	35763708	Wall Street Journal	1275	19	Even Great CEOs Can Be Terrible Witnesses <i>By Milo Geyelin</i>	4	10	1	✓ (1)			Vision. Image. Facts	<i>Mr. Gates, who steered his company to world-wide dominance in computer software, was seen gazing down at the table in front of him, rocking back and forth in his chair and repeatedly answering "I don't know" and "I can't recall." At one point, U.S. District Judge Thomas Penfield Jackson, who is hearing the case without a jury, chuckled and shook his head in apparent disbelief.</i>	4		3
Nov 10, 1998	35787817	Wall Street Journal	1042	16	Microsoft Threatened to Withhold Help On New Chip, Intel Executive Testifies <i>By John R. Wilke</i>	26	7	1			✓	Innovation Improvement				
Nov 11, 1998	35831222	Wall Street Journal	795	14	Chief of Microsoft's Interactive Media To Take a Leave, Clouding Unit's Plans <i>By David Bank and Kara Swisher</i>	13	1	1			✓	Talent				
Nov 11, 1998.	35878405	Wall Street	886	13	Intel Official Testifies on Gates Prediction	24	5	0	✓ (1)			Monopoly	<i>Mr. McGeady also charged that Microsoft executives had a plan to take over public standards for the</i>	4		4

		Journal			<i>By John R. Wilke</i>								<i>Internet and tie them more closely to Microsoft's Windows operating system. They include the HTTP standard that is now familiar to even casual users of the Internet, and the basic software language for writing Web pages, known as HTML, which among other things gives Web pages their ability to quickly link to other pages when a user clicks on an underlined word.</i>			
Nov 16, 1998.	35976963	Wall Street Journal	1449	19	What Happens to Microsoft if It Loses Antitrust Case? <i>By Wall Street Journal staff reporters John R. Wilke, Bryan Gruley and David Bank.</i>	26	3	0			✓	Monopoly Competition New ideas				
Nov 19, 1998.	36073285	Wall Street Journal	2418	35	Noise Inhibitor: Rivals of Microsoft Find Collaboration Is Easier Said Than Done --- When the Chips Are Down, Factions Often Rise Up And Squabbles Ensur --- Will IBM Play High Sheriff? <i>By David Bank.</i>	46 G1	4	0		✓ (1)		Competition Power Vision	"Every time they have one of those great committee meetings, the guy comes back to Sun and says, 'Am I supposed to make my Unix run better than the other guy's?'" Mr. Gates recalled in a recent interview. "The Unix guys didn't ever have a standard."		12	5
Nov 20, 1998	36118598	Wall Street Journal	825	12	Microsoft Fights Assertions of Monopoly --- Contest in Antitrust Trial Turns to Significance Of Company's Pricing <i>By Bryan Gruley and Keith Perine.</i>	20	9	1	✓ (1)		✓	Image PR vs substance. Monopoly Competition	That won't happen, Microsoft says. "Microsoft sees no need to change strategy," the company's spokesman said yesterday. "We think we're winning this case on the merits. The government is . . . turning this into a personal attack on Bill Gates."	5		10
Dec 2, 1998	36411464	Wall Street Journal	920	12	Microsoft Has Monopoly Power On Software, Economist Testifies <i>By John R. Wilke</i>	25 g1					✓	Monopoly power. Compwtion. Tactics(subv ersion)				
Dec 3,	36440529	Wall	908	14	Gates Denies Knowing About	16	13	1			✓					

1998.		Street Journal			Strategic Development of Software at Microsoft <i>By John R. Wilke and Keith Perine</i>												
Dec 8, 1998.	36584602	Wall Street Journal	1042	14	Gates Cites AOL Merger In Defense <i>By John R. Wilke</i>	17 \$1	9	0	✓ (1)			Monopoly. Competie tactics. Politics. Personal attacks	In his remarks yesterday Mr. Gates said that David Boies, the Justice Department's lead prosecutor, is "a lawyer asking questions using ambiguous terms" meant to trip him up. A Microsoft lawyer, John Warden, added that "the deposition of Mr. Gates was designed by the government for the sole purpose of turning this case into a personal attack" on Mr. Gates.	5		10	
Dec 15, 1998	37124719	Wall Street Journal	769	11	Microsoft Invests \$200 Million in Qwest	15	1	1			✓						
Dec 16, 1998	37195739	Wall Street Journal	917	13	Intuit to Allege Microsoft Got It To Drop Rival <i>By John R. Wilke.</i>	29 \$1	1	1	✓ (1)			Monopoly power. Control	The government yesterday also played more portions of Microsoft Chairman Bill Gates's videotaped testimony. <i>Mr. Gates was confronted with a memo from one of his top executives saying that a "hit team" should be sent to International Business Machines Corp. to "apply some pressure" and stop it from supporting Lotus Development Corp.'s rival Notes software.</i> Mr. Gates countered that the "hit team" simply referred to salesmen; he didn't directly respond to questions about pressuring IBM.	9		10	
Feb 7, 2006.	982586951	Wall Street Journal	2035	33	Default Lines: Pressuring Microsoft, PC Makers Team Up With Its Software Rivals; Dell Is in Talks With Google To Use Search Services; Winning Loyalty at Set-Up; 'A Magic Time for End Users' <i>Robert A. Guth and Kevin J. Delaney.</i>	44	0	1			✓		<i>Microsoft executives say their guiding principle is to give PC users a quick and easy way to set up a new computer.</i> PC makers have plenty of opportunities to add software from Microsoft rivals; "it does not need to all be piled into the first 10 minutes," says Microsoft's Mr. Poole. "That's a fairly magic time for end users and it's a time that you want to be engaging them and having them feel great about the product."	1		25	
May 5,	1032293161	Wall	2452	35	Second Front: Why Microsoft	55	0	1			✓	Business					

2006.		Street Journal			Battles Europe Years After Settling With U.S.; Suspicions and Missteps Keep Its Antitrust Case Alive; Guarding Rival Engineers; Spat Over Encrypting a Disk <i>Mary Jacoby.</i>	G2						tactics. Power. Monopoly. Intellectual property.				
Jun 16, 2006.	1061250021	Wall Street Journal	1371	24	During 1990s, Microsoft Practiced Variation of Options Backdating <i>Charles Forelle and James Bandler</i>	19 S1	0	1			✓					
Jun 16, 2006.	1061249851	Wall Street Journal	1149	22	Gates Will Cede Day-to-Day Role At Microsoft <i>Robert A. Guth and Don Clark</i>	19 S1	23	F 1	✓ (3)			Power. Vision. Philanthoc. Impact. Celebrity	Still, the announcement underscores the preeminence of Steve Ballmer, 50, who took over the CEO job in 2000 and has increasingly been putting his own stamp on the organization. <i>The changes could accelerate his plan to push more responsibility to lower-level executives, in hopes of speeding the pace of decision-making.</i> <i>"Bill Gates was a terrific player in a world where software was in a box and he made a profit on that product,"</i> says George Colony, chief executive of the market-research firm Forrester Research. "I think he's having a very difficult time understanding how to compete in a world where that is free." Since handing over the day-to-day management to Mr. Ballmer, <i>Mr. Gates has guided broad technology directions of the company, for instance, its push into videogames and strategy for Internet search. He is also far more of a celebrity than Mr. Ballmer.</i> <i>Mr. Gates is "more than just an executive. He's really an extension of the brand,"</i> said Pascal N. Levensohn, a San Francisco venture- capital investor who has studied management change at smaller companies.	9 8 1 5		6 9 13 14

													<i>Mr. Ballmer said he will focus in the next year on giving more responsibility to head technical executives of Microsoft's three main business units, much of which Mr. Gates handles. Besides the roles being assumed by Mr. Ozzie, other chores now handled by Mr. Gates will be assumed by Mr. Mundie and Brad Smith, Microsoft's general counsel, the company said.</i>	9?		20
Jun 17, 2006.	1062414741	Wall Street Journal	614	9	A Collaborator Stands Beside Gates; As Microsoft Software Chief, Ozzie Could Make a Push For Simpler Technology <i>Robert A. Guth.</i>	6	8	0	✓ (2)				<p>"That idea that, 'yes you understand technology . . . but then does it come together in a simple way?' " Mr. Gates said. "Ray's not one to brag about his skill set, but his approach is the right approach to this role."</p> <p>He added that the company faces a "tough balance" in trying to foster leaders by giving them responsibility, while also trying to help them coordinate with other groups in the company.</p> <p>Mr. Ozzie has spent the past year working on a key piece of that, a set of services under the brand "Live" that delivers software to businesses and Internet searches to consumers. He and other Microsoft leaders say those are just the start of Internet-based services that move much of the software and storage on PCs onto the Internet. Some of those services are being pioneered by Google Inc. and other Internet companies.</p>	14	3	
Jun 19, 2006.	1062415011	Wall Street Journal	1724	18	All Things Digital; Bill Gates on...the Competition <i>Walt Mossberg and Kara Swisher.</i>	5	We18 I 3	1	✓ (1)			Credibility. Reputation. Innovation	<i>MICROSOFT CORP. Chairman Bill Gates is leading the powerful software company at a time when it's facing new threats from nearly all sides. He talked with Walt Mossberg and Kara Swisher about the new Vista operating system, the challenges from Google Inc. and Apple Computer Inc., and watching old</i>	1		1

													Harlem Globetrotters movies on the Internet.			
Jun 26, 2006	1066293351	Wall Street Journal	1340	18	Warren Buffett Gives \$30 Billion to Gates Foundation; Bill Gates's New Role Promises More Questions, Faster Answers And More Access to World Leaders <i>Marilyn Chase</i>	14	17	8	✓ (4)	(1)		Knowledge Philanthropy . Questions. Learner. Evidence based approach. Priority.	<p>But earlier this month, Mr. Gates announced his intent to relinquish day-to-day management of Microsoft in 2008. Though he will remain chairman, the transition will let him shift his energies to the foundation, which has already changed the face of philanthropy by merging charity with the rigor of business management.</p> <p>Some predict that Mr. Gates will bring his fabled micromanagement style with him. "He's definitely not a laissez-faire kind of guy," says Esther Dyson, editor of the tech review Release 1.0. <i>Mr. Gates is a voracious reader of science and history who questions subordinates relentlessly about their projects, she says. "If he respects you, he'll argue with you. If not, he ignores you," she says. "If he says, 'That's stupid,' it means he cares" about a project, she adds. "He's not a do-gooder. He's a learner."</i></p> <p><i>Some observers say Mr. Gates's focus on details -- which can draw questions by email any time of the day or night -- brings good results. "There isn't a person in the world who wouldn't take his phone call. [So] if he takes an interest in the details, that's a good thing," adds Ms. Dyson.</i></p> <p>Patty Stonesifer, chief executive officer of the foundation and a longtime Gates colleague, has denied that the transition bodes any major new management reshuffling. In April, the foundation restructured operations under three presidents: Dr. Yamada as president, Global Health; Sylvia Mathews, president, Global Development; and Allan Golston, president U.S. Programs. <i>Co-chairs of the foundation are Bill Gates, his wife, Melinda French Gates, and his father, William H. Gates Sr. The Gateses set strategic direction, use their voices for advocacy in</i></p>	1	15	5
														9	11	
														1	12	

													<i>elite circles and build partnerships.</i>			
													A cadre of handpicked physicians, public-health veterans and corporate leaders manage operations.	2		12
													Mr. Gates's new involvement comes as other key posts at the foundation are in transition. Helene Gayle, former chief of AIDS, TB and STDS, left this spring to become president and CEO of CARE, the Atlanta-based global humanitarian organization. Dr. Yamada's predecessor, Rick Klausner, who left last fall by mutual agreement with foundation chiefs and now is a health consultant to the Indian government, says having the <i>Gateses on site more often could streamline decision-making and draw more creative intellectuals to work at the foundation. "The challenge is for Bill's personality not to overwhelm the foundation," he adds, but to fuel "creative tension."</i>	1		15
Jul 7, 2006.	1072989461	Wall Street Journal	1240	14	WEEKEND JOURNAL; Taste: Open the FloodGates <i>John J. Miller.</i>	5	18	2	✓ (4)			Philanthropy . Global health and American education. Influence. Intellectual people. Talent. Innovation. Philanthropic dynasty	His statement was a cliché, but a strange one. Are we to assume that he has <i>spent his adult life "taking away" -- as if he and the other parasites at Microsoft must make amends for having sucked the life out of the U.S. economy?</i> Surely there are better reasons to embark upon the world's biggest grant-making program than to salve the conscience of a guy who has no business feeling guilty in the first place. One thing is clear: Mr. Buffett's cash is better off in the hands of Mr. and Mrs. Gates than in his own. Microsoft ads once asked, "Where do you want to go today?" When it comes to charitable causes, Mr. Buffett apparently would prefer to go back to the discredited doomsday theorizing of Paul Ehrlich's 1968 book, "The Population Bomb": His track record in philanthropy has displayed an unfortunate interest in population control. Roger Lowenstein, a Buffett biographer, has described his subject's "Malthusian	4	6	2 5

												dread that overpopulation would aggravate problems in all other areas -- such as food, housing, even human survival."				
												Although the Gates Foundation has given \$34 million to Planned Parenthood and similar organizations, its dedication to beating killer diseases in the developing world is anything but Malthusian. (It remains to be seen what influence, if any, the addition of Mr. Buffett to the board of the Gates Foundation will have.) <i>It's too soon to judge the foundation's effectiveness in fighting AIDS, malaria and tuberculosis, though Mr. and Mrs. Gates have won praise for their willingness to try several approaches at once.</i>	1		6	
												<i>Mr. Buffett's strategy of outsourcing his philanthropy recalls his approach to investment, which involves identifying good companies run by talented people and backing them.</i> Would-be imitators have turned books such as "The Warren Buffett Way" and "Buffettology" into best sellers; perhaps Mr. Buffett will persuade other wealthy individuals to give away their fortunes through existing foundations instead of establishing their own. Ultimately, we could see a market in philanthropic capital in which donor groups compete for resources the way their recipients do now. This would be healthy, as the best foundations presumably would attract the most assets.	6		9	
Jul 8, 2006	1073586981	Wall Street Journal	2550	29	The Great Giveaway; Like Warren Buffett, a new wave of philanthropists are rushing to spend their money before they die <i>John Hechinger and Daniel Golden.</i>	F 10	6	0	✓ (5)			Measrablty. Philanthropy . Brainpower. Reputation. Government	<i>The Sandlers' plan, like Mr. Buffett's \$30 billion gift to the Gates foundation announced last month, exemplifies the changing pattern of U.S. philanthropy -- and the Gates organization's increasing influence over it.</i> The charitable titans of today are unlike many of the old- school business bluebloods who sought to immortalize their names by setting up foundations that parceled out small gifts forever. Instead, some of America's wealthiest moguls-turned-philanthropists --	1		3

													foundation. He admires the Gates foundation's program in Zambia, fighting malaria, and hopes to work together to replicate its methods in other countries. <i>Like Mr. Gates, Mr. Sandler is looking for "gaps" in giving that he can fill, such as basic scientific research shunned by most big drug companies.</i> Another interest: fighting asthma, which disproportionately afflicts the poor in innercity America.	1		28
Jul 11, 2006.	1074885241	Wall Street Journal	1153	17	Two Bills, One Mission; Vastly Different Personalities, Messrs. Clinton, Gates Join Forces In a Global Effort to Fight AIDS <i>Marilyn Chase.</i>	F 5	16	2	✓ (3)			Super NGO. Philanthropist. Financial figure not public figure	<p>Lesotho is a highly significant venue for the two to visit because of such factors as its nationwide HIV testing, and destigmatization of treatment, says Trevor Neilson, a former spokesman for both President Clinton and for the Gates Foundation and now a partner in Endeavor Group, a philanthropic-strategy firm in Washington. "It's a little country showing what can be done," he said. <i>He adds: "It's not an exaggeration to say the two Bills are leading the world in the fight against AIDS."</i></p> <p>"The Gates Foundation is doing good work but doesn't have a direct agreement with government," he says. "He is private-sector and NGO- oriented. We're providing a small amount of money but that's not our main activity. We're not going to compete with Gates or the U.S. government at handing out money. We mostly provide technical assistance."</p> <p>"Gates doesn't work as well with governments because he doesn't have the skills or political acquaintances," says Mr. Holbrooke. "Clinton doesn't have the resources. But Clinton is the most important public figure and Gates the most important financial figure." And while differences between the two are "true," says Mr. Holbrooke, they are "of low-level importance." He adds: <i>"What's important is there's a marriage of many organizations of which Clinton's and Gates's are the most powerful."</i></p>	1 5 1		8 15 17

Jul 14, 2006.	1076775231	Wall Street Journal	1033	11	Wonder Land: Bill Gates's Giving Opens Windows Of Moral Flattery <i>Daniel Henninger.</i>	3	9	5	✓ (3)				<p>Julius Rosenwald, the man behind Sears Roebuck and one of the greatest if least-known philanthropists of the last century, said, "It is nearly always easier to make \$1,000,000 honestly than to dispose of it wisely." Enter the Bill and Melinda Gates Foundation. <i>There is some expectation that Mr. Gates will be a Yoda-like wise man who changes philanthropy's operating paradigms.</i> A good start would be to create a Team B of outside, independent auditors using common benchmarks of performance to rate his and others' philanthropic inputs.</p> <p>Still, no matter how smart or efficient Mr. Gates makes his foundation, it still must function in the world as it is, whether the project site is diseased Africa or undereducated San Diego. Of course, the Gates Foundation now has a third trustee, Warren Buffett. In the coverage of this happy union, two relevant and intriguing remarks have been attributed to Mr. Buffett that may help to frame the issues ahead for this \$60 billion foundation and all of the new money behind 21st- century philanthropy.</p> <p>Several days ago an article in this paper noted what might be called a subsidiary union between Mr. Gates and Bill Clinton to combat HIV/AIDS. The piece noted that Mr. Clinton represents large- government, G-8-type approaches to the hard problems. It quoted Richard Holbrooke, a former Clinton janissary and now head of the Global Business Coalition on HIV/AIDS as calling the Clinton-Gates relationship "the beginning of what you might call the first super NGO." But the article also noted that <i>Mr. Gates tends to be averse to processing his grant money through politicians. This brings us to the sine qua non of any successful philanthropic effort -- the founder's vision. A good philanthropy, as when Andrew Carnegie ran his, does what the founder wants, not what the world</i></p>	1	9	5	5
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													<i>says he should want.</i>			
Jul 20, 2006	1080208911	Wall Street Journal	1060	16	Gates Won't Fund AIDS Researchers Unless They Pool Data <i>Marilyn Chase.</i>	F2	2	1			✓					
Jul 28, 2006.	1084805041	Wall Street Journal	1602	20	Boss Talk: An Imprint All His Own; Now a Solo Act at Microsoft, Ballmer Stresses Innovation, Is Bullish on Online Services <i>Robert A. Guth.</i>	10	8	0	✓ (4)			Greatness. Innovation. People as competitive weapons. Talent	<i>For 26 years, the chief executive of Microsoft Corp. had worked hand in hand with Bill Gates to guide a tiny personal-computer-software maker into a technology behemoth whose products are at the center of the world's businesses and homes. But the day before, Mr. Gates had announced plans to step away from Microsoft in two years. The duo would become a solo act.</i>	4		1
													<i>Now, Mr. Ballmer must show that Microsoft's greatness transcends the man who is so closely associated with the company. And he must lead Microsoft at what is arguably the most challenging period in its history. Shareholders are grumbling about a stock price that has been flat for five years and gripe about Microsoft's practice of not distributing more of its cash hoard, even as Mr. Ballmer this month announced a \$20 billion share-buyback program designed to boost the stock price.</i>	5		2
													<i>Mr. Ballmer has help, of course. Mr. Gates is passing his direct duties on to two lieutenants, Ray Ozzie and Craig Mundie. Even so, without Mr. Gates there to push Microsoft into new technologies and markets, Mr. Ballmer says he himself will need to take on some of his old friend's specialty as an advocate for innovation.</i>		16	4
													<i>In his first one-on-one interview since Mr. Gates's retirement announcement, Mr. Ballmer said he looks forward to the challenge of leading through Mr. Gates's departure. He is bullish on Microsoft's</i>		16	5

													<p>investments in online services, and he dismisses as "random malarkey" the idea that Microsoft is having trouble hiring and keeping the <i>kind of brilliant employees that have always been the company's competitive weapon. Excerpts:</i></p> <p><i>Mr. Ballmer: As co-leaders of the business, I could allow Bill to be the full-time champion of innovation. And [now] with me really being the guy who's here every day running the place, I must be the champion of innovation.</i> That doesn't mean I must be the guy who comes up with every innovation, but I really have to carry the mantle that says we're going to innovate, we're going to do new things, we're going to get into new areas, we're going to protect and nurture all kinds of innovation. That is my role.</p> <p>I told this to Bill when he first started talking to me about [moving on] two years ago: The No. 1 thing I will worry about when you go is whether we continue to have the aggressive -- positively aggressive -- view of pushing for new things. And I told him right there and then that that is something that I will not be able to delegate. Others can participate with me, <i>but I'm going to have to be the standard bearer of the tone that says we are bold and expansionist.</i></p> <p>The second thing: retention. Our retention rates are almost too high -- in the sense that I always hope <i>we're working hard on helping people who don't belong here not to belong here.</i> But we're around 3% or so of what we call unwanted attrition. The only time we've ever been lower was right after the dot-com bubble burst.</p>	5	9
													<p>I told this to Bill when he first started talking to me about [moving on] two years ago: The No. 1 thing I will worry about when you go is whether we continue to have the aggressive -- positively aggressive -- view of pushing for new things. And I told him right there and then that that is something that I will not be able to delegate. Others can participate with me, <i>but I'm going to have to be the standard bearer of the tone that says we are bold and expansionist.</i></p>	9?	10
													<p>The second thing: retention. Our retention rates are almost too high -- in the sense that I always hope <i>we're working hard on helping people who don't belong here not to belong here.</i> But we're around 3% or so of what we call unwanted attrition. The only time we've ever been lower was right after the dot-com bubble burst.</p>	9?	12
Jun 3, 1995.	4743327	The Economist	954	11	Bill Gates and the open road Vol.335, Iss. 7917; pg. 30, 1 pgs	3	8	0	✓ (1)				BEING smarter than most tycoons, richer than several small countries and as powerful as any minor deity, Bill Gates might not seem the type to et over-excited about being on television. Yet here he was, on a dewy	1	1

													Seattle morning in November 1993, grinning and babbling about the "pretty cool" pro-NAFTA commercial he had just finished filming. With the vote days away, <i>Mr Gates was caught up: not just in the possibilities of a trade pact that would yield yet more millions for Microsoft, but in helping a Clinton administration which was also championing the information superhighway; an administration, he said, which "actually seems to et it".</i>			
Jan 28, 1995	1479592	The Economist	852	9	Not dead yet <i>Anonymous.</i> Vol.334, Iss. 7899; pg. 60, 3 pgs	24	1	1			✓	Competition. Dominance. Credibility. Unfair tactics				
May 13, 1995.	1480994	The Economist	1171	14	Novell: Connection king <i>Anonymous.</i> Vol.335, Iss. 7914; pg. 63, 2 pgs	19	2	0			✓					
May 27, 1995	1481191	The Economist	845	10	Antitrust in America and Europe: Off-line <i>Anonymous.</i> . Vol.335, Iss. 7916; pg. 59, 1 pgs	7	1	1			✓	Cmpetition. Monopoly inovation.				
Jun 10, 1995.	6654331	The Economist	782	9	Nerd instinct <i>Anonymous.</i> Vol.335, Iss. 7918; pg. 15, 2 pgs	4	1	1			✓	Cmpetition. Monopoly				
Jun 10, 1995	6654338	The Economist	1305	17	The Lotus eater <i>Anonymous.</i> Vol.335, Iss. 7918; pg. 55, 2 pgs	14	1	0	✓ (1)		✓	Competition. inovation.	Much of the computer industry is rooting for IBM, if for no other reason than to challenge Microsoft's hegemony. <i>Bill Gates has nearly half of the \$53 billion PC-software market;</i> the other half is split between hundreds of other firms. Because Microsoft dominates all the big software categories (word processors, spreadsheets, databases, even multimedia software) rivals are forced into niche markets. A strong showing by IBM in software might open up new channels. If OS/2 were to soar as a server operating system, for instance, that would create a new market for software firms--one less dominated by	5		12

														Microsoft. But that is a big if.			
Jun 24, 1995.	6654506	The Economist	983	11	Microsoft: High noon for Billy the Kid? Vol. 335, Iss. 7920;pg. 59,2 pgs <i>Anonymous</i>	14	1	0			✓	Power. Competition.					
Jul 8, 1995	6654693	The Economist	1317	15	The defenestration of Bill? <i>Anonymous.</i> Vol.336, Iss. 7922; pg. 57, 2 pgs	11	5	0			✓	Power. Competition					
Jul 8, 1995	6654645	The Economist	1117	10	How dangerous is Microsoft? <i>Anonymous.</i> Vol.336, Iss. 7922; pg. 13, 2 pgs	16	16	0	(1)	✓ (2)		Image. Innovation power. monopoly	A PARAGON of industry or a ruthless predator? In a way, it is pointless to ask: Bill Gates is both. As a young Harvard drop-out, he gladdened every nerd's heart by selling IBM a software system that his own tiny company, Microsoft, did not even own. That system, MS-DOS, sits at the heart of four-fifths of personal computers sold today. Mr Gates has not yet learnt to relax. Ever spinning his schemes for domination of the software market (and much else besides), he has beautified MS-DOS by hiding it behind his company's Windows software; he has also built a commanding position in <i>PC applications such as word-processors and spreadsheets. By dint of effort, brilliance and a remorseless desire to win, Mr Gates has become not only the world's richest man (according to Forbes), but also a symbol of modern American business.</i> For a while, Gates-as-paragon dominated. He was the geek in glasses who ran rings around Big Blue, proving anything was possible. Everyone had gained as a result: the PC, its operating system and all manner of other software (plenty of it not made by Microsoft) had changed the way people work and play. Also, because the computer business is young, it remains in Microsoft's interests to encourage other firms to use and develop its products--and thereby, up	1	10	1	5

													to a point, compete with it. Microsoft freely supplies the technical details that rival programmers need in order to write software as good as its own. The result is a vibrant software industry: many of Mr. Gates's 70,000 rivals are thriving. The industry grew by 11% last year, making it the fastest-growing service business in America. <i>Nor is there evidence that Mr Gates is thrusting Microsoft applications down customers' throats.</i> Tellingly, Microsoft's applications programs have a greater share of the Apple-Macintosh market than of the PC one--even though, in that case, the firm lacks the supposed advantage of owning the operating system.			
Aug 5, 1995	6655030	The Economist	938	9	A new electronic Messiah <i>Anonymous.</i> Vol.336, Iss. 7926; pg. 62, 1 pgs	9	11	0	✓ (1)			Good ideas. Innovation. Greatness	Then there is Mr Andreessen himself. While Mr Gates resembles a swotting school-boy, Mr Andreessen is a sportsman-like rosy-cheeked giant. Where the young Mr Gates fidgeted in ill-fitting suits, Mr Andreessen sprawls in baggy shorts. But look beyond the surface and several Gates-like qualities emerge. Mr Andreessen's self-assurance verges on arrogance. <i>His world divides neatly in two: those who share his vision, and the sadly misinformed. On the rare occasions when he worries, it is not about the software titans that Netscape is challenging but about 20-somethings in a garage somewhere who are creating the next revolution. Just as Mr Gates does.</i>	4		5
Aug 19, 1995	6745279	The Economist	819	9	Turner and Microsoft: Odd couple. <i>Anonymous.</i> Vol.336, Iss. 7928; pg. 56, 2 pgs	11	8	0	✓ (2)			Power	<i>This leaves Mr Gates with a problem: the Microsoft Network risks feeling like a glossy cinema without any films.</i> Granted, he has endowed the network with all sorts of other advantages. Everyone who starts up Microsoft's new operating system, Windows 95, will be invited to sign up for the service. And the price, starting at \$4.99 a month, is half that of competitors. But other big fish are coming into this pond: on August 15th AT&T announced that it would soon begin marketing a consumer Internet service to its	1		5

													90m customers, priced "competitively" with Microsoft's.			
													With only 7% of Americans subscribing to any on-line service today, there is still plenty of room for competitors. But Microsoft is hoping for more than just subscribers. The real money is not in those who will use the Microsoft Network as an entry to the Internet, but those who pay for content that is only on the Microsoft Network itself (and for which they are charged extra). <i>Mr Gates, in other words, must find some compelling content before he can win the best customers.</i>	9		6
Nov 11, 1995	7744402	The Economist	832	11	Electronic publishing: Crosswire <i>Anonymous.</i> Vol.337, Iss. 7940; pg. 66, 2 pgs	9 G1	1	1	✓ (1)				When the company first planned MSN, such proprietary commercial services were the main route to get on-line. This is no longer so, thanks to the explosive growth of the Internet, an open network not owned by any company. <i>Now Bill Gates, Microsoft's chairman, talks of turning MSN into a "branded community" on the open Internet, attracting readers by the quality of its content.</i> Thus its decision to cover its bets by distributing Mr Kinsley's magazine directly on the Internet as well as on MSN. Mr Gates is pursuing "unique content" of all sorts, says Russell Seigelman, a Microsoft vicepresident. Short of setting up its own newsgathering organisation, he says, anything is fair game.	1		7
Nov 11, 1995	7744283	The Economist	902	11	Gates of Wrath -- I Sing the Body Electronic by Fred Moody / Microsoft Secrets by Michael Cusumano and Richard Selby <i>Anonymous.</i> Vol.337, Iss. 7940; pg. SS5, 2 pgs	18 G1	6	0	✓ (3)			. intellect. Brainpower. Small teams	Both these books tell you a lot about Mr Gates and his company. As you read them, far from feeling that you understand how Microsoft did what it did, you marvel ever more at its achievement. At the outset Fred Moody confesses that he too is bemused. Michael Cusumano and Richard Selby pretend that they have unravelled the mystery--none too convincingly. In the end it seems that Mr Gates and his creation are not	5		2

													merely extraordinary but miraculous.	1		7
													<p><i>But Bill Gates, on both accounts, is the hub. He knows everything, especially the things his teams wished he didn't know. He asks the hard questions, and if he doesn't get the right answers he bangs his head on the table.</i> Arguably, no lesser force of intellect and personality could harness Microsoft's assembled brainpower to commercial purpose, especially when you consider the form in which the brainpower arrives. As Mr Moody tells it, Microsoft's software engineers conform to stereotype: one-track personalities, actual or retarded adolescents, pulling all-nighters, writing code with Alice in Chains at top volume. These social misfits have to work not only with each other but also with the product designers who tell them what the programs are to do</p>			
													<p>Communication between two such groups would be strained even if the task at hand were easy. It isn't. Yet the company works, and how. The imperative of impressing Bill-or, more often, of disappointing him less than last time--helps. The way Microsoft organise itself serves the same purpose. Small teams of designers and developers work together. When people succeed, they get more resources of every kind. If they fail, they are starved (not literally, you understand), or closed down. <i>It is a kind of internal market, with Mr Gates as the visible hand.</i></p>	9		8
Nov 25, 1995	8634362	The Economist	1038	10	I have a dream <i>Anonymous.</i> Vol.337, Iss. 7942; pg. 65, 1 pgs	11	14	0	✓ (3)			Attention seeking behaviour. Vision	The ostensible purpose of "The Road Ahead" (Viking, 1995), released across the world on November 24th, is to offer its readers "an incredible ride down the information superhighway". As befits such an exercise, the hard-cover edition comes with a CD-ROM offering purchasers the chance to hear some of Mr Gates's utterances, and to take part in a simulated tour of his new house, which promises to be a	5		3

													and the right to license the product to other manufacturers.			
Jan 10, 1998.	25330183	The Economist	975	9	Serial entrepreneur <i>Anonymous</i> . Vol.346, Iss. 8050; pg. 60, 1 pgs	10	6	0	✓ (1)				From Silicon Valley's point of view it is this second point that really counts. Thanks to its "write once, run anywhere" nature, Java is seen both as the next great technological springboard and as a way of breaking <i>Bill Gates's stranglehold on computing. Put Java, which was invented by Sun Microsystems, together with Netscape's web browser and you have the nucleus of an alternative operating system to Microsoft's Windows.</i> The idea of making money whilst putting to the sword the evil empire from Redmond has proved intoxicating. There are now said to be 500,000 developers at work on Java (see table), and plenty of money for Java projects. Indeed, Mr Sasson received some of the \$7m that Extensity has needed so far from a special Internet fund set up by Kleiner Perkins Caufield & Byers, which one Microserf refers to sourly as the "Get Bill" fund.	5		4
Jan 31, 1998	25791244	The Economist	1465	16	Business: Microsoft's contradiction <i>Anonymous</i> . Vol.346, Iss. 8053; pg. 65, 3 pgs	35	3	1	✓ (2)			Manipulative tactics. Competition. Recruitment. Smart peao;e. intellect. Entrepreneur vs bearuecrats	Industry insiders, however, believe that this is merely a change in tactics, not a change of heart. The idea that Microsoft might curb its ultra-competitiveness, or the snarling aggression with which it meets any challenge to its Windows monopoly, is regarded as ridiculous by people who know Bill Gates. And, for all practical purposes, Microsoft is Bill Gates. Meticulous recruitment and the ability to attract some of the smartest people on the planet help make Microsoft a marvellous intellectual machine. In most companies, the strategy is devised at the top and loses coherence as it passes down each tier of management. <i>At Microsoft, strategy starts with Mr Gates, but loses nothing as it is taken up by the people who run different parts of the business. If anything, it is burnished until it glistens, harder and more perfect</i>	5 9		3 7

													<p><i>If this escalation comes to pass it will be because Microsoft has a flaw at its heart Bill Gates has an ability to visualise and implement a business strategy that is almost unmatched. But the clarity of vision is too often accompanied by blinkers. The flip side of flawless execution is a ruthlessness that takes Microsoft to the edge of-and perhaps beyond-the law.</i></p> <p><i>Mr Gates dominates his company as few men do. The reporting structure is flat, he controls every detail. For the bright, aggressive, relentlessly striving people who work for him "face-time with Bill" is everything.</i></p>	1		26
Jun 13, 1998.	30186074	The Economist	2581	25	Special article: Bill Gates replies: Compete, don't delete <i>Bill Gates</i> . Vol.347, Iss. 8072; pg. 19, 3 pgs	21	3	0	✓ (1)			Innovation. Competition. Control. improvement	William H. Gates III is chairman and chief executive of Microsoft, the company he co-founded in 1975. One of the first to see and act upon the possibilities of the personal computer, he has led his firm to a commanding position in the PC-software business. Wall Street currently values the company at \$211 billion, making Mr Gates, at 43, one of the most successful entrepreneurs of this or any century. Regulators permitting, he hasn't finished yet.	1		25
Jun 27, 1998.	30865206	The Economist	645	5	Leaders: Battling Bill wins a round <i>Anonymous</i> Vol.347, Iss. 8074; pg. 20, 1 pgs	16	3	0			✓	Market power. Monopoply. Tactics				
Jul 11, 1998	31989345	The Economist	765	9	The Economist review: The cyberoach <i>Anonymous</i> . . Vol.348, Iss. 8076; pg. R12, 1 pgs	5	2	1	✓ (1)				Of all the threats that has faced AOL, the greatest came from Microsoft's Bill Gates who, in 1993, threatened either to "buy or bury" AOL Microsoft's ability to "bundle" its MSN software with its Windows 95 operating system potentially gave it a huge advantage. To his credit, Mr Case turned a deaf ear to Bill Gates and went for broke by posting AOL disks to almost every house hold in America. At the same time, he lobbied antitrust regulators against Microsoft's bundling plans and courted Microsoft's bitter rival in the Web-browser market, Netscape. In the end, it was Mr Gates's greater need to crush	1		6

														Netscape than AOL that gave Mr Case the chance to do a deal to get the AOL icon equal billing with MSN on the Windows desktop.			
Sep 12, 1998	34065155	The Economist	974	10	Leaders: Onward to pervasive computing <i>Anonymous</i> . Vol.348, Iss. 8085; pg. 18, 1 pgs	6	1	0			✓	Image					
Oct 3, 1998.	34825043	The Economist	711	10	Business: Red Hat trick <i>Anonymous</i> . Vol.349, Iss. 8088; pg. 76, 2 pgs	4	2	1			✓						
Oct 10, 1998	35023207	The Economist	1171	14	Business: Trial run <i>Anonymous</i> . Vol.349, Iss. 8089; pg. 73, 2 pgs	25	3	0			✓	Monopoly power					
Oct 10, 1998	35023241	The Economist	648	7	Moreover: Big, bad Bill <i>Anonymous</i> . Vol.349, Iss. 8089; pg. 91, 1 pgs	14	10	0				Image . tactics					
Nov 21, 1998	36183564	The Economist	775	8	Business: The second front <i>Anonymous</i> . Vol.349, Iss. 8095; pg. 64, 2 pgs	15 G1	2	0			✓						
Nov 21, 1998.	36183555	The Economist	1473	18	Technology and entertainment: Fear governments, not geeks <i>Emma Duncan</i> . Vol.349, Iss. 8095; pg. S16, 3 pgs	6	4	0	✓ (1)			power	THEY are big, rich men, the leaders of the entertainment business; but there is a bigger, richer man still whose shadow falls across their business: Bill Gates. Michael Eisner, in his recent biography, considers Bill Gates as his number one competitor. According to a well-placed Silicon Valley watcher, so does Mr Gates himself: "He's trying to insert Microsoft's DNA into every bit of the business."				
. Nov 28, 1998.	36385147	The Economist	861	9	Leaders: War of the worlds <i>Anonymous</i> Vol.349, Iss. 8096; pg. 15, 1 pgs	21 G1	1	0	✓ (1)			Tactics (bully). Competition. Monopoly. Power	The biggest by far was AOL, but it regarded Microsoft as a deadly rival because of the recently launched Microsoft Network (MSN) on-line service. AOL'S chief executive, Steve Case, had a number of bruising encounters with Microsoft. In one, he	1			6

													claimed, <i>Bill Gates threatened either to "buy or bury AOL"</i> . Mr Case feared that MSN would overtake AOL because the distribution of its software with Windows made it uniquely easy for subscribers to sign up.			
Dec 20, 1997-Jan 2, 1998	24072544	The Economist	751	7	Persecuting Bill Anonymous. . Vol.345, Iss. 8048; pg. 16, 1 pgs	13	1	0			✓	Competition. Innovation. Power.				
Feb 25, 2006	994268091	The Economist	2646	30	Survey: To have, not to hold. Vol.378, Iss. 8466; pg. 5	1	6	1	✓ (1)				Mr Gates is given much of the credit for the rise in giving among today's super-rich. He seems to have discovered his generous streak relatively recently: in 1998, The Economist was still criticising him for sitting on his fortune. But since then " <i>Bill Gates has made philanthropy the norm</i> " among the super-rich of the world, says Vartan Gregorian, who runs the charitable foundation set up by Carnegie. "Giving is now what you are expected to do."	1		2
May 13, 2006	1039137451	The Economist	825	8	Leaders: - Is Google the new Microsoft?; Information technology.Vol.379, Iss. 8477; pg. 10	12	0	1			✓	Innovation teams. Reputation, power. Smart . geeks				
Jun 24, 2006	1067094471	The Economist	632	7	Leaders: Give and make; Philanthropy. Vol.379, Iss. 8483; pg. 12	2	3	1	✓ (1)				So applaud Mr Gates's decision to make giving away money his day job and to work at Microsoft part-time (see page)95. <i>With him around even more, the Gates Foundation, which already does a fine job, will do even better.</i> He is also setting an example to those, such as his friend, Warren Buffett, history's richest Nebraskan, who look likely to leave the task to someone else. Not every donor needs to become a full-time philanthropist--a growing industry of intermediaries can help sort deserving schemes from the rest. What matters is that the giver should do more	8		6

													than simply hand over the money.			
Jun 17, 2006	1063887681	The Economist	867	8	Books And Arts: China bytes; Doing business in China. Vol.379, Iss. 8482; pg. 101	6	1	0			✓					
Jun 24, 2006.	1067155081	The Economist	979	8	Business: Ozzie the wizard; Face value Vol.379, Iss. 8483; pg. 95	10	20	0	✓ (1)			innovation	Mr Ozzie's affability and his credibility as a geek and a Microsoft "outsider" now make him, <i>in Mr Gates's eyes, the best person to lead Microsoft through a momentous upheaval</i> . Mr Gates has for some time been obsessed with the fate of companies such as Digital Equipment Corporation that once were titans but succumbed to "disruptive innovators" (a phrase made famous by Clay Christensen, of Harvard Business School). For Microsoft, the disruptive technology is the internet, and in particular the trend towards providing software without charge through a web browser rather than for a fee in a shrink-wrapped box. The company that epitomises this trend, and that has perfected the advertising technology that is its business model, is Google.		16	7
Jul 1, 2006	1072386651	The Economist	2228	26	Special Report: The new powers in giving - Philanthropy; Philanthropy Vol.380, Iss. 8484; pg. 73	22	23	0	✓ (5)			phanthrocapitalism	Yet Mr Buffett is also breaking new ground by outsourcing his philanthropy. He says he is applying the same strategy to giving away his money as he did to making it: <i>finding good organisations with talented managers and backing them</i> . It was through a series of well-timed investments in firms such as American Express, Coca-Cola, Gillette and Disney that Mr Buffett's Nebraska-based Berkshire Hathaway grew into a financial powerhouse and in the process earned him the sobriquet of "Sage of Omaha". Rockefeller had a huge impact on the two areas that have been at the centre of attention for the Gates Foundation, education and health. His foundation helped to create the modern research university. Today, in a similar spirit, the Gates Foundation is	6 5		4 10

													academics, Mrs Gates describes the foundation as a convener, concentrating on finding the best people and projects.			
Jul 29, 2006.	1084866201	The Economist	1087		Business: Getting personal; The PC's 25th birthday Vol.380, Iss. 8488; pg. 61	3	4	0			✓					
Sep 16, 2006	1127894701	The Economist	971	9	Finance And Economics: A seedbed of revolution; Economics focus. Vol.380, Iss. 8495; pg. 102	3	3	1			✓					
Aug 28, 1995.	6748069	Forbes	963	13	Win 95: Upgrade now or wait? <i>Forbes, Jim.</i> pg. 113, 2 pgs	1	6	0	✓ (1)				In fact, Windows 95 could be the digital equivalent of an unfinished symphony. <i>Bill Gates and other Microsoft executives say the company will periodically release "Windows 95 Update Disks," the first of which may appear within 30 days of the initial release.</i> Those disks are expected to contain software drivers missing from the first release of Windows, as well as features that further enhance Windows 95.	9		1

Oct 9, 1995	6963599	Forbes	898	11	Rich man, poor man <i>Anonymous.</i> pg. 100, 3 pgs	3	4	0	✓ (1)			Image. Entrepnearship	Instead he met Paul Allen, later his Microsoft cofounder, and discovered computers. Gates began hacking code in middle school. He went to Harvard in 1973, but never graduated. He started Micro-soft (with a hyphen) in Albuquerque, N.M. Since they had written a successful commercial version of BASIC, he and Allen were convinced they were onto something. <i>They moved the company to Seattle in 1979 (and left the hyphen behind). Gates has been chairman and chief executive ever since, building Microsoft into the world's largest software company. And he is America's richest man.</i>	4		11
Dec 4, 1995	8580827	Forbes	681	11	Browser Boy vs. Bill Gates <i>Shaffer, Richard</i> Vol.156, Iss. 13; pg. 266, 1 pgs	5	2	0			✓	Balance of power				
Feb 23, 1998	26171650	Forbes	1271	15	Bill Gates and the Irish potato famine <i>Peter Huber.</i> Vol.161, Iss. 4; pg. 96, 2 pgs	6	1	0	✓ (1)				THE IRISH POTATO FAMINE, Bill Gates and your local phone company have something in common. Or so it seems to people who distrust free markets and favor government intervention.	5		1
Feb 23, 1998.	26171649	Forbes	1558	19	Read your history, Janet <i>John Steele Gordon.</i> Vol.161, Iss. 4; pg. 92, 4 pgs	9	2	0	✓ (1)			Power. Competition	Let's assume for the sake of argument that Gates is hell-bent on taking over the entire computer business, using his dominance of desktop software as an opening wedge. Does he have the power to succeed? Do we, that is, need the Department of Justice to protect us from this juggernaut? History says no.	1		3
Mar 9, 1998	26594888	Forbes	724	10	Friendly warfare <i>Anrew J Kessler</i> Vol.161, Iss. 5; pg. 214, 1 pgs	7	1	1			✓					
Apr 6, 1998	27745392	Forbes	992	14	Bill Gates wants our business <i>Kelly Barron.</i> Vol.161, Iss. 7; pg. 46, 2 pgs	6	1	0			✓					
May 18,	29204028	Forbes	2186	24	Putting out feelers <i>Julie Pitta. .</i>	20	13	2	✓ (2)			Chaos theory.	Listen to Herbold's boss, Microsoft Chairman William Gates, talking about how he almost missed	1		7

1998					Vol.161, Iss. 10; pg. 206, 3 pgs							Brainpower. smart	the boat on the Internet: "[Once a technology] achieves a critical mass, it feeds on itself-everything has to be tied into that. When you have critical mass things, then you can be surprised by the timing. . you have to make sure you've got feelers out to see if those things are about to achieve critical mass." Think then of many of the steps that Gates has taken as "feelers" rather than as investments. You've got to have lots of feelers or something may sneak up on you from an unexpected direction. As the Internet almost did on Microsoft.			
													Is cable the wave of the future? You can't be sure, but in case it is Microsoft made a \$1 billion investment in cable company Comcast. Assuming that Gates had anointed cable, the market bid up cable stocks. -More likely Gates wasn't anointing anything. He was just <i>sending out a strong feeler</i> . Evidence? A few months later Microsoft promised to work with a consortium of telephone companies developing broadband Internet access over telephone lines. Better have a feeler there, too.	1		10
Jul 27, 1998	32063433	Forbes	272 5	29	Technology summit <i>Tim W Ferguson, Neil Weinberg</i> Vol.162, Iss. 2; pg. 100, 4 pgs (interiw with Bill Gates)	4	8 16 We 5	0			✓	Image. Innovation. Curiosity. Friction free capitalism				
Aug 10, 1998	32462639	Forbes	313 1	38	For the love of hacking <i>Josh McHugh.</i> Vol.162, Iss. 3; pg. 94, 7 pgs	7	8	0	✓ (1)				Maybe in the end this even benefits Microsoft. Bill Gates' juggernaut looks a lot less like a real monopoly in a world where plenty of good software is free. Justice Department, please note.	5		38
Oct 12, 1998	34658307	Forbes	732	11	The road to ruin—services <i>Rich Karlgaard.</i> Vol.162, Iss. 8; pg. 39, 1 pgs	1	6	0		✓ (1)			I visited Microsoft's Bill Gates recently. Talking with him is fascinating. As most Americans ponder the homerun derby between Mark McGwire and Sammy Sosa, software's own Sultan of Swat delights in the sport of mental chess. <i>Gates loves the challenge of</i>		16	2

[illegible]

[illegible]

																it must stick to its strategy of controlling the key chokepoints of a nascent industry, such as the much heralded information highway.			
																<i>Accordingly, Gates is rushing to reconfigure Microsoft, developing and acquiring the technologies and business skills required for his expanding agenda.</i> Everything the man does attracts scrutiny these days--from paying \$32.5 million for one of Leonardo da Vinci's notebooks, to plunking down \$1.5 billion for Intuit--and it probably should. The relic may not mean much; he says he's going to loan it to museums. But the acquisition of Intuit, maker of the most popular line of personal finance software for PCs, is at the heart of <i>Gates' coordinated strategy to gain a toehold in electronic commerce.</i>	1		9
																After all, Intuit isn't some software bit player. To the contrary, many in the industry call personal finance software the next "killer app"--a product so universally useful that everyone has to have it, like a word processor. Gates wants to do more than just sell lots of copies; he has already cut related deals with banks and credit card companies and plans to put it all online with the launch of his own network in competition with the likes of America Online and CompuServe. That's why Gates felt it was worth paying a 50% premium over Intuit's stock price.	8		10
																EVERYBODY TALKS about this stuff, but Gates is moving right now, trying to make sure that Microsoft code will touch every kind of commerce conducted on this network, from the usual consumer services to managing factories, inventories, and corporate databases, to trading stocks and verifying credit cards. Gates isn't secretive about his plan or the role for his company's flagship product, Windows, the program that does everything from determining the look of your screen to managing your link to other PCs. Says he: "This new electronic world of the information	1		12

													<p>highway will generate a higher volume of transactions than anything has to date, and we're proposing that Windows be at the center, servicing all those transactions."</p> <p>Nothing, least of all being tagged one of America's Richest Men, has caused Gates to show the slightest sign of satisfaction, much less complacency. He wasn't satisfied when Microsoft built a good business supplying the standard computer languages for the Apple II and other early personal computers in the 1970s. <i>So in 1980 he jumped at the chance to provide the crucial operating system, DOS, for IBM's landmark PC.</i> He could hardly be satisfied with a market limited just to IBM, so he, along with Intel Corp., which provided the microprocessors that are the powertrains of most PCs, encouraged other entrepreneurs to create the PC clone industry that today dominates the market.</p> <p>Microsoft's competitors, however, are prodding the government to stay vigilant. In November an anonymous group of rival companies shelled out \$150,000 to a Silicon Valley lawyer to submit a white paper to the Justice Department, elucidating their fears of Microsoft in detail. In essence, the paper argues that if Justice allows the Intuit deal to go through, <i>Gates' goal to turn the Microsoft Network into the primary forum for online commerce will be a fait accompli.</i> The paper goes on to charge that, once this happens, Microsoft will be able to dominate the online services business, and perhaps the information highway itself, and hence extract monopoly rents. The paper's scenario sounds remarkably similar to Gates' plan--albeit written in the language of the crusading trustbuster.</p> <p><i>Oddly, Gates frequently says of people he admires that they are "humble"--a word not often associated with him. His ultimate praise, of course, is to label a</i></p>	1	14
													<p>1</p> <p>18</p>	14	34

													sheer mass of AT&T, the Baby Bells, the cable-TV giants, and other behemoths.			
													So it's a double challenge this time: As always, Bill Gates has to develop technologies that enable his company to seize strategic leverage points in the information economy, but then he must allow those technologies to transform the very nature of his company.	8		43
													But Gates' real dream for repeat revenue lies in the online network business and ultimately the information highway. Underlying Gates' bet that individuals and businesses will use PCs for commerce is his hope that they will pay him a fee for the privilege. Existing online services such as CompuServe and America Online have proven that consumers already are willing to shell out as much as they pay for cable TV for what are only basic information services.	5		47
													With that industry still feeling its way--and not yet dominated by any one player--Gates sees the time as ripe to jump in and start generating repeat revenues.	1		47
													The following week, Microsoft finally unveiled details of its own new online service--the Microsoft Network. To prime the pump, Microsoft will include network logon software as a standard feature of its next version of Windows. The company says it would also like to build software into future versions of Quicken to provide easy access--that is, if the merger is approved. <i>All Gates needs now is some vendors to open storefronts on the Microsoft Network, and he plans to lure them initially with lower "rent" than competing services and with more control over the screen "look" of shops. Predictably, competitors are howling.</i>	5		51

													Jeffrey Tarter, who publishes Softletter, a newsletter that tracks the software industry, says Gates' bold strategy to tap electronic commerce is "yet another area where he had a vision that his competitors have just plain missed. Gates recognizes that the most important transactions on the information highway won't be E-mail or reading the newspaper but commercial ones. People write a lot more checks than letters, don't they?" Tarter pauses to chuckle and then adds: "I guess we shouldn't be surprised. When Gates started his first company, Traf-O-Data, the basic idea was to get a nickel every time the traffic lights changed."	1		52
													Gates is betting that his technology is the best platform for building the information highway--better than the telephone business because it already boasts multimedia capability, better than the cable TV business because it's already a medium for doing real work. If Gates plays his hand right, a powerful commercial online service, once armed with the technology and bandwidth to provide interactive video services as well, could be the information highway before the cable TV companies get beyond the living room.	5		53
													Software is always hard. But as Gates' vision becomes more ambitious and the required technologies become considerably more demanding, the question looms larger: Can Microsoft really deliver Cairo and the other technologies on anything like the timetable Gates would like? For the record, Microsoft predicts Cairo will become a full-blown Windows product in 1996.	1		67
													While software developers like to perpetuate the notion that they practice a black art, the truth is that creating and selling software is hard work, and if you want to make a business of it, the people who make and market it must be organized and managed. As in	1		70

													<p>any business, a software company's approach to management can be a competitive advantage. It sure is with Microsoft. Over the years, Gates and a coterie of equally intense and aggressive <i>executives have kept a handle on the company even as its size and character have changed radically right before their eyes.</i></p> <p>Herbold will watch over finance and operations, but his most important job will be to help Gates systematize Microsoft's strategic planning. Says Herbold: "Microsoft has a lot of opportunities in front of it, and the company needs to be disciplined and focused to make them happen--to keep our eye on the big opportunities and not be deluded by marginal opportunities."</p> <p>The white paper filed with the Department of Justice warning of Microsoft's looming hegemony over the information highway is just as fascinating for what it doesn't say as for what it does. That's because none of the companies that footed the bill for the document want to be identified--for fear of reprisals from Microsoft. <i>As much as the rest of the software industry would love to clip Bill Gates' wings, they absolutely depend on him.</i> Whether or not Gates exerts monopoly control over his industry will probably be decided in the courts, sooner or later. But either way, it remains a fact that Microsoft, more than any other single company, created the opportunity for the rest of the software industry in the first place.</p>	1		88
													5		103	
Jan 16,	1492765	Fortune	737	7	What he doesn't want	5	1	0			✓					

1995					<i>Anonymous.</i> Vol.131, Iss. 1; pg. 40, 1 pgs		We 22 12											
Jan 16, 1995	1492767	Fortune	515	6	The billionaire buddies <i>Anonymous</i> Vol.131, Iss. 1; pg. 54, 1 pgs	0	12	0			✓		What does Gates enjoy most about Buffett? The conversation. Says he: " <i>Warren is so humble and yet so good at describing complicated things.</i> At the surface level it's funny for him to quote, say, Mae West when talking about his investment philosophy, but of course he is really saying something much deeper. He's like that all the time, so I'm always learning something from him."			14	6	
Feb 20, 1995.	1492824	Fortune	300	4	Bill Gates, Part I: The book is late <i>Schonfeld, Erick.</i> Vol.131, Iss. 3; pg. 17, 2 pgs	2	5	0			✓	Vision. Image (pope)						
Mar 20, 1995	1492929	Fortune	327 8	41	The valley vs. Microsoft <i>Schlender, Brenton R, Kirkpatrick, David.</i> .Vol.131, Iss. 5; pg. 84, 5 pgs	54	16	0	✓ (3)				<i>While it is unclear whether the anti-Microsoft uprising will derail the consent decree or widen its scope--or fizzle yet again--the rabble's reawakening graphically demonstrates the long shadow Bill Gates casts over the business and reveals some of the bad blood that has boiled beneath the surface in many competitors' dealings with him.</i> That the stakes in the case are so high reemphasizes what a masterful business strategist Gates has been over the years, and how, whether you like him or not, his success and vision have, more than anything else, shaped the industry.	1			16	
													It was sheer chance that Judge Sporkin was assigned to handle the Tunney Act review of the Microsoft settlement: Consent decree reviews generally are doled out by lottery to judges who have room on their dockets. A former director of enforcement for the Securities and Exchange Commission and also former general counsel of the CIA, the judge made clear from the start that he'd left his rubber stamp at home. In the hearings he frequently mentioned that he had read up on Microsoft and was torn, as many are, over whether Gates and his company represent the epitome of American capitalism or something more like 19th-	5			18	

													century robber barons.			
													<p>These synergistic deals alarmed companies in the online services and financial transaction-processing businesses. The bid for Intuit also raised eyebrows at the Justice Department once again because Intuit dominates the market for personal finance software with a market share of roughly 60%. (To make room for Intuit software in his product line and to assuage antitrust fears, <i>Gates virtually gave away Microsoft's Money software, an also-ran in the personal finance category, to Novell, a \$2-billion-a-year maker of networking and applications software.</i>)</p>	9		23
Mar 20, 1995	1492930	Fortune	356	4	<p>Apple and Microsoft trade bites <i>Anonymous</i>..</p> <p>Vol.131, Iss. 5; pg. 90, 1 pg</p>	12	8	0	✓ (2)			Monopoly power	<p>STEAD: "Microsoft has repeatedly attempted to leverage its monopoly power...[At a January 13 meeting with Michael Spindler] <i>Mr. Gates stated that Microsoft's withholding of the beta code was 'cause and effect'; since Apple sued Canyon, Mr. Gates personally decided that Microsoft would not deliver the beta of Windows 95. Mr. Gates agreed to provide the beta code only after Mr. Spindler agreed to telephone Mr. Gates personally before adding Microsoft as a defendant...</i>Despite the agreement, the Windows 95 beta was not released to Apple...</p> <p>"<i>Mr. Gates [also] threatened that Microsoft might cease developing application software for the Macintosh platform if Apple continues its development of OpenDoc...</i>Since Microsoft is the largest supplier of software applications for the Macintosh, this threat was a serious one."</p>	1		2
Dec 11, 1995	8634658	Fortune	856	8	An E-mail interview with Bill Gates <i>Schlender, Brent.</i>	7	1 W 13 12	0	✓ (1)			Talent as leadership	<p>Remember many of our applications can be used on the Internet today ... When did we need to ship a spreadsheet to compete with VisiCalc [the very first financial spreadsheet]? When did we need to ship a</p>		11	8

					Vol.132, Iss. 12; pg. 134, 1 pgs								file-sharing solution to compete with Novell's Netware? It's easiest when you are in first, like we were with DOS, Windows, CD-, and dozens of other things. <i>However, has there ever been a case where studying a market and applying all our talent and energy to it with a lot of resolve and patience didn't allow us to make a contribution? We are as focused on Internet as we were on graphical computing--all of our products treat the Internet as the big opportunity.</i>			
Feb 2, 1998	25364034	Fortune	1297	13	Microsoft's capital offense <i>Jeffrey H Birnbaum</i> Vol.137, Iss. 2; pg. 84, 2 pgs	18	14	0			✓	Image				
Feb 2, 1998	25364332	Fortune	1204	15	An open letter to Bill Gates <i>Stewart Alsop.</i> .Vol.137, Iss. 2; pg. 145, 2 pgs	19	6	0			✓	Competition. Innovation. Owner. Credibility. MS as bully, disrespectful, egotistical				
Feb 2, 1998	25364028	Fortune	2057	22	Competitors cry foul. The Justice Department wants its pound of flesh. But Fortune's national polls show America loves Microsoft <i>Rick Tetzeli.</i> . Vol.137, Iss. 2; pg. 80, 4 pgs	47	5	0	✓ (1)			Arrogance. Public image. Monopoly. Innovation	<i>Microsoft faces a number of challenges as it tries to assuage the worries of those groups. Gates has made it clear that having the right to bundle the company's Web browser with Windows is something he considers crucial, and he's hired top legal minds to defend that right.</i> He may very well have a case. In 1995, Microsoft settled an antitrust complaint by signing a consent decree in which it agreed not to engage in predatory marketing by bundling separate software products with Windows. But the decree assumes a degree of product distinctness that doesn't exist between Windows 95 and Internet Explorer. The programs have so much in common that if you remove from a PC equipped with an up-to-date version of Windows 95 all the code that Microsoft sells at retail as Internet Explorer, the computer won't work. And yet that may be the only remedy that the language of the consent decree allows the Justice Department to seek. In other words, by the letter of	8		13

													the consent decree, Microsoft may be doing nothing wrong; the Justice Department may be trying to perform surgery with a hammer.			
Feb 16, 1998	25721378	Fortune	2504	23	How hot is cable, really? <i>Andrew Kupfer</i> . Vol.137, Iss. 3; pg. 70, 4 pgs	9	8	0			✓					
Feb 16, 1998	25721375	Fortune	2476	21	Malone again <i>Edward W Desmond</i> . Vol.137, Iss. 3; pg. 66, 4 pgs	11	19	1	✓ (1)				Humility is of little use to someone who must both woo and ward off Bill Gates. Microsoft's CEO, of course, would love to gain the same sort of lock on set-top boxes that he has on PCs. Last summer he told the cable companies he could guarantee delivery of a digital set-top box that would cost no more than \$300. All they had to do was give Gates a cut of future revenues and let Microsoft design the system around its own software. Gates also dangled the possibility of additional large investments like the one he'd made in Comcast. Malone and the other cable operators Just Said No. Malone says that Gates wanted the industry to "give away too much of the future." He adds, "I think that Microsoft's many competitors had supplied everybody with plenty of <i>anti-Microsoft</i> , <i>anti-Gates books</i> ." Malone and most of his fellow cable barons decided that the smart thing to do was to agree on a box that had open standards and bid out the components to keep the price down. That way, no one computer player could dominate. That way, Sun and Microsoft, say, would feud over who got into TCI's box first. (Microsoft did clinch a deal to include Windows CE and elements of WebTV technology in the box-at 2 A.M. on the day Gates was scheduled to speak.) Next up are chipmakers like Intel and Fujitsu, which would like to supply the microprocessor the boxes require.	5		12
Apr 27,	28596002	Fortune	4471	33	Microsoft: Is your company its	88	15	0	✓			Fear of MS	Watching Microsoft encroach on your industry is like	1		4

1998.					<p>next meal? <i>David Kirkpatrick.</i></p> <p>Vol.137, Iss. 8; pg. 92, 8 pgs</p>				(5)			<p>& Gates. Aggressive. Monopoly power. Brainpower</p>	<p>seeing an elephant head for your rose garden. Putting it another way, Bob Ingle, president of new media for KnightRidder, says: "They may screw up, but they're like Godzilla. They keep coming." Just consider: <i>Microsoft is led by the richest man in the world, a fierce, tireless competitor who hires people with the same qualities.</i> The company has \$10 billion in cash-more than three times Knight-Ridder's annual revenues.</p> <p>This year it will spend \$2.6 billion on R&D, a figure it plans to double. Microsoft supplies operating systems and applications to just about every major company on earth, <i>and Gates has proven time and again that he is willing to use his near monopoly as leverage to enter new businesses.</i></p> <p>This isn't megalomania; it's just business. <i>Gates can't afford to let Microsoft stop growing</i>, even if a few customers' flower beds get trampled. Its phenomenally talented staff is compensated largely by means of stock options. If Microsoft's historic growth of 25%-plus per year slows and the stock's steep climb halts, many of those people may no longer find it worthwhile to devote most of their waking hours to the company. The core operating-systems and applications businesses probably can't grow fast enough to justify a stock price that was recently \$89 a share, about 50 times this year's estimated earnings. To sustain that P/E, Microsoft needs new businesses.</p> <p>To be fair, some of the current fear of Gates is nothing more than worried executives putting a face on their fear of the Internet. The Net is radically changing relationships between producers and their customers, and it's easier to envision a threat from big bad Microsoft and the J.D. Rockefeller of the Digital Age than from a startup in somebody's garage. Argues Jim Moore, who runs tech consulting firm GeoPartners Research in Cambridge, Mass.: "What</p>	5	4	1	5
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												<p>people really ought to feel threatened by is that their business is being transformed out from under them-not by Bill Gates, but by a worldwide knowledge revolution enabled by information technology."</p> <p><i>Whatever warnings such contradictions may spark, Microsoft's products are too crucial for leaders of other industries to give Gates the cold shoulder. CEOs regularly make the pilgrimage to Redmond to check in with Bill. A group of banking leaders went in February. Tribune Co. recently sent a delegation of top managers. Microsoft hosts industry-specific conferences to share its technology road map and to promote products. In March, 7,000 customers converged in Florida for a health-care summit. In midApril the company will host its third annual Internet banking and brokerage conference.</i></p> <p>Still, for now, no threat seems quite as imposing as Microsoft's. True, there's no law against doing well, and there is little evidence that Microsoft's behavior, scary though it may sometimes seem, should be considered illegal. Says Anderson of the Yankee Group: <i>"The only thing Bill has monopolized is brainpower, and as I read the law, there are no restrictions on that."</i> Companies that see Microsoft approaching their business can't wait for Washington to intervene. They have to ready themselves for battle against a new kind of foe. BankAmerica CEO Coulter says, "I have to ask myself-how does my team compare to Microsoft?" So how does it compare? Coulter's response: "I've got to keep investing in my team."</p>	1		30
												<p>Still, for now, no threat seems quite as imposing as Microsoft's. True, there's no law against doing well, and there is little evidence that Microsoft's behavior, scary though it may sometimes seem, should be considered illegal. Says Anderson of the Yankee Group: <i>"The only thing Bill has monopolized is brainpower, and as I read the law, there are no restrictions on that."</i> Companies that see Microsoft approaching their business can't wait for Washington to intervene. They have to ready themselves for battle against a new kind of foe. BankAmerica CEO Coulter says, "I have to ask myself-how does my team compare to Microsoft?" So how does it compare? Coulter's response: "I've got to keep investing in my team."</p>	5		33
Apr 27, 1998	28596098	Fortune	670	6	Dear Bill: Get real about the makeover <i>Henry Goldblatt.</i> . Vol.137, Iss. 8; pg. 422, 2 pgs	2	5	0	✓ (1)			<p>Bill as: aloof, smart, rich, buddy vocalist, boyish, ambitious,</p> <p><i>As for your public persona, remember that anything you do reflects on Microsoft. That's why you get a thumbs-down on the golf spots. You may have thought they would humanize you, but they just left viewers wondering what you were doing on a golf course. Says Clive Chajet, who runs his own image</i></p>	1		5

												nerdy, personable witty, uncaring technocrat	consulting firm in Manhattan: "I presume Mr. Gates wears underwear. So why doesn't he advertise that instead-it's as logical as him selling golf clubs!" Better to stick with tech-related projects, charities, and appearances. During the photo ops, keep those cameras at bay. No one looks good too close up.			
Mar 2, 1998	26172275	Fortune	1211	12	Hey, Bill: Let Washington regulate Microsoft <i>Stewart Alsop.</i> Vol.137, Iss. 4; pg. 201, 2 pgs	8	5	0	✓ (1)			Monopoly power. Ego. Aggression.	<i>So here's the opportunity, Bill: If you give a little, all sides get what they really want-the ability to count on all computing devices working on a single standard. I'm not suggesting you turn Microsoft into a regulated monopoly.</i> But there may be a modern equivalent of Vail's action that would allow Microsoft to go forward without making the rest of the country or the world nervous. I think there is a way to get the public and Judge Jackson and Attorney General Reno off your back. The only way to do this, I think, is for you to give up control of a portion of Microsoft's intellectual property that the public perceives as crucial to your business. You could, for instance, turn over to a government agency or an independent body like the Internet Engineering Task Force (IETF) the source code for Windows 95. That's right: I'm suggesting that you give away the basic code behind your most important product.	1		7
Jun 22, 1998.	29958526	Fortune	1027	11	War of the just, or just plain war? Gates' crusade <i>Brent Schlender</i> Fortune. . Vol 137, Iss. 12; pg. 30, 3 pgs	26	10	1	✓ (2)			Leadership. Hyper aggressive	Every journalist who follows the company has a favorite "hard core" anecdote about Bill Gates. My first choice is the one about how he and his wife, Melinda, often compete to see who can be the first to assemble identical jigsaw puzzles. (Gee, I always thought jigsaw puzzles were something you collaborated on....) And there's no doubt Microsoft employees mimic Gates' Patton-esque approach to business, viewing just about every corner of the software marketplace as territory in need of conquering. But E-mail aside, <i>Microsoft's culture, like Gates himself, is more complex than Justice's</i>	5		4

													<p>evidence indicates.</p> <p>For all its successes, Microsoft has a lot to learn about the responsibilities of leadership; about teamwork, compromise, and magnanimity; and about actually leaving some chips on the table for others to win. The company needs to get over seeing itself as a perpetual underdog.</p> <p>What will remain an issue-at least until Microsoft's hyperaggressive behavior is toned down-is how the company crassly manipulates the marketplace through its contracts with computer makers and Internet service providers. As long as they play fair, however, <i>Gates & Co. should be free to define the future of Windows.</i> And that, after all, is the biggest issue for Gates. Already Microsoft seems to be softening a little: The company acquiesced when Gateway 2000 recently announced it would preload its PCs with a choice of browsers. The Justice Department action, whatever the outcome, just might jolt Microsoft out of its foot-stamping adolescence and into the ranks of the world's great companies. If so, even Gates may have to admit that the government's crusade wasn't such a bad thing.</p>	1	11
Jun 22, 1998	29959823	Fortune	1172	9	Rockefeller and Gates: Playing Monopoly <i>Linda Grant.</i> Vol.137, Iss. 12; pg. 164, 2 pgs	10	6	0			✓	Vision. Uncompromising principles			
Jul 20, 1998	30892608	Fortune	8634	50	The Bill & Warren Show <i>Brent Schlender.</i> Vol.138, Iss. 2; pg. 48, 14 pgs (interview)	12	14 W 42 I27	1		✓ (9)		Habit, brainpower. Potential. Vision. Innovation. Skills. Great team	GATES: I think Warren's absolutely right about habit. I was lucky enough when I was quite young to have an exposure to computers, which were very expensive and kind of limited in what they could do, but still they were fascinating. Some friends of mine and I talked about that a lot and decided that, because of the miracle of chip technology, they would change into something that everybody could use. We didn't see any limit to the computer's potential, and <i>we really</i>	11	8

													at other things that you aren't necessarily so good at. I come in every day and work with a great team of people who are trying to figure out how to make great software, listening to the feedback and doing the research. And it's very typical that because I've been very successful at that, people come in and expect that I have wisdom about topics that I don't. Bill's right, occasionally there are things-like campaign finance reform-that he may want to take a position on. But you still don't want to say that the whole world ought to follow you on it. I'm very suspect of the person who is very good at one business-it also could be a good athlete or a good entertainer-who starts thinking they should tell the world how to behave on everything. For us to think that just because we made a lot of money, we're going to be better at giving advice on every subject-well, that's just crazy.				
Aug 3, 1998.	32390018	Fortune	1487	11	Silicon Valley Law <i>Erin Davies.</i> Vol.138, Iss. 3; pg. 219, 3 pgs	10 G1	4	0			✓						
Sep 28, 1998	33991840	Fortune	332	3	nnals of Microsoft: A book that only Joel Klein could love <i>Rick Tetzeli.</i> . Vol.138, Iss. 6; pg. 276, 1 pgs	4	2	0	✓ (1)				freelance writer Wendy Goldman Rohm has been hot on the trail of Microsoft. The result, The Microsoft File: <i>The Secret Case Against Bill Gates</i> , is now available from Times Books. It's a mess.	5		1	
Nov 23, 1998	35720572	Fortune	4209	44	High noon <i>Joseph Nocera.</i> . Vol.138, Iss. 10; pg. 162, 6 pgs	59	19	1	✓ (4)			Image. Tactics. Monopoly ower	<i>Boies' goal, of course, is to paint Microsoft's leader as a liar.</i> Immediately after showing Gates denying any knowledge of the June 21 meeting with Netscape, Boies presents internal Microsoft E-mail that demonstrates just the opposite. "I think there is a very powerful deal of some kind we can do with Netscape," Gates writes. According to Boies, the deal would have forced Netscape to forgo selling browsers in the Windows market, which Microsoft had decided	1		7	

												to keep for its own browser (Gates concludes: "I really want to see something like this happen!!")			
												This morning, though, he speaks only to middling effect. He sticks to Microsoft's standard defense, which can be summarized as follows: Netscape, "the government's ward" as Warden puts it, was unable to compete on the merits of its products and ran to the Justice Department for protection. The government foolishly took the case, only to discover it's a loser. <i>So now the U.S. is resorting to snippets instead of evidence and trying to "demonize" Bill Gates. What's more, says Warden, everything Microsoft has done is standard competitive behavior; its actions don't even come close to violating antitrust law.</i>	1		14
												Netscape's chief kept on insisting Gates tried to crush his company.	5		17
												I stumble across another example in the fourth-floor press room during today's lunch break. Among stacks of documents from the government's case, there's an E-mail, dated May 1996, from an executive at @Home, the startup that offers consumers Internet access via their TVs. Reporting on a conversation between <i>Gates and Tele-Communications CEO John Malone, the memo says that when the subject of @Home came up, Gates "just exploded," threatening to "do whatever it took to crush" the small company.</i> I'm not sure how this relates to the trial downstairs, but it's chilling nonetheless. It winds up in USA Today the next morning. In the courtroom Microsoft has a pretty good day. An AOL executive named David Colburn is on the stand. He has a two-day growth of beard, wears cowboy boots, and favors a sarcastic tone that seems to infuriate Warden.	1		38
Nov 23,	35720591	Fortune	951	10	The man Bill Gates fears most	14	6	0	✓		Image	"We looked at the cellular industry, an industry	1		9

													about taking over management at the foundation at all. I'm talking about having the same kind of role I've had at Microsoft since I became chief software architect six years ago.			
Jan 19, 1998.,	25509380	Business Week	737	9	Bill Gates, Robber Baron <i>Robert Kuttner</i> . Iss. 3561; pg. 20	12	2	1	✓ (2)				<p>FOOL'S QUEST? To hear Microsoft tell it, you'd think the Computer Age had changed the rules of commerce. Microsoft Chairman and CEO Bill Gates has argued that the government is trying to structure an industry it knows little about. This is nonsense. <i>What Gates is attempting is as old as the efforts to monopolize the steel, rail, oil, and telephone industries in the robber baron era.</i></p> <p>Policymakers will now have to figure how to prevent <i>Gates and Microsoft</i> from crushing makers of computer applications that depend on the Windows operating system. Cyberspace may indeed offer the potential of untold consumer choice--if nobody gains a stranglehold. Markets are sublime institutions, but they require a referee. Once again, the search for a perfect self-regulating market has proven to be a fool's quest.</p>	1		7
April 13, 1998	28595053	Business Week	816	9	Microsoft Is the Victim of a Legal Mugging <i>Paul Craig Roberts</i> . Iss. 3573; pg. 16	4	1	1			✓					
April 20, 1998.,	28719333	Business Week	1369	14	Scenario 1: Uncle Sam Leaves Bill Gates Alone <i>Amy Cortese and Mike France in New York, Susan Garland in Washington, D.C., Steve Hamm in San Mateo, Calif., and Michael J. Mandel in New York</i> Iss. 3574; pg. 115	22	1	0			✓	Competition. Innovation.				

													<p>operators--agreeing to comply with the specs and to sell pieces of its software a la carte. It's unclear how Microsoft will fare, but one thing is certain: Cable execs have seen how successful Microsoft is in PCs and are determined not to let it control a key piece of cable-network technology. ``<i>We don't want to be Bill Gates's download,</i>" says Tele-Communications Inc. President Leo J. Hinderly Jr. Still, rumors are swirling that TCI is about to accept financing from Microsoft--which could turn it into an ally overnight.</p> <p>It's that sort of paranoia that has enabled Mircosoft to survive and thrive. It's possible, of course, that competitors will blunt his new attack in at least some areas. But unless the government succeeds in a full-scale antitrust assault, <i>Bill Gates and Microsoft are destined to become a still more potent force in the world's most important industry.</i></p>	5	47
Jan 19, 1998	25509475	Business Week	1037	12	Gates on Bullies, Browsers--and the Future., Iss. 3561; pg. 66 (interview)	4	1 W 29 15	0		✓ (2)		Great software. Competition. Reputation	<p>[GATES] ON THE JUSTICE DEPT.'S STANCE: Unless we're allowed to enhance Windows, <i>I don't know how to do my job. Windows would certainly be eliminated.</i> I don't know what Microsoft is unless we have the clear right to design the product with new features, including things we've sold separately in the past.</p> <p>[GATES] LOBBYING WASHINGTON: The people who compete with us are a lot more sophisticated about spending money on politicians than we are. I've been very naive. I thought just sitting here <i>and writing great products was enough.</i> I've been criticized for not realizing that's how the world works, and maybe I made a big mistake. I wasn't back there [in Washington] like they were. And now that we've done tiny things in that direction, the headlines are: ``Microsoft Buying Influence." You're damned if you get involved and damned if you don't. It's an awful situation to be sued by the government. It certainly is</p>	16 12	10 11

													bad for our reputation.			
Feb 9, 1998.,	25872055	Business Week	779	8	Is Bill Gates Just Doing What He Should? Iss. 3564; pg. 10	7	11	0	✓ (2)				<p>Bill Gates's detractors cannot make the case that Microsoft is abusing its market power either to gouge on prices or push inferior products, <i>so they are arguing that Gates is building a monopoly in technology that will inhibit innovation in the Information Age.</i></p> <p>Perhaps the telephone system could offer a picture of the future of the PC. That's a decidedly high-tech business that began as a monopoly but is now served by numerous separate companies even though it physically connects almost every home and business in the country. Maybe it's time to end vertical integration. <i>Let Mr. Gates keep his near-monopoly in PC operating systems but require divestiture of all the applications software, network services, ``content providers," and other businesses in which Microsoft now dabbles.</i> And if Bill Gates wants to know how to ``do his job" to improve Windows, he can focus on making it smaller, simpler, cheaper, more efficient, and error-free.</p>	1	5	4
Feb 9, 1998.,	25872171	Business Week	822	10	`I'm Humble. I'm Respectful'; Microsoft beta-tests Bill Gates 98 in a whirlwind PR tour <i>Steve Hamm in San Mateo, Calif.</i> . Iss. 3564; pg. 40	12	16	0	(1)	✓ (3)		Image. Innovation. Great software.	<p>It's not every day you meet the world's richest man. No wonder May Saeteurn and Vicky Hoang, 16-year-old student interns at the Tech Museum in San Jose, Calif., were excited. They begged William H. Gates III to pose with them for a snapshot during a Jan. 27 reception for the Microsoft Corp. chairman, one of the museum's benefactors. Afterwards, Hoang gushed about her encounter. <i>Gates was so down-to-earth</i>, she notes. Now she regrets a speech she gave at school recently, pegging Microsoft as a dangerous monopoly. ``After seeing him," Hoang says, ``I take back all I said."</p> <p><i>In that and other appearances, Gates is seizing every</i></p>	1	14	1
														1	5	

													<p><i>opportunity to portray Microsoft as a champion of the Information Age and a benign advocate for consumers. On the 27th, the sometimes irascible and frequently sarcastic CEO was modest, even self-deprecating. He went out of his way to praise competitors like Netscape. ``This was a very gentle Bill Gates," said Garth Saloner, a professor at Stanford University's Graduate School of Business and a sometime critic of Gates.</i></p> <p>So what's his message? Microsoft isn't taking advantage of its Windows monopoly to the detriment of consumers, and it's not oppressing the rest of the PC world. His evidence: 12 of the top 14 computer industry companies are Microsoft partners. Also, he stressed, in its recent actions, the company did not intend to thumb its nose at the government. ``When somebody says we can't innovate, we can't do what's been good for consumers, that's something we have to stand up for," Gates said in response to a question. Later, he added: ``<i>A picture was painted of Microsoft as defiant of a government order. That was not true. I'm humble. I'm respectful.</i>"</p> <p>Microsoft fans loved the tour. ``Microsoft hasn't done a good enough job of educating the government and consumer advocates about the intricacies of software development," says Scott W. Schoelzel, manager of the Janus Twenty fund. ``But I think they'll do it now." And Gates made a few converts. ``He's so enthusiastic," says Maria Sansano, a senior at San Jose State University, where Gates made an evening presentation. ``<i>You can tell he's not in it for the money. He wants to make software better.</i>"</p>		14	8	
Feb 23, 1998	26565734	Business Week	1164	11	Bill Is a Target in Europe, Too; Microsoft's dominance is raising regulatory hackles <i>William Echikson in Brussels. .</i>	23	3	1			✓	image				12	9

					Iss. 3566; pg. 14													
May 18, 1998.	29517082	Business Week	1340	10	The Cops Converge on Microsoft; Justice is ready to pounce on Win98, as state AGs map their own attack <i>Susan B. Garland in Washington and Steve Hamm in San Mateo, with Mike France in New York.</i> , Iss. 3578; pg. 34	22 G1	5	0	✓ (1)				Monopoly power	With D-Day approaching, an eleventh-hour settlement seems the only way out for both sides. Otherwise, Bill Gates can expect to make many other high-profile appearances to tout <i>Microsoft's unfettered right to design products as it sees fit.</i> Only, next time the venue may not be a New York rally. It may be a federal court.	1		16	
June 1, 1998.,	29773452	Business Week	684	7	Settle the Microsoft Case Iss. 3580; pg. 170	18 G1	0	1			✓	Competition. Innovation						
June 1, 1998.	29773416	Business Week	1489		The Battle for the Cyber Future; As Microsoft and Justice spar, the industry foresees sweeping change <i>Amy Cortese in New York, with Susan B. Garland in Washington, Steve Hamm in San Mateo, and bureau reports,</i> Iss. 3580; pg. 38	32 G2	5	0	✓ (1)	✓ (1)		MS image (manipulative) innovation	That's why even though it's probably too late for Justice's proposed remedies to erode significantly Microsoft's position in operating systems or browsers, Gates isn't apt to give an inch. <i>He's thinking about the future.</i> ``It's quite a crucial and interesting juncture," says Rudolph J. Peritz, antitrust professor at New York Law School. ``The notion of the desktop computer has been expanded to the virtual space of the Internet." Some Net entrepreneurs say they already find themselves stymied by Microsoft's power in cyberspace. Ask Payam Zamani, co-founder and executive vice-president of Autoweb.com, a Santa Clara auto sales site that competes with Microsoft's Carpoint. Zamani contends that CarPoint has an unfair advantage since Microsoft can funnel traffic to the site from its browser. ``They don't even have to do any brand marketing," says Zamani. ``If Microsoft wins this battle, it <i>means the Information Age will be Bill Gates's.</i> "	15	11	7 		

June 29, 1998.,	30496675	Business Week	1805	18	Oddsmaakers Bet on Bill; Why Justice may not win more than a token victory <i>Mike France in New York, with Steve Hamm in San Mateo, Calif.</i> . Iss. 3584; pg. 104	30 S1	2	0			✓						
June 1, 1998.,	29773428	Business Week	988	19	Chairman Bill Barks Back Iss. 3580; pg. 40 (interview)	6	0 W 32 I4	1		✓ (2)		Innovation. Smart	Q: What happens to Microsoft and the computer industry if Justice gets an injunction and wins the suit? A: We're very confident that the government won't be successful. <i>The law on our ability to innovate on behalf of consumers is crystal-clear.</i> Likewise, all the contracts we did are perfectly normal, legal contracts that have in no way made it impossible for Netscape [Communications Corp.] to market their products. Internet Explorer (IE) has been successful because it's the best product that's available. IE was in Windows from the very, very beginning, and that didn't get us much usage. It's when we listened to the customers and did great work that we gained market share. So, this is a lawsuit where the government had its best day when it filed the suit. Now, we get to bring out the real facts about what has taken place here. Q: If you are correct and if the Justice Dept. suit fails, how do you see the industry evolving? And how about Microsoft? A: Microsoft has three primary businesses, and they'll be our primary businesses for the next decade. Those are Windows, Office, and BackOffice. We see huge opportunities in each of those areas. We're going to stay true to the vision and principles that we've had ever since our founding: <i>hiring smart people, listening to our customers, investing a lot in research and development. The key for us is just to keep doing that great work and make sure that there's no distraction here.</i>		12	3	
Aug 17, 1998.	33195514	Business Week	1401	15	Microsoft Takes the Stand; It readies an E-mail trail aimed at	30	5	1	✓ (2)			tactics	Microsoft's Internet push got under way in earnest on April 6, 1994, when Gates and 20 product-	1		9	

					<p>proving the Justice Dept. dead wrong <i>Steve Hamm in San Mateo, with Mike France in New York,</i></p> <p>Iss. 3591; pg74</p>								<p>development managers and engineers spent an entire day hashing it over at the historic Shumway Mansion in Kirkland, Wash.--an event that's certain to be analyzed at length in the trial. Since the meeting took place just two days after Netscape was quietly organized by a group of engineers in Mountain View, Calif., Microsoft execs will claim they had not even heard of the company at the time.</p> <p><i>At this point, Gates was only gradually warming up to the potential of the Internet. Still, at the Shumway meeting he admonished his engineers to embrace Web mania and look for ways to add products such as Internet-based networking, E-mail, Web access, and navigation to Windows. A few days after the meeting, one of his lieutenants, Steven Sinofsky, circulated a technology blueprint containing specific plans for carrying out this strategy. In keeping with Gates's wishes, the systems group also included ``integrate Net browsing'' into Windows 95 as one of their key objectives in a three-year plan they circulated a few weeks afterwards.</i></p>	1		10
Sep 14, 1998	33809351	Business Week	3672	40	<p>Bill's Co-Pilot; After 18 years at Microsoft, is Steve Ballmer ready to be president? <i>Steve Hamm in Redmond, Wash..</i> , Iss. 3595; pg. 76</p>	32	19	0	✓ (1)			visionary	<p>With this move, Steven A. Ballmer finally gets public recognition for the role he has long played at Microsoft: Bill Gates's co-pilot. <i>Together, the two college chums have spent 18 years forging a fiercely competitive company unmatched in computerdom.</i> Gates has been the company's big brain and Ballmer its wildly thumping heart, inspiring the troops as no one else can. Now, while Gates remains CEO and point man in the company's antitrust battle with the Justice Dept., it's up to Ballmer to run day-to-day operations at a juncture that's as crucial as any in the company's history.</p>	4		3
Sep14, 1998.,	33809288	Business Week	922	10	<p>Microsoft under the Microscope. <i>Steve</i></p>	12	10	0	✓ (1)				<p>It's a pity that Rohm cluttered The Microsoft File with this and other silly scenes that go inside her</p>	5		3

					Hamm Iss. 3595; pg. 18								characters' heads. At its core, the book is an earnest work of journalism with a serious purpose: to show that <i>Gates and Microsoft have engaged in predatory business practices that all but destroyed competition in the PC operating-system market and now threaten to do the same with the Internet and electronic commerce</i> . The book is being released in early September to coincide with the start of Microsoft's federal antitrust trial.			
Nov 2, 1998	35517837	Business Week	690	0	Coming to Grips with Microsoft., Iss. 3602; pg. 146	17	2	0	✓ (1)			MS image as bully, killer of competition, hurt innovation and threat to free market. Competition. innovation	But that is what Microsoft refuses to accept, and why this antitrust case has elements of a classic tragedy. Our guess is that <i>Bill Gates, who built an empire from scratch, can't conceive of being punished for his success, and neither can the thousands of people working for him</i> . They undoubtedly see themselves as quintessential capitalists.	4		3
Nov 30, 1998., I	36381778	Business Week	1347	14	Teflon Bill; So far, the antitrust trial hasn't sullied the Gates ``brand" <i>Keith H. Hammonds, Ellen Neuborne in New York, with Steve Hamm in San Mateo, Calif., and bureau reports.</i> ss. 3606; pg. 130	4	32	0	✓ (2)	(1)		Bill image: robber baron, brand bill, genius, overgrown schoolyard bully, boy genius, neurotic, hero most successful boy boomer. Reputation	<p>The allegations paint a picture of a modern day robber baron. Government trustbusters have accused William H. Gates III, the legendary founder of Microsoft Corp. and a billionaire 50 times over, of using his company's monopoly position in crucial computer software as a bludgeon to intimidate competitors and suppliers alike. But while Microsoft may be the Standard Oil of computing, Bill Gates is no John D. Rockefeller.</p> <p>The Gates legend is by now familiar: He dropped out of Harvard at age 20 to found what became the most powerful software company in the world and amass the biggest fortune in America. His legions of admirers hail him as a visionary genius who can discern the far-reaching effects of technology long before anyone else--a reputation Gates has carefully cultivated with speeches and books such as his 1996 best-seller, <i>The Road Ahead</i>. Gates, who started out</p>	1	16	3

													tinkering on a school computer, has come to embody one of America's most cherished archetypes: the self-made entrepreneur who <i>succeeded through sheer talent and ambition</i> .			
													LIONIZED. But perhaps more telling, many of those who have heard or read about the testimony that's making judges laugh and lawyers squawk actually like what they see: 50% of those who are aware of the trial have a favorable view of the shifting, hemming, dodging Bill Gates. Image experts don't expect those numbers to change. They say the trial, which examines whether <i>Gates and Microsoft have grown too powerful, is unlikely to topple him from his icon status</i> . After all, building the world's most powerful software company is what made him an icon in the first place.	5		7
Oct 26, 1998.,	35300690	Business Week	3224	34	No Letup--and No Apologies; Antitrust scrutiny hasn't eased Microsoft's competitiveness <i>Steve Hamm in Redmond, Wash., with Amy Cortese in New York and Peter Burrows in San Mateo, Calif.</i> Iss. 3601; pg. 58	73	7	1	✓ (4)			Competition. Ms as arrogant	The deal was a coup for Microsoft Corp., giving it the inside track on selling its software for digital set-top boxes to Road Runner. But it was also an unmistakable signal to anyone who thought <i>Gates & Co. might tone down their legendary competitiveness in the face of the government antitrust suit</i> . ``Their arrogance is incredible," says an executive on the losing side of the Road Runner deal. ``Microsoft wins because it can pull out its checkbook--which is unlimited. That stifles competition and is dangerous to the economy."	1		2
Nov 16, 1998	35916222	Business Week	964	13	Nailing Microsoft Means Proving Harm Was Done <i>Susan Garland.</i> ., Iss. 3604; pg. 50	10 G1	2	1	✓ (4)			MS image as big bad bully and gates as bully in chief. Power. Competition. innovation	In a videotaped deposition played in a Washington (D.C.) courtroom on Nov. 2, Microsoft Chief Executive William H. Gates III slouched in his chair and often claimed not to know about subjects on which he had penned entire memos. This was a very uncomfortable day for Microsoft, and there seems little question that the Justice Dept. scored big in its historic antitrust case that charges the software giant	5		1

														with using its operating-system dominance to strongarm companies into distributing its Internet browser. <i>The Gates performance was all the more compelling because it followed three government witnesses who offered powerful tales of nasty tactics. But will showing that Microsoft is a big, bad bully and that Gates is bully-in-chief be enough for the government to win?</i>				
														It's extreme capitalism. Even while Microsoft's lawyers hustle to pull together their defense (page 39), Gates is dreaming up ways that his company can extend its reach into new markets far afield from PC software--from electronic bill payments and cordless phones to software for gas pumps, traffic signals, and even TV remote controls. Indeed, when you drink a glass of milk next year, consider this: There's a chance that Microsoft software helped test its purity.	1		6	
														Surprised? You won't be for long. As new President Steven A. Ballmer takes over daily operations, Gates will have more time to plot the company's long-term course. Today, his company is the master of desktop software. <i>Tomorrow, he wants it to rule the world of information appliances.</i>	5		7	
Nov 30, 1998.,	36381750	Business Week	1562	17	Meet Microsoft's Enforcer; Joachim Kempin rules PC makers with carrots-and sticks <i>Steve Hamm in San Mateo, Calif., with Gail Edmondson in Paris and Peter Burrows in San Mateo, Calif.</i> Iss. 3606; pg. 136	29	0	0			✓							
Dec 21, 1998	37273109	Business Week	1437	16	Has Judge Jackson Made up His Mind?; All the courtroom signs point to a ruling against Microsoft <i>Mike France in New York, with</i>	19	3	0			✓							

					<i>Susan Garland in Washington</i> ., Iss. 3609; pg. 84												
Apr 24, 2006.	1023946791	Business Week	1158	12	The Hottest Tech Outfit You Never Heard Of <i>Bruce Einhorn, with Jay Greene in Seattle.</i> , Iss. 3981; pg. 42	12	1	0	✓ (1)				<i>Bill Gates has a secret weapon -- a little-known Taiwanese company with the bland name of High Tech Computer Corp. Microsoft Corp. has long wanted to extend Windows territory to include smartphones, those souped-up handsets that can duplicate many of a desktop's functions. But Microsoft needs partners to make the gadgets, and a key one is HTC. Microsoft collects a royalty on every Windows-operated smartphone and PDA phone HTC sells to cellular operators like Cingular, T-Mobile, and Vodafone, who in turn slap their own brands on its devices. The collaboration between Microsoft and HTC is intense. "There's shared DNA across both companies," says Scott Horn, general manager of Microsoft's Mobile & Embedded Div.</i>	1		1	
May 22, 2006.,	1038418261	Business Week	805	7	The Hunt For Chinese Talent <i>Bruce Einhorn.</i> Iss. 3985; pg. 104	16	14	0	✓ (1)				<i>You might expect that a new book in which Lee is prominently featured and extensively quoted would have juicy insights into that drama. Alas, the flawed Guanxi (The Art of Relationships): Microsoft, China, and Bill Gates's Plan to Win the Road Ahead, by journalists Robert Buderer and Gregory T. Huang, has little to say about this key moment in the Microsoft-Google rivalry. Indeed, it appears Microsoft executives weren't the only ones surprised by Lee's departure: Although Buderer and Huang seem to have spent many hours over many months talking with Lee, they apparently had no inkling of his dissatisfaction. They devote one late chapter to the custody battle. But it feels tacked on, almost as if they realized at the 11th hour that Lee had upended the whole premise of their book, which tells how Microsoft successfully built its Beijing research center.</i>	5		2	

Jun 26, 2006.,	1064785071	Business Week	3659	34	<p>Bill Gates Gets Schooled <i>Jay Greene & William C. Symonds.</i></p> <p>Iss. 3990; pg. 64</p>	0	17	10	(2)	✓ (5)		<p>Public education. Global health,. Innovation. vision</p> <p>What does a troubled public school do when Microsoft Corp. Chairman Bill Gates and his wife, Melinda, come knocking with \$1 million and a rescue plan? Manual High School, a hulking, 112-year-old brick edifice serving several poor neighborhoods in Denver, faced that question back in 2000. It had been a respected school for many years, with a mix of middle-class white kids, most of whom were bused in, and less-well-off minorities. The school scored well on tests overall and fielded outstanding sports teams. But when forced busing ended in 1996, Manual's student body quickly became 90% minority and much poorer. Soon the school was dead last on state tests, with a mile-high dropout rate of about 50%. The <i>Gateses proposed to split up the student body of 1,100 into three smaller schools. The theory was that in more intimate environments, students, teachers, and staff could develop close relationships that would boost kids' desire to learn and stay in school.</i></p> <p><i>Visits to 22 Gates-funded schools around the country show that while the Microsoft couple indisputably merit praise for calling national attention to the dropout crisis and funding the creation of some promising schools, they deserve no better than a C when it comes to improving academic performance.</i> Researchers paid by their foundation reported back last year that they have found only slightly improved English and reading achievement in Gates schools and substantially worse results in math. There has been more promising news on graduation rates. Many of the 1,000 small schools the Gateses have funded are still new, however, and it's too soon to project what percentage of their students will finish school and enter college, also a foundation goal. The collapse of Manual High is an extreme case, but one that points to a clear lesson: Creating small schools may work sometimes, but it's no panacea.</p> <p>The couple says the setbacks don't mean they have</p>	1	1
													1	7
														10

													double the rate of the larger schools they replaced and well above the city's 54% graduation rate. More broadly in New York, "a large percentage of the kids [in the 78 New Visions schools backed by the Gateses] are on track to pass the Regents exams and graduate," says Elizabeth R. Reisner, principal of Policy Studies Associates Inc., a Washington (D.C.)-based educational research firm that has been evaluating the New Visions schools since 2002.			
													<i>Nearly six years into their education about America's inadequate schools, Bill and Melinda Gates say that despite the missteps, they're as committed as ever.</i> Their foundation has refocused its efforts over the past two years to try to address high school failings more systematically. It is funding such reform groups as Achieve Inc., a champion of exacting academic standards, and backing improvements in the way local districts measure testing. In April, it gave \$21 million to the Chicago Public Schools, in part to develop a college prep curriculum, a brave goal in a city with a 46% dropout rate.		16	33
Jul 3, 2006.,	1068887451	Business Week	1365	13	After The Icon Exits <i>Jay Greene, with Peter Coy and James E. Ellis in New York, Robert Berner in Chicago, and Cliff.</i> Iss. 3991; pg. 38	7	11	1 F 2	✓ (3)			Mythic chief executive. Image-gates as bare knuckle tactics	William H. Gates III has no confusion about his mythic stature in American business. When he announced plans in June to step away from Microsoft Corp., he acknowledged the importance of "getting beyond the myth of one person doing a high percentage of the things." He regularly invokes the federation of brilliant minds that make up the core of his company. But Gates also knows how to play on his personal mythology. Interns swoon at the opportunity to go to a summer-ending barbecue at his mansion. Chief information officers leap at the chance for an audience, though it often ends with a sales pitch from Bill. Chinese President Hu Jintao made the pilgrimage to Redmond, Wash., in April just for the chance to	1		2

Appendix 4

Qualitative Coding Sheet

Power

Newspaper	Evidence	Par
<p>Trial Opens By John R. Wilke. Wall Street Journal. (Eastern edition). New York, N.Y.: Oct 20, 1998. pg. 1</p>	<p>Mr. Boies then read memos planning the meeting and reporting on its results that were sent to Mr. Gates before and after the meeting by his top lieutenants. Mr. Gates was again shown testifying on large video screens that he "had no sense of what Netscape was doing," and thought that any investment in Netscape "didn't make sense." But in a series of memos in the weeks before the meeting, Mr. Gates wrote that "a new competitor born on the Internet is Netscape," and he expressed concern that it could dilute the power of the Windows operating system, the foundation of Microsoft's market strength.</p>	4
	<p>"There is a very powerful deal of some kind we can do with Netscape . . . we could even pay them money as part of the deal, buying some piece of them or something," he wrote in a May 31, 1995, memo. "I would really like to see this happen!!"Mr. Boies said the attempt to limit competition by Netscape came "not only with the approval and encouragement, but with the explicit direction of very top management."</p>	5
<p>It's Time Gates Placed Trust in Trustbusters. By Alan Murray1Wall Street Journal. (Eastern edition). New York, N.Y.: Mar 9, 1998. pg. A.</p>	<p>In a provocative new book titled "The Commanding Heights: The Battle Between Government and the Marketplace That Is Remaking the Modern World," Daniel Yergin chronicles the global shift of power away from governments and toward market forces in recent decades. It is a remarkable tale. Even in the U.S., long a standard bearer of capitalism, markets operate with more force than ever before, extending their power into such traditional strongholds of regulation as airlines, telecommunications and health care.</p>	4
<p>Microsoft Net, Profit Margins Climb Sharply By David Bank. Wall Street Journal. (Eastern edition). New York, N.Y.: Apr 23, 1998. pg</p>	<p>In another demonstration of its enormous marketing power, Microsoft Corp. reported a 28% surge in net income for the fiscal third quarter that pushed its net profit margins past 35%, an astronomical level for a company of its size.</p>	1
	<p>In anticipation of the earnings report, Microsoft's stock jumped \$4 to \$98.875 in Nasdaq Stock Market trading, giving it a market capitalization of \$265 billion, and moving it closer to the most highly valued company, General Electric Co., at \$284 billion. Microsoft's move pushed the value of shares held by its chairman, Bill Gates, to \$55 billion.</p>	2
<p>Gates Answers To Criticism Of MicrosoftBy John R. Wilke and David Bank. Wall Street Journal. (Eastern edition). New York, N.Y.: Mar 3, 1998. pg. 1</p>	<p>In response to the government's antitrust challenge and criticism of Microsoft's tactics, Mr. Gates says in draft testimony that "it is preposterous to think that any one company could ever control access to the Internet." He delivered that message to congressional leaders yesterday, ahead of a Senate Judiciary Committee hearing on software competition scheduled for this morning.</p>	1
	<p>Sen. Hatch lauds Microsoft as "a critical driving force in the economy." But Microsoft's effort to use its power to control Internet access, he also says, "gives it tremendous potential control over future Internet commerce." The Utah Republican called for "vigilant enforcement of the antitrust laws now to avoid federal regulation of the Internet later." In his draft testimony, Mr. Gates says Microsoft's ability to innovate is at stake. He calls software "one of the healthiest, most competitive and most innovative sectors of the U.S. economy" and insists that Microsoft doesn't have monopoly power in PC operating software</p>	5

Injunction Comes Under Fire - -- Appeals Panel Seems to Back Firm's View That Order Exceeded Court's PowerBy John R. Wilke. Wall Street Journal. (Eastern edition). New York, N.Y.: Apr 22, 1998. pg. 1	The spotlight on Microsoft has grown white-hot in recent weeks as the federal investigation closes in on the company following a dramatic Senate Judiciary Committee appearance by Bill Gates, Microsoft's chairman. While Mr. Gates's company has become a powerful engine of the nation's technology-driven economy, its might is increasingly being compared with the Standard Oil trust broken up earlier this century in an epic antitrust battle.	4
Business World On Microsoft, Standard Oil and TrustbustersBy Holman W. Jenkins Jr.. Wall Street Journal. (Eastern edition). New York, N.Y.: May 20, 1998. pg. 1	Now the focus has shifted to control over what appears on the screen when a user boots up. By taking this power away from Microsoft and giving it to computer makers, Justice would take away Microsoft's intellectual property, stripping the company of any incentive to keep investing in Windows. That's the idea: The world would supposedly look to the Netscape-Java clique for future advances.	14
Gates, U.S. Meet as New Lawsuit Looms By John R. Wilke and David Bank. Wall Street Journal. (Eastern edition). New York, N.Y.: May 6, 1998. pg. 1	Mr. Gates argued earlier yesterday in New York that delaying or blocking the next version of Windows, due for public release next month, would hurt the most vibrant sector of the American economy, cost jobs and enable foreign firms to gain ground in a market that has been dominated by the U.S. He said that a delay of the product, Windows 98, "would be like telling GM they can't come out with any new cars this fall." ³ Kevin Arquit, former counsel to the Federal Trade Commission now representing Sun Microsystems Inc., said Microsoft's dire warnings undercut its own arguments. "They say they aren't a monopoly and now they come and say that the temporary delay of a single product will bring down the entire U.S. economy," he said. Mr. Gates said any delay in the release would affect "an entire ecosystem of companies that depend on constant improvement."	3 13
Is Microsoft a New `Public Utility'?By David Bank. Wall Street Journal. (Eastern edition). New York, N.Y.: May 19, 1998. pg. B.1	"What is really damaging is their tactic of using cash they generate from their monopoly position to buy market share," says Ray Lane, president of Oracle Corp., which is being increasingly challenged by Microsoft in the database-software market. "They will use that to buy a spot in the market until they have an adequate product. I've already seen it happen." Adds his boss, Oracle Chairman Larry Ellison: "It's Microsoft against the world, and Microsoft is a 6-to-5 favorite."	7
U.S. v. Microsoft: A Case Built on Wild Speculation, Dubious TheoriesBy George L. Priest. Wall Street Journal. (Eastern edition). New York, N.Y.: May 19, 1998. pg. 1	Yesterday's suit by the Justice Department against Microsoft (joined, in a needless piling on, by 20 state attorneys general) threatens to damage or even cripple a company that has brought billions of dollars of value to consumers around the world. Microsoft is a classic example of what even the Supreme Court regards as a good monopoly: a firm that has gained monopoly power not through merger or collusion, but business skill and acumen in creating a clearly superior product.	2
Microsoft Trial Promises	The stakes could hardly be higher: Not since the days of John D. Rockefeller's Standard Oil monopoly has a single company so pervasively	3

Stars, Impact, Legal Fireworks By John R. Wilke. Wall Street Journal. (Eastern edition). New York, N.Y.: Oct 16, 1998. pg. B.1	influenced the direction of the nation's economy, with Microsoft in a position to shape the future of electronic commerce for years to come. If the government persuades the court that Microsoft abused its monopoly power but seeks excessively regulatory remedies, a vital sector of the economy could be hamstrung. On the other hand, if the remedy doesn't go far enough -- which is what many said about a 1995 antitrust settlement involving the company -- Microsoft's power could go unchecked.	
Two Bills, One Mission; Vastly Different Personalities, Messrs. Clinton, Gates Join Forces In a Global Effort to Fight AIDS Marilyn Chase. Wall Street Journal. (Eastern edition). New York, N.Y.: Jul 11, 2006. pg. B.1	"Gates doesn't work as well with governments because he doesn't have the skills or political acquaintances," says Mr. Holbrooke. "Clinton doesn't have the resources. But Clinton is the most important public figure and Gates the most important financial figure." And while differences between the two are "true," says Mr. Holbrooke, they are "of low-level importance." He adds: "What's important is there's a marriage of many organizations of which Clinton's and Gates's are the most powerful."	17

Image

Newspaper	Evidence	Par
Gates Invests a Byte Of Money for Cache Of Hollywood Stars -- - Microsoft Sees DreamWorks As Ally Providing Access To Family-Fun ProductsBy Thomas R. King and Don Clark. Wall Street Journal. (Eastern edition). New York, N.Y.: Mar 23, 1995. pg. A.3	Mr. Gates, in particular, has been dogged in entering new business ventures by his reputation for hard-knuckle tactics in the computer industry. Mr. Spielberg, the easy-going film director, has said that the DreamWorks partners were initially reluctant to meet with Mr. Gates, but were quickly won over once they did.	8
Gates Under Fire as Microsoft Trial OpensBy John R. Wilke. Wall Street Journal. (Eastern edition). New York, N.Y.: Oct 20, 1998. pg. 1	WASHINGTON -- The government launched a blistering attack on Microsoft Corp. Chairman Bill Gates, challenging his credibility under oath and charging that he personally directed a campaign to crush a competitor that threatened his company's monopoly.	1
Microsoft Net, Profit Margins Climb Sharply By David Bank. Wall Street Journal. (Eastern edition). New York, N.Y.: Apr 23, 1998. pg. 1	He said Microsoft is an attractive target for such criticism because Mr. Gates himself is so visible. "At the turn of the century, they could identify Rockefeller, Vanderbilt, J.P. Morgan and that was the heyday of antitrust," Mr. Galambos said. "Now Bill Gates personalizes all that power and wealth. That's dangerous. It's sort of a description of how to get in trouble."	19
Software: A Web Pioneer Does a Delicate Dance With MicrosoftBy Kara Swisher. Wall Street Journal. (Eastern edition). New York, N.Y.: Feb 12, 1998. pg. B.1	"They are neither friend nor foe, but Microsoft is most certainly the environment we live in," says Mr. Glaser, now 36 years old. "It's how we work within that environment that will make all the difference."	7
Browser Bruiser: Microsoft and Justice End a Skirmish, Yet War Could Escalate --- Company Agrees to Unbundle Internet Software; Will Regulators Widen Case? --- Why Netscape Still FretsBy David Bank and John R. Wilke. Wall Street Journal. (Eastern edition). New York, N.Y.: Jan 23, 1998. pg. A.1	<p>The settlement came as Microsoft took other steps to soften the harsh image it has projected in the case. Microsoft just hired Haley Barbour, former head of the Republican National Committee, the GOP's fund-raising arm. The company also has hired Mark Fabiani, the former White House lawyer who fielded questions about Whitewater and other Clinton administration scandals, to work on its Internet-product strategy.</p> <p>Those tactics damaged Microsoft in the court of public opinion. Steve Ballmer, the company's executive vice president and Mr. Gates's top lieutenant, recently admitted that the number of people who are enthusiastic about the company and its products had clearly taken a dip. He also admitted that the company's morale had suffered.</p> <p>People inside the company say Microsoft lost sight of how the perception of common sense and courtesy could profoundly shape its</p>	<p>16</p> <p>22</p>

	prospects. "You have some of the most serious negative attitudes and perceptions that the company has ever experienced, and it's beginning to seep into other sectors," says one former Microsoft executive who remains in contact with its inner circle.	23
	While a Fortune magazine poll concluded this week that 73% of business executives consider Microsoft one of America's great businesses, a more recent Merrill Lynch survey indicated that the company's standing among technology opinion-leaders has suffered. In a survey of 50 corporate chief information officers, 59% said they believe that Microsoft abuses its power, though 62% believe Microsoft should be allowed to integrate its Internet browser and operating systems.	24
	Major Microsoft customers say they currently have no plans to stop supporting the Microsoft standard. And PR strategists say Microsoft can still restore its public image, just as Intel Corp. did after suffering a PR disaster by insisting the company, rather than customers, would decide whether to replace a defective microprocessor, creating the famous "Pentium flap." But Microsoft will have to change tactics, fast, they say.	25
	"I'm astonished at the way Microsoft is presenting its case to the public," says Gershon Kekst, a PR veteran of many merger wars between big companies. "If they don't frame the issue persuasively, then if they haven't already suffered irreparable damage, they will."	26
	The court strategy, authorized by Mr. Gates personally, speaks reams about the company's self-image and psychology, which is synonymous with the personality of Mr. Gates. Its managers have learned to aggressively attack detractors and competitors inside, and outside, its high-tech world. "Bill Gates is Microsoft," says Alan Brew, a partner in the San Francisco corporate branding consultancy Addison Seefeld and Brew. "The character of the whole company is cloned in the form of this combative, young, arrogant leader."	33
In U.S. vs. Microsoft, Government Has Edge By John R. Wilke and Bryan Gruley. Wall Street Journal. (Eastern edition). New York, N.Y.: Nov 2, 1998. pg. B.1	Robert Doyle, a former FTC litigator now with the Washington law firm of Arent, Fox, says he thinks the government has gotten the best of the case so far, thanks primarily to evidence in Microsoft's own documents. But he questioned the focus on Microsoft's chairman. "It's too personal -- it has become a case against Gates," he says. "It should be a case against anticompetitive behavior by a company."	17
microsoft ballets sun over TCI set top boxes by leslie Cauley and David Bank. Wall street journal. New york jan 9 1998, pgl	Steve Ballmer, microsofts executive vicw president, said in a recent interview the company was taking steps to soften the company's harsh image, but declines to comment on whether the current controversy has affects he negotiations with TCI	10
Gates Will Cede Day-to-Day Role At MicrosoftRobert A. Guth and Don Clark. Wall Street Journal. (Eastern edition). New	Mr. Gates is "more than just an executive. He's really an extension of the brand," said Pascal N. Levensohn, a San Francisco venture-capital investor who has studied management change at smaller companies.	14

York, N.Y.: Jun 16, 2006. pg. B.1		
The Economy; BUSINESS: How Microsoft Rebooted Its ReputationAlan Murray. Wall Street Journal. (Eastern edition). New York, N.Y.: Mar 1, 2006. pg. A.2	REPUTATION IS a hot topic in executive suites, largely because the overall reputation of business is so poor. Two weeks ago, the Business Council, a group that includes chief executives of many of the largest companies in the U.S., devoted a day to the topic at its retreat in Boca Raton, Fla. Some executives expressed surprise that the negative effects of corporate scandals have lingered for so long. Others felt victimized by a hostile press. But all seemed to agree that reputation has become increasingly important to their businesses.	6
	A good reputation doesn't guarantee results. Microsoft's share price has been stagnant even as its reputation has been on the mend. But reputation can be especially important in recruiting and keeping employees, executives say. And it is certainly helpful in dealing with activist shareholders, nongovernment organizations and interventionist governments. "The consequence of reputation is much greater in today's environment than it used to be," public-relations executive Alan Towers says.	7
	For its part, Microsoft hopes the boost in reputation will help in its showdown with European antitrust authorities. Faced with the threat of fines of more than \$2 million a day for failing to comply with a 2004 antitrust ruling, the company has taken the unusual step of publicizing a 75-page "confidential" response that attacks European authorities for false, misleading and unfair charges. That confrontational tactic is reminiscent of the old Microsoft, but the new Microsoft may have just enough public support to prevail.	8
After The Icon Exits Jay Greene, with Peter Coy and James E. Ellis in New York, Robert Berner in Chicago, and Cliff. Business Week. New York: Jul 3, 2006., Iss. 3991; pg. 38	William H. Gates III has no confusion about his mythic stature in American business. When he announced plans in June to step away from Microsoft Corp., he acknowledged the importance of "getting beyond the myth of one person doing a high percentage of the things." He regularly invokes the federation of brilliant minds that make up the core of his company ¹ .	1
	But Gates also knows how to play on his personal mythology. Interns swoon at the opportunity to go to a summer-ending barbecue at his mansion. Chief information officers leap at the chance for an audience, though it often ends with a sales pitch from Bill. Chinese President Hu Jintao made the pilgrimage to Redmond, Wash., in April just for the chance to dine with Gates. There's no question his departure from day-to-day business two years from now could leave a void.	2
	History shows that a company with the right qualities can weather the passage of a mythic chief executive. It takes a coherent culture that propagates the wisdom of the founder. Senior executives must also understand what made the company great, and see how those lessons apply in a changing landscape. Here are some companies that have faced the challenge.	3
Bill Gates Reboots BRENT SCHLENDER. Fortune. New York: Jul 10, 2006.Vol.154, Iss. 1; pg. 72	Think for a moment what it must be like to be Bill Gates. At the ripe old age of 50, you're a living cultural icon who simultaneously is the world's preeminent computer geek, its richest businessman, and its most ambitious philanthropist. You're an old-fashioned family man who dotes on his wife and three young children, and you also love your brainchild--Microsoft--as only a founder can. You're an unabashed optimist, and you've grown accustomed to being able to focus your considerable intelligence and energy on whatever activity you choose, knowing that it will have an enormous impact. You are also aware that even you can't do everything, especially if you want to do it well.	1

Innovation

Newspaper	Evidence	Par
U.S. Sues Microsoft on Antitrust Grounds --- Software Giant Is Accused Of Curbing Competition; States Also Bring ActionBy John R. Wilke. Wall Street Journal. (Eastern edition). New York, N.Y.: May 19, 1998. pg. 1	Bill Neukom, Microsoft's general counsel, shot back: "We don't believe there is any legal basis for any of these demands, and there is certainly no consumer benefit." In a press conference broadcast from Microsoft headquarters in Redmond, Wash., and in a full-page newspaper advertisement, Mr. Gates denied violating antitrust laws. "This suit is about Microsoft's right to innovate," he said.	4
Gates Answers To Criticism Of MicrosoftBy John R. Wilke and David Bank. Wall Street Journal. (Eastern edition). New York, N.Y.: Mar 3, 1998. pg. 1	"If Microsoft fails to keep pace with technological change and is outstripped by its competitors, let it be because we failed to innovate fast enough, not because we were hobbled by government intervention in our efforts to develop new products," he says.Netscape's Mr. Barksdale counters that Microsoft has used "clearly predatory and exclusionary practices" that leverage its Windows operating software and block competitors from the market. "You call that innovation?" he asks.	6
U.S. Closes In on New Microsoft Case --- Officials Think Evidence Supports a Broad Charge On Extending MonopolyBy John R. Wilke. Wall Street Journal. (Eastern edition). New York, N.Y.: Apr 6, 1998. pg. 1	"The central issue in this case is protecting the ability of Microsoft and every other company to innovate and improve their products," the spokesman said. He said Internet features are now integrated into Windows and can't simply be removed; in January, Microsoft agreed to offer Windows 95 in a version that removed direct access to Internet software without removing all the underlying code.	7
Bigger vs. Better: As Innovation Slows, Software Companies Pile On the Features --- It's Called Bloatware, and It Crowds Store Shelves; Microsoft's Small Step --- `Like Owning a Car in 1910'By Lee Gomes. Wall Street Journal. (Eastern	<p>Earlier this year, when a Justice Department action threatened to block the release of Windows 98, Microsoft Corp. had a quick response: Do so, and you jeopardize the innovation that is the lifeblood of the technology industry.</p> <p>Today, the first day Microsoft's new software hits the store shelves, it is apparent that there wasn't a lot of innovation in it for the government to jeopardize. The latest operating system from the world's biggest software company looks, feels and acts much like its three-year-old predecessor, Windows 95. Even some Microsoft employees say they find the biggest "innovation," a way of using an Internet browser to view the contents of their disk drives, to be an annoyance they don't use. Granted, when not jousting with the Justice Department, Microsoft concedes Windows 98 is just a small step for its millions of customers. But the creeping improvement of its most important product points to one of the great conundrums in today's technology industry.</p>	<p>2</p> <p>3</p>

<p>edition). New York, N.Y.: Jun 25, 1998. pg. A.1</p>	<p>Computer hardware continues to improve at a stunning pace, getting cheaper and faster almost by the month. Yet there is no comparable progress occurring in a computer's software. The basic categories of personal-computer software -- the computer's user interface or such workhorse programs as word processors and spreadsheets -- haven't been rethought for nearly a generation, even as they have been stuffed full of new features. And underneath everything is the same system of windows interfaces and mouse pointers, a 20-year-old design known among researchers as "WIMP."</p>	4
	<p>"These days, most software innovation involves incrementally improving a product," says Yogen K. Dalal of Mayfield Fund, a Silicon Valley venture-capital company. "No one is figuring out how to make a revolution, like what happened with the Xerox Star," the late-1970s desktop computer that influenced Apple Computer Inc.'s Macintosh and, later, the Windows operating system from Microsoft.</p>	5
	<p>This slowdown in software innovation has major consequences, say researchers. One is that by being shackled to the design ideas of the 1970s, PCs are becoming less useful for the tasks they are being asked to perform today, especially handling huge volumes of information from electronic mail and the Internet.</p>	6
	<p>However often software firms actually innovate, people working in the industry sure talk about it a lot: Scarcely a press release is issued without a product being called "innovative." In a recent opinion piece in The Wall Street Journal, Microsoft Chairman Bill Gates mentioned the "I" word 10 times. What passes for innovation is more often than not, like Windows 98, simply an incremental improvement of an existing product. "Only a certain number of people are actually innovative," says Dan Bricklin, author of Visicalc, the first PC spreadsheet program. "It's a very hard thing to do."</p>	15
	<p>Many people in the computer industry believe that Microsoft's software dominance is the main reason for the malaise. Most of Microsoft's great successes have involved perfecting ideas -- such as spreadsheets, a graphical user interface or an Internet browser -- that were invented elsewhere. And Microsoft can stumble badly when it tries to do something original. Its easy-to-use package of applications with animated guides, called "Bob," was basically laughed out of the marketplace after its 1995 introduction.</p>	22
	<p>Milking an existing product line with bigger products is hardly unique to Microsoft, says Clayton Christensen, a Harvard Business School professor who studies innovation. "Suppliers always want to introduce 'new' and 'improved' products so they can sell them at higher margins," he says. That means some radically simpler version of a spreadsheet or word processor may go ignored by Microsoft, simply because "it wouldn't meet their need for greater growth and higher profit margins," he says.</p>	24
	<p>Microsoft says it is part of the solution, not the problem, noting continued improvements in its software and the size of its research labs, which are among the industry's biggest (though they haven't produced any significant breakthroughs yet). Microsoft concedes that innovation can be difficult to pull off. Jim Kajiya, Microsoft's assistant director of research, says that there have been enough hardware and software improvements in recent years to make possible an overhauled user interface, one that includes 3-D effects. While Microsoft engineers have solved most of the engineering problems in such a system, Microsoft has yet to figure out the business and tactical issues involved in migrating current Windows users to the new technology.</p>	25
	<p>Others say a new flurry of innovation is just around the corner. One example is a new crop of 3-D interfaces for Web browsers that might allow people to "fly around" their data and files, like a space ship zooming in and around planets. Microsoft is readying such a system,</p>	27

	codenamed "Chrome," for release next year. Computers are also getting better at voice recognition, and speaking to a computer is becoming routine. As Internet connections get faster, especially into the home, PCs will evolve into communications devices that blend a computer, TV and telephone.	
3Microsoft Faces Historic Antitrust Suits --- Filings by U.S., 20 States Expected Today as Talks On Settlement Collapse By John R. Wilke and David Bank. Wall Street Journal. (Eastern edition). New York, N.Y.: May 18, 1998. pg. 1	Mr. Gates vowed to defend what he called "the right of every American company to innovate." He said the government's demands "put everything we have worked for and built for the past 23 years at risk." But he and other Microsoft officials said the company will continue to seek a settlement before the case goes to trial.	3
Boss Talk: An Imprint All His Own; Now a Solo Act at Microsoft, Ballmer Stresses Innovation, Is Bullish on Online ServicesRobert A. Guth. Wall Street Journal. (Eastern edition). New York, N.Y.: Jul 28, 2006. pg. A.9	Mr. Ballmer: As co-leaders of the business, I could allow Bill to be the full-time champion of innovation. And [now] with me really being the guy who's here every day running the place, I must be the champion of innovation. That doesn't mean I must be the guy who comes up with every innovation, but I really have to carry the mantle that says we're going to innovate, we're going to do new things, we're going to get into new areas, we're going to protect and nurture all kinds of innovation. That is my role.	9
Chairman Bill Barks Back Business Week. New York: June 1, 1998., Iss. 3580; pg. 40	A: We're very confident that the government won't be successful. The law on our ability to innovate on behalf of consumers is crystal-clear. Likewise, all the contracts we did are perfectly normal, legal contracts that have in no way made it impossible for Netscape [Communications Corp.] to market their products. Internet Explorer (IE) has been successful because it's the best product that's available. IE was in Windows from the very, very beginning, and that didn't get us much usage. It's when we listened to the customers and did great work that we gained market share. So, this is a lawsuit where the government had its best day when it filed the suit. Now, we get to bring out the real facts about what has taken place here.	3

Competition

Newspaper	Evidence	Par
Microsoft Injunction Comes Under Fire --- Appeals Panel Seems to Back Firm's View That Order Exceeded Court's PowerBy John R. Wilke. Wall Street Journal. (Eastern edition). New York, N.Y.: Apr 22, 1998. pg. 1	"The key issue that a court eventually will have to decide is whether the benefit to consumers that comes from Microsoft's bundling of these two products together is worth the disastrous effects on competition," said George Cary, a former Federal Trade Commission litigator now at the Washington law firm of Cleary, Gottlieb. He said that "with the current case bollixed up in procedural issues of interpreting the 1995 order, it's all the more important that the department decide quickly whether or not to bring a new case."	9
Microsoft, Signaling Concessions, Averts Suits for Now --- Windows Release Is Delayed Until Monday as Gates Talks to Antitrust ChiefBy John R. Wilke and David Bank. Wall Street Journal. (Eastern edition). New York, N.Y.: May 15, 1998. pg. 1	A settlement would preclude what was promised to be the most significant antitrust action since cases against AT&T Corp. and International Business Machines Corp. in the 1980s. It was viewed as a test of how effective the government can be in protecting competition in a fast-changing, technology-driven economy -- without unfairly punishing Microsoft, a company that has come to symbolize America's global competitiveness.	6
Business World On Microsoft, Standard Oil and TrustbustersBy Holman W. Jenkins Jr.. Wall Street Journal. (Eastern edition). New York, N.Y.: May 20, 1998. pg. 1	<p>Here is where Microsoft really resembles Standard Oil. John Rockefeller took a disorganized, inefficient and shambolic oil industry, and applied the techniques to make oil products cheap, abundant and of uniform quality. In doing so he laid the foundation for autos, plastics, pharmaceuticals, and cosmetics, all built on petroleum as a feedstock.</p> <p>But once he had picked the low-hanging fruit by uniting and modernizing the refining industry, competition began to emerge to drive the industry toward new efficiencies. By the time the Supreme Court broke up the company, Standard Oil's market share had already dropped to 70% from 90%.</p>	<p>8</p> <p>9</p>

Ability

Newspaper	Evidence	Par
Gates Invests a Byte Of Money for Cache Of Hollywood Stars --- Microsoft Sees DreamWorks As Ally Providing Access To Family-Fun ProductsBy Thomas R. King and Don Clark. Wall Street Journal. (Eastern edition). New York, N.Y.: Mar 23, 1995. pg. A.3	The "potential is just awesome," Mr. Gates said. "You've got to have the best talents in terms of making the computer get up and sing and dance. But you've got to have great entertainment talent coming together as well" to make it work. Mr. Spielberg, an admitted "game junkie," called the partnership "a dream come true."	4
Microsoft Net, Profit Margins Climb Sharply By David Bank. Wall Street Journal. (Eastern edition). New York, N.Y.: Apr 23, 1998. pg. 1	"Intellectual property businesses generate high profit margins when they're successful," Mr. Maffei said in an interview. "The way to measure them is not against Sen. Kohl's grocery-store chain."	9
The Great Giveaway; Like Warren Buffett, a new wave of philanthropists are rushing to spend their money before they dieJohn Hechinger and Daniel Golden. Wall Street Journal. (Eastern edition). New York, N.Y.: Jul 8, 2006. pg. A.1	In a 2005 survey of 91 people with assets above \$30 million by Boston College's Center on Wealth and Philanthropy, 65% said they planned to donate more of their wealth during their lifetimes than in their estates. "People realize you can't take it with you. It's a lot better to do a lot of this philanthropy while you're still alive and you have the energy," says Mr. Weill, former Citigroup Inc. chief executive and chairman, who has given away \$600 million in the past 10 to 15 years. "We can use our brainpower to make the world a better place now -- not to leave a bunch of money that will be around in 100 years. Being the biggest foundation doesn't interest us at all."	5
Boss Talk: An Imprint All His Own; Now a Solo Act at Microsoft, Ballmer Stresses Innovation, Is Bullish on Online ServicesRobert A. Guth. Wall Street Journal. (Eastern edition). New York, N.Y.: Jul 28, 2006. pg. A.9	Mr. Ballmer: There have been many companies who lost their greatness post their founders. There have been many companies who went on to greater greatness after their founders. And there's all things in between. I think our company is well-prepared for the future. We have great talent. If you take a look at it, we're a hot place to work, which means we're getting more great talent.	6
Business: Microsoft's contradictionAnonymous. The Economist. London: Jan 31, 1998.Vol.346, Iss. 8053; pg. 65, 3 pgs	Meticulous recruitment and the ability to attract some of the smartest people on the planet help make Microsoft a marvellous intellectual machine. In most companies, the strategy is devised at the top and loses coherence as it passes down each tier of management. At Microsoft, strategy starts with Mr Gates, but loses nothing as it is taken up by the people who run different parts of the business. If anything, it is burnished until it glistens, harder and more perfect than ever.	5
Chairman Bill Barks Back Business Week. New York: June 1, 1998., Iss. 3580; pg. 40	A: Microsoft has three primary businesses, and they'll be our primary businesses for the next decade. Those are Windows, Office, and BackOffice. We see huge opportunities in each of those areas. We're going to stay true to the vision and principles that we've had ever since our founding: hiring smart people, listening to our customers, investing a lot in research	15

Business Tactics

Newspaper	Evidence	Par
Business: Microsoft's contradiction Anonymous. The Economist. London: Jan 31, 1998.Vol.346, Iss. 8053; pg. 65, 3 pgs	Industry insiders, however, believe that this is merely a change in tactics, not a change of heart. The idea that Microsoft might curb its ultra-competitiveness, or the snarling aggression with which it meets any challenge to its Windows monopoly, is regarded as ridiculous by people who know Bill Gates. And, for all practical purposes, Microsoft is Bill Gates.	3

Vision

Newspaper	Evidence	Par
Business bookshelf: Windows on Microsoft Angrist, Stanley W. Wall Street Journal. (Eastern edition). New York, N.Y.: Dec 12, 1995. pg. A18	But Mr. Gates's book is about far more than poker playing. It's his vision of the future, especially how he believes people will use the "information highway." Is there any reason why we should pay attention to his views? Yes indeed. Since the mid-1970s, no one has had a clearer picture of how computing would evolve than Mr. Gates. Luckily, he sees a wondrous trip for us on the information highway -- through devices such as a wallet PC, which will function as super credit/cash card, a checkbook, and a fax and e-mail communicator, as well as a ticket dispenser for airlines and concerts. It will let you show your airplane seatmate not five pictures of your grandchildren but 5,000.	2
	Our homes, he believes, will also vibrate to the microchip. When we cross the threshold we will clip on a pin that identifies us to a master computer. It will turn the lights on ahead of us, play only the music we like around us and signal only the phone nearest us to ring. Mr. Gates is building these features into his house now under construction near Seattle.	3
	Obviously, Mr. Gates's book is more about his techno-vision than about his company. For a closer look at Microsoft, there is Fred Moody's superb "I Sing the Body Electronic" (Viking, 311 pages, \$23.95). Microsoft allowed Mr. Moody to shadow a product-development team for a year, privy to memos, e-mail and insider conversations. It was not exactly a serene process. But then, Microsoft didn't grow from a one-building campus housing 100 people in 1982 to 26 buildings with 17,000 employees world-wide -- and more than \$6 billion in sales -- by having everyone sit around contemplating his navel.	6
They're talking, we're selling Gates, Bill. Wall Street Journal. (Eastern edition). New York, N.Y.: Mar 16, 1995. pg. A22	Microsoft's founding vision of 20 years ago was to have the PC become a valuable tool on every desk and in every home. Although there is an immense amount of work to do to make this a reality, I firmly believe this will happen.	16
Even Great CEOs Can Be Terrible Witnesses By Milo Geyelin. Wall Street Journal. (Eastern edition). New York, N.Y.: Nov 9, 1998. pg. B.1	The latest to come across poorly is Microsoft Corp.'s Bill Gates. While appearing in a videotaped deposition in the government's antitrust trial in Washington last week, he was widely criticized for being evasive, ill-informed and even churlish.	1
	Defense lawyers for Microsoft at the New York firm Sullivan & Cromwell weren't available to talk about Mr. Gates's preparation. They have said that the government, which is expected to show more of the deposition as early as today, used selected portions of Mr. Gates's testimony to cast him in a negative light	4
Software: A Web Pioneer Does a Delicate Dance With Microsoft By Kara Swisher. Wall Street Journal. (Eastern edition). New York, N.Y.: Feb 12, 1998. pg. B.1	The pace did take its toll. Even though Mr. Glaser rose to become vice president of multimedia systems and one of Mr. Gates's favorites, his last years at Microsoft were rocky. Some at the company point to an internal power struggle with Microsoft's head of technology, Nathan Myhrvold. "They both wanted to be Bill's boy genius and visionary for the company," says a colleague. "Obviously, Nathan won."	11

<p>I have a dream Anonymous. The Economist. London: Nov 25, 1995.Vol.337, Iss. 7942; pg. 65, 1 pgs</p>	<p>It's the near-future that counts Close observers of Microsoft will not be surprised that Mr Gates reveals no startling new vision. Indeed, he acknowledges this. Two decades ago he embraced the idea of ubiquitous computers by asking "what if computing were nearly free?" Now he asks "what if communicating were nearly free?" The difference: "Then I was afraid others would have the same vision we did; today I know thousands do." His genius has never consisted in seeing further than anyone else, but in seeing the near-future more clearly, and understanding much better than his competitors how to exploit it. Time and again, Microsoft has recognised the potential in someone else's idea and simply done it better, always in marketing and, less often, in design.</p> <p>Now the market is changing once again, from the world of the desktop computer to the "information highway" (which Mr Gates rightly says is better described as an information marketplace). In this new world, fast-rising companies such as Netscape and Sun Microsystems really did see the future before anyone else. Typically, Microsoft quickly adjusted, redesigning many of its products and marketing them as the best route to the Internet. The question is not whether Mr Gates can strain to see even further-the evidence so far suggests not-but whether his skill at making money in the slipstream of other people's technological vision will serve him as well in the next decade as it has for the past two.</p>	<p>8</p> <p>10</p>
<p>The Bill & Warren Show Brent Schlender. Fortune. New York: Jul 20, 1998.Vol.138, Iss. 2; pg. 48, 14 pgs</p>	<p>By pursuing that with a pretty incredible focus and by being there at the very beginning of the industry, we were able to build a company that has played a very central role in what's been a pretty big revolution. Now, fortunately, the revolution is still at the beginning. It was 23 years ago when we started the company. But there's no doubt that if we take the habits we formed and stick with them, the next 23 years should give us a lot more potential and maybe even get us pretty close to our original vision-"a computer on every desk and in every home."</p>	<p>8</p>

People

Newspaper	Evidence	Par
Business bookshelf: Windows on MicrosoftAngrist, Stanley W. Wall Street Journal. (Eastern edition). New York, N.Y.: Dec 12, 1995. pg. A18	The team Mr. Moody observes is trying to develop a children's encyclopedia on CD-ROM, with graphics and other neat features. He describes Microsoft's corporate style, which consists of forming small teams to bring out a product and then leaving them alone. "It is a risky approach," he notes, "for these crews are left unsupervised to a degree unthinkable in standard American corporations."	7
	People who have a detailed interest in how a technical organization functions might want to pick up "Microsoft Secrets" (Free Press, 512 pages, \$30) by Michael Cusumano and Richard Selby. The authors identify the seven strategies by which, in their view, Microsoft really works. (Their analysis is based on a study of the company's history, current operations and internal documents going back to the 1980s, as well as on extensive interviews.) One strategy is obvious enough: Find smart people who know the technology and the business. Another has to do with how those people are managed: Organize small teams of overlapping functional specialists. As Mr. Moody shows us vividly in his own book, this one is probably the key to Microsoft's success. ¹	10
The Bill & Warren Show Brent Schlender. Fortune. New York: Jul 20, 1998.Vol.138, Iss. 2; pg. 48, 14 pgs	GATES: I agree that the key point is that you've got to enjoy what you do every day. For me, that's working with very smart people and it's working on new problems. Every time we think, "Hey, we've had a little bit of success," we're pretty careful not to dwell on it too much because the bar gets raised. We've always got customer feedback telling us that the machines are too complicated and they're not natural enough. The competition, the technological breakthroughs, and the research make the computer industry, and in particular software, the most exciting field there is, and I think I have the best job in that business.	10
	GATES: When I started Microsoft, I was so excited that I didn't think of it as being all that risky. It's true, I might have gone bankrupt, but I had a set of skills that were highly employable. And my parents were still willing to let me go back to Harvard and finish my education if I wanted to.	14
	That kind of crisis is going to come up every three or four years. You have to listen carefully to all the smart people in the company. That's why a company like ours has to attract a lot of people who think in different ways, it has to allow a lot of dissent, and then it has to recognize the right ideas and put some real energy behind them.	22
	GATES: In my case, I'd have to say my best business decisions have had to do with picking people. Deciding to go into business with Paul Allen is probably at the top of the list, and subsequently, hiring a friend-Steve Ballmer-who has been my primary business partner ever since. It's important to have someone who you totally trust, who is totally committed, who shares your vision, and yet who has a little bit different set of skills and who also acts as something of a check on you. Some of the ideas you run by him, you know he's going to say, "Hey, wait a minute, have you thought about this and that?" The benefit of sparking off somebody who's got that kind of brilliance is that it not only makes business more fun, but it really leads to a lot of success.	38
	GATES: That's a long time hence, and our top managers are always sitting down and talking about succession in general, because we want to make sure that we're giving people the opportunity to move up. We don't want to ever create a situation	

	<p>where they feel like it's clogged and they have to go off somewhere else to get big challenges. Our growth helps a lot. We're able to spawn off very, very big jobs for people. Picking that next person is something I give a lot of thought to, but it's probably five years before I have to do something very concrete about it. If there was a surprise, well, there's a contingency plan.</p> <p>GATES: You have to be careful, if you're good at something, to make sure you don't think you're good at other things that you aren't necessarily so good at. I come in every day and work with a great team of people who are trying to figure out how to make great software, listening to the feedback and doing the research. And it's very typical that because I've been very successful at that, people come in and expect that I have wisdom about topics that I don't.</p>	<p>43</p> <p>49</p>
<p>Bill Gates Reboots BRENT SCHLENDER. Fortune. New York: Jul 10, 2006.Vol.154, Iss. 1; pg. 72</p>	<p>Then, in parallel but completely separately, Warren started thinking about what should happen in the context of his will. This was after his wife, Susie, tragically died two years ago. And as he thought more about it, he thought, Hey, I don't think I'm going to wait to give my fortune away. He's always been the most generous person and said how his wealth should go back to society, and his articulation of that had a big influence on me. A few years before, Melinda and I had started making presentations about the work of our foundation, including to a group Warren hosted at the Greenbrier Resort in West Virginia, and he could see how energetic and excited we were about--Wow, if you just get the right people together and you get the right incentives, you could have an impact on millions of lives. And over the years I kept sharing with him my amazement at what needed to be done and what could be done. So as he was thinking of how to move ahead, he came to Melinda and me and suggested that our foundation could be the recipient, because he thought it would be able to scale up easier than his own family's foundations.</p>	<p>2</p>

Philanthropy

Newspaper	Evidence	Par
Wonder Land: Bill Gates's Giving Opens Windows Of Moral FlatteryDaniel Henninger. Wall Street Journal. (Eastern edition). New York, N.Y.: Jul 14, 2006. pg. A.12	The most widely quoted is Mr. Buffett's assertion on "The Charlie Rose Show" that "A market system has not worked in terms of poor people." This drew expectable slings and arrows. But he was also quoted in the Economist as saying that "in philanthropy, the most important problems are those which have already resisted both intellect and money." True. And given how many newly arriving philanthropic billions from the Gates and other foundations are about to be launched at these fortress problems, the issue of what "has not worked in terms of poor people" becomes more than a political debating point.	7
	Several days ago an article in this paper noted what might be called a subsidiary union between Mr. Gates and Bill Clinton to combat HIV/AIDS. The piece noted that Mr. Clinton represents large- government, G-8-type approaches to the hard problems. It quoted Richard Holbrooke, a former Clinton janissary and now head of the Global Business Coalition on HIV/AIDS as calling the Clinton-Gates relationship "the beginning of what you might call the first super NGO." But the article also noted that Mr. Gates tends to be averse to processing his grant money through politicians. This brings us to the sine qua non of any successful philanthropic effort -- the founder's vision. A good philanthropy, as when Andrew Carnegie ran his, does what the founder wants, not what the world says he should want.	8
	The major challenge in our time for big-problem philanthropy may be creating a project model that subverts the public-sector status quo, which, whatever its historic claims to lifting the poor, now looks paralyzed and exhausted. And the greatest danger to the new philanthropists is the old siren song of moral flattery from that same hat-in-hand status quo. As always, spending money is the easy part.	11
Warren Buffett Gives \$30 Billion to Gates Foundation; Bill Gates's New Role Promises More Questions, Faster Answers And More Access to World LeadersMarilyn Chase. Wall Street Journal. (Eastern edition). New York, N.Y.: Jun 26, 2006. pg. B.1	But earlier this month, Mr. Gates announced his intent to relinquish day-to-day management of Microsoft in 2008. Though he will remain chairman, the transition will let him shift his energies to the foundation, which has already changed the face of philanthropy by merging charity with the rigor of business management.	5
	Some predict that Mr. Gates will bring his fabled micromanagement style with him. "He's definitely not a laissez-faire kind of guy," says Esther Dyson, editor of the tech review Release 1.0. Mr. Gates is a voracious reader of science and history who questions subordinates relentlessly about their projects, she says. "If he respects you, he'll argue with you. If not, he ignores you," she says. "If he says, 'That's stupid,' it means he cares" about a project, she adds. "He's not a do-gooder. He's a learner."	6
Gates Will Cede Day-to-Day Role At MicrosoftRobert A. Guth and Don Clark. Wall Street Journal. (Eastern edition). New York, N.Y.: Jun 16, 2006. pg. B.1	James I. Cash, a Microsoft director and former James E. Robison Professor at Harvard Business School, noted that John D. Rockefeller was older than Mr. Gates when he started philanthropic work and "had a lot less time," to make an impact. "I think that history will support that Bill Gates will stand on a tier that will be shared by him and him alone," Dr. Cash said.	22

Other

Newspaper	Evidence	Par
. For Microsoft, nothing succeeds like excess Wall Street Journal. (Eastern edition). New York, N.Y.: Aug 25, 1995. pg. B1 (para 5 & 6)	Culture: Among a somewhat older generation, the Windows 95 frenzy indicates that computers are now a part of pop culture -- cool products for cool people. "All of my friends are going to use it," says Adeo Ressi, an on-line consultant who looks more like a model, clad in Calvins and smoking Marlboro Lights in the Cyber Cafe. The coffee shop in New York's au courant SoHo enclave lets customers sip cappuccino and use PCs to tap into the Internet. "But it's only marketing, it isn't knowledge," Mr. Adeo says. "I haven't seen one ad that promotes what Windows 95 really does."	6
	Microsoft's muscular marketing raises the risk of a backlash. Mr. Gates hopes to deliver on the promise first made by rival Apple for its Macintosh over a decade ago -- computers "for the rest of us." But the unsophisticated masses could turn unruly if Windows 95 has glitches or if Microsoft isn't attentive to consumer queries or complaints.	2
Why the Big Frenzy Over Windows 95 Is Like a '60 Corvette --- The New Disko Fever Is About Status Symbols in the '90s And Being a Friend of Bill. By Clare Ansberry. Wall Street Journal. (Eastern edition). New York, N.Y.: Aug 25, 1995. pg. A.1 (para 9-12)	Culture: Indeed, the hoopla in part reflects Americans' growing insecurity about information. With employers all too likely to restructure their employees out of a job, people are searching for anything to make themselves indispensable, or at least up-to-date. "We're at a time in our culture in which people are more insecure about how much they know and can use technology in their lives or professions," says Nancy Ellen Talburt, associate vice chancellor for academic affairs at the University of Arkansas and president of the International Popular Culture Association.	9
	This frenzy also marks a cultural shift. Where yesterday's status symbols revolved around play and leisure, today's revolve around work, which really is no surprise since Americans are spending more time working. With families juggling careers and kids, there is less time to drive flashy cars anyway. So why not invest in something that makes the hours spent staring at an office terminal more engaging?	10
	"Windows has become the entertaining dimension of our work," says John Lawrence, a professor of philosophy at Morningside College in Sioux City, Iowa. "It gives you a much more beautiful work space to look at than people had with a basic monochrome." "The fact that Windows 95 has captured the enthusiasm of so many shows the desire, he says, for excitement in our daily lives. "Few other things on the horizon seem as newsworthy as Windows 95."	11
Boss Talk: An Imprint All His Own; Now a Solo Act at Microsoft, Ballmer Stresses	There is a certain cachet about Windows 95, an element that goes beyond the utility. Having it indicates you belong to people in the know, and have joined, however peripherally, part of the Bill Gates Circle.	13
	Now, Mr. Ballmer must show that Microsoft's greatness transcends the man who is so closely associated with the company. And he must lead Microsoft at what is arguably the most challenging period in its history. Shareholders are grumbling about a stock price that has been flat for five years and gripe about Microsoft's practice of not distributing more of its cash hoard, even as Mr. Ballmer this	2

<p>Innovation, Is Bullish on Online ServicesRobert A. Guth. Wall Street Journal. (Eastern edition). New York, N.Y.: Jul 28, 2006. pg. A.9</p>	<p>month announced a \$20 billion share-buyback program designed to boost the stock price.</p>	
<p>Bill Gates Reboots BRENT SCHLENDER. Fortune. New York: Jul 10, 2006.Vol.154, Iss. 1; pg. 72</p>	<p><u>Leadership</u></p> <p>Jobs like mine are intense in this great way. Sometimes if too many things hit you in one week, it's like, wow, I'm glad there's the weekend. But that doesn't happen that often. I love the day-to-day activity, and I have this strong sense of responsibility, so it could be tougher to make this change than I expect. I do get to do leadership-type things--not running things per se--in my foundation work and exploring technology, with a similar thread of being optimistic about new discoveries and bringing in very sharp people and showing them how you can help their work have an impact that they may not have seen.</p> <p>In the meantime things were going really well with the foundation, which led to scaling things up. Every time we get a new drug we think, Gosh, now we want to get this out to people. Or if a model school works, we think, How could you get more of these and what general lessons are there from that? Patty Stonesifer is doing a great job as CEO there, so I'm not talking about taking over management at the foundation at all. I'm talking about having the same kind of role I've had at Microsoft since I became chief software architect six years ago.</p>	<p>8</p> <p>19</p>

Table 38: The Good to Great executive interview schedule (Collins, 2001a, p. 239-241):	
Question No.	Question
Q 1	Could you briefly give an overview of your relationship to the company- years involved and primary responsibilities held?
Q 2	What do you see as the tip five factors that contributed to or caused the upward shift in performance during the years (ten years before transition) to [ten years after transition]?
Q 3	Now let's return to each of those five factors, and id like you to allocate a total of 100 points to those factors, according to their overall importance to the transition (total across all five actors equals 100 points). Could you please elaborate on the [op two or three] factors?
Q 4	Can you give me specific examples that illustrate the factor?
Q 5	Did the company make a conscious decision to initiate a major change or transition during this timeframe?
Q 6	[If a conscious choice] to the best of your recollection, when did the company begin to make the key decisions that held to the transition (what year approximately)?
Q 7	[If a conscious decision] what sparked the decision to undertake a major transition? What was the process by which the company made key decisions and developed key strategies during the transition era – not what decision the many made, but how did I go about making them?
Q 8	What was the role of any, of outside consultants and advisors n making key decisions? On a scale of 1 to 10 what confidence did you have in the decisions at the time they were made, before your know their outcome? (Ten means you had great confidence that they were very good decisions with high probability of success. One means you had kittle confidence in the decisions; they seemed risky- a roll of the dice) [if had confidence of 6 or greater what have you such confidence in the decisions?
Q 9	How did the company get commitment and alignment with its decisions?
Q 10	Can you site a specific example of how this took place?
Q 11	What did you try during the transition that didn't work? How did the company make the shot tern pressures of Wall Street while making long term changes and investment for the future?
Q 12	Many companies undertake change programs and initiatives, yet their effects do not produce lasting results. On of the remarkable aspects of [good to great company's] transition is that its has endures-it was not just a short term upswing. We find it extraordinary. What makes [good to great company] different?
Q 13	What were the primary factors in the endurance of the transition far beyond the first few years?

Table 38: Good to Great executive interview questions (continued)

Q 14	We will be comparing [good to great company] to [comparison company] which was in your industry at the time of your transition but – unlike [good to great company] – did not show a significant as lasting shift in performance. What was different about [good to eat company] that enabled I to make his transition?
Q 15	Other companies would have done what you did, but didn't; what did you have that they didn't? Can you think of one particular powerful example of vignette of the shift from good to great at [good to great company?]
Q 16	Who else would you strongly recommend that we interview?
Q 17	Inside management during and after transition. External board of members or other key outside people.
Q 18	Are there any other questions we didn't ask but should have?