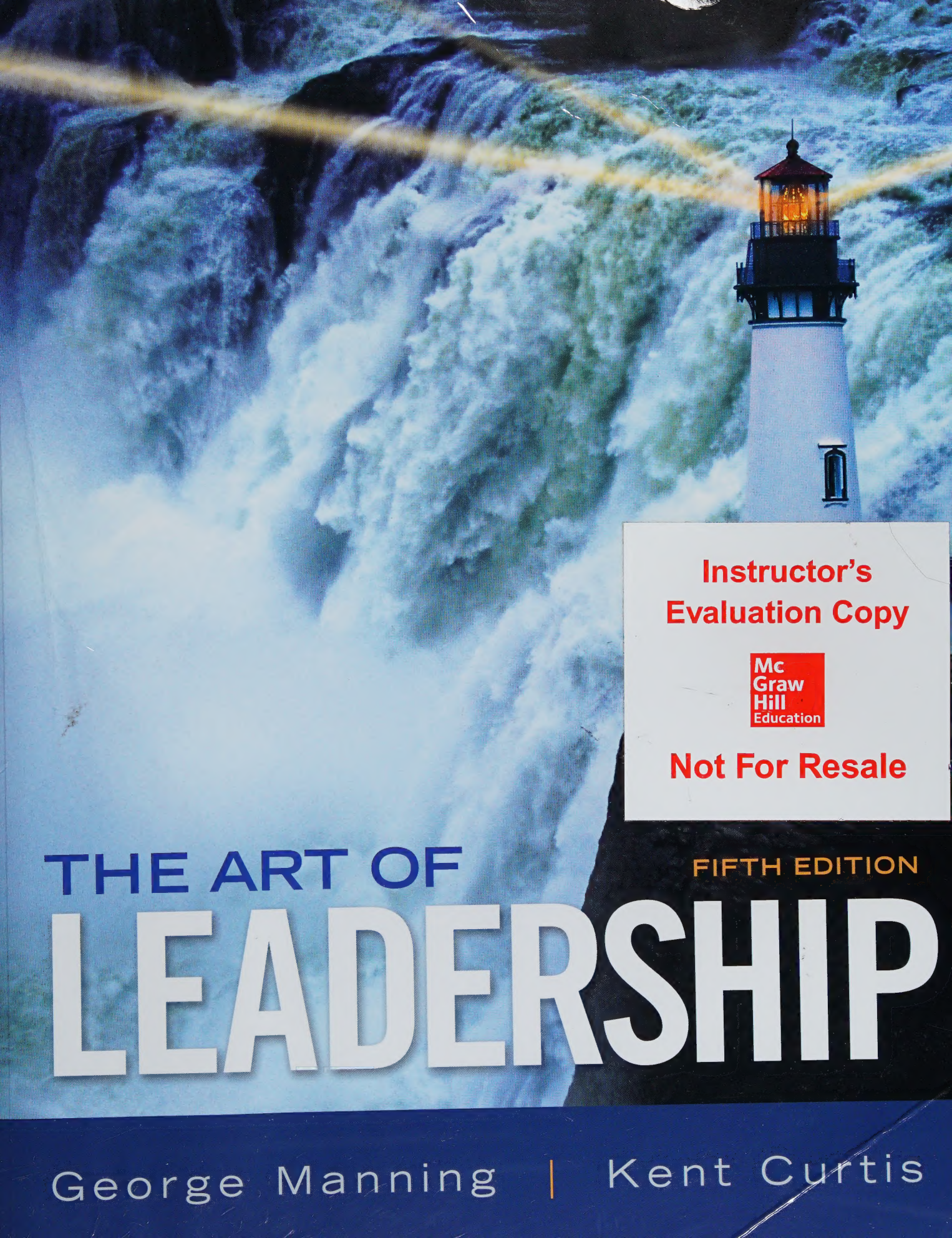


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**THE ART OF**  
**LEADERSHIP**

**FIFTH EDITION**

**George Manning | Kent Curtis**

# The Art of Leadership

*Fifth Edition*

**GEORGE MANNING**

*Northern Kentucky University*

**KENT CURTIS**

*Northern Kentucky University*



## Dedication

Dedicated with love to our families:

Nancy and Page, Larry, and Heather

Mary and Lisa, Denise, and Craig

THE ART OF LEADERSHIP, FIFTH EDITION

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# Preface

Welcome to today's world of leadership where personal values and interpersonal skills are as important as formal position and command and control structure. The word *leader* first appeared in the English language in the 1300s, coming from the root word *leden* meaning "to travel" or "show the way." The term *leadership* followed some five centuries later. Today the study of leadership is multidisciplinary with contributions from history, philosophy, psychology, political science, business, and education.

The fifth edition of *The Art of Leadership* combines behavior theory with business practice to teach central concepts and skills in leadership. The book is made more valuable and the impact greater by the self-evaluation questionnaires and practical exercises that are used for personal development and class involvement. *The Art of Leadership*, fifth edition, is more than a textbook; it is a "learning" book that actively involves the reader in the learning process.

The fifth edition teaches leadership in a way that is appropriate for both new and experienced leaders, as well as for the everyday person who must influence others to get things done. Our goal is for you to use this book to develop your full potential as a leader, to *become the kind of leader you always wanted to have*, and to help you become a good, and perhaps even a great leader.

Many principles of leadership are timeless. Examples from Socrates to Gandhi are used in the book. In addition, the fifth edition of *The Art of Leadership* adds theoretical foundation, new information, and learning exercises to personalize the subject. The book covers the topics most management and leadership instructors expect and students need to know about. These include leadership trait and behavior theories, charismatic and transformational leadership, leadership ethics and values, human relations and the empowerment of people, the team concept and group dynamics, leader as coach and developer of people, cultural diversity and the global economy, stress in the workplace and adaptive capacity, and performance management and organizational success.

We have revised each part of the book based on comments provided by students and colleagues who used the first four editions and on formal reviews submitted by a cross-section of instructors from community colleges, four-year schools, and universities with graduate programs in leadership. We have attempted to tighten up the writing, expand on real-world examples, and broaden coverage to areas that have emerged more recently on the leadership scene. Using an evidence-based management approach, the book is thoroughly referenced with classic and current citations. The number of references has increased from 840 to 1,050 in the fifth edition.

We have retained the most popular features from previous editions and have added new material in the following areas:

- Part 1: analysis of the dark side of leadership; destructive patterns of leadership behavior; and multiple intelligences
- Part 2: transformational leadership; achieving vision, alignment, prioritization, and execution for organizational success; the importance of culture; and creating a psychologically healthy workplace
- Part 3: moral dilemmas; value orientations; and levels of morality in leadership ethics
- Part 4: servant leadership; the power of persuasion in the leadership process, including psychological size and two-way communication

- **Part 5:** virtual world communication; leading teams; tools for team building and problem-solving; handling conflict; and employee retention
- **Part 6:** global and cross-cultural leadership; women in leadership; and valuing diversity as a strength
- **Part 7:** the psychology of leadership, including the role of personality, employee motivation, and dealing with difficult people
- **Part 8:** the self-fulfilling prophecy and the leader as coach and mentor; leading change, including adaptive capacity, work-life balance, and the importance of attitude
- **Part 9:** high performance leadership practices; managing for results; and the wisdom of Peter Drucker for contemporary leaders, including responsibilities of a leader, addressing deficiencies, and coaching for success

Video cases with questions for discussion are included to enhance each part of the text. Web sites are identified for additional information.

---

## Central Ideas of This Book

This book is based on two ideas. The first is that leadership will take place to the extent the leader cares about the work to be done. Equally important, the leader must care about people. Neither of these qualities is sufficient without the other, and neither can be false. People know when the leader cares. When the leader is committed to the task and is concerned about people, these qualities serve as magnets and motivators to followers, and their potential for achievement becomes enormous.

The second premise of the book is that leadership is an art that can be developed through mastery of nine key areas of success. The successful leader must possess knowledge and skills in the following areas: understanding leadership variables, the power of vision, the importance of ethics, the empowerment of people, leadership principles, understanding people, multiplying effectiveness, developing others, and performance management.

---

## Who Should Read This Book?

The fifth edition of *The Art of Leadership* is written for students in leadership development and other management-related courses, such as leadership principles, contemporary leadership, and managerial skills. It is appropriate for leadership courses in business, education, psychology, communication, health care, criminal justice, military, and public administration.

*The Art of Leadership*, fifth edition, is appropriate for use at the university level as well as in corporate university programs. It is ideally suited for undergraduate degree-completion students and organization-based education, where there is an emphasis on developing leadership competency. *The Art of Leadership*, fifth edition, is popular with students and instructors in both classroom and online courses. No prior coursework in business or management is required.

The level of material is appropriate for both emerging and experienced leaders. Emerging leaders can use this book to prepare themselves to meet the demands of being a leader. Having a vision of what should be done, effectively using authority, motivating people to perform at their best, and solving tough personnel problems—discussed in Parts 2, 4, 6, and 9—are challenges all leaders must face.

Experienced leaders can use this book to address workplace issues, taking leadership skills to new levels of effectiveness. Matching leadership style with the needs of

followers, leading by values and ethical principles, raising employee morale, delegating work effectively, and helping people through change—discussed in Parts 1, 3, 5, 7, and 8—are important areas for leaders to address.

*The Art of Leadership*, fifth edition, is scholarly, stimulating, and useful for anyone who seeks to better understand the dynamics of leadership, and to improve his or her own leadership effectiveness. By understanding leadership and its challenges, appreciating the importance of caring leadership, and developing the skills required for effective leadership, readers will (1) be more effective at work, (2) gain knowledge and skills, and (3) have the ability to lead others when the opportunity occurs.

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## Approach and Style of the Book

The difference between most other leadership texts and *The Art of Leadership*, fifth edition, can be compared to the difference between a lecture and a seminar. Although both are good educational vehicles, the lecture is better for conveying large amounts of information, while the seminar is better for developing skills and attitudes. A good lecture is interesting and builds knowledge, while a good seminar is stimulating and builds competency. Without sacrificing either theoretical foundation or important content, the fifth edition of *The Art of Leadership* emphasizes the interactive, seminar approach to learning.

Reviewers of the book identify its major strengths to be clarity of writing and user-friendly exercises. The writing style is personal and conversational, with minimal professional jargon. True-life examples clarify points under consideration. Concepts are supported by facts and figures, as well as by stories and anecdotes that are meaningful and easy to remember. Each part includes cases and learning activities to bridge the gap between theory and on-the-job practice. Useful suggestions are provided, including the leader's use of power, managing conflict, leading teams, and professional resilience. Our goal has been to include material that is interesting to read, practical to use, and personalized to the reader's own concerns.

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## Supplemental Information and Instructional Aids

The suggestions of users and reviewers of the previous four editions have been incorporated in the fifth edition of *The Art of Leadership*. We have added timely references, new illustrations, and new learning activities. Instructional aids significantly enhance *The Art of Leadership*, fifth edition. The **Online Learning Center (OLC)** at [www.mhhe.com/manning5e](http://www.mhhe.com/manning5e) includes password-protected instructor and student supplements. The instructor's center includes a revised and robust Instructor's Guide that contains learning objectives, discussion questions, PowerPoint presentations, notes and anecdotes, suggested films and videos (annotated), extensive bibliography, suggested articles, interactive cases, applications and exercises, and suggested Web sites. All chapters have updated testbank questions, answer keys, and PowerPoint slides.

Student content includes learning objectives and premium content. **Premium Content** (printed card ISBN 0077424646 or for eCommerce purchase from the OLC) includes Test Your Knowledge, Self-Assessments, and Manager's Hot Seat exercises. Manager's Hot Seat is an interactive, video-based software that puts students in the manager's hot seat where they have to apply their knowledge to make decisions on hot issues such as ethics, diversity, working in teams, and the virtual workplace.

The **Organizational Behavior Video DVD Vol. 1** (ISBN 0073337285) contains a collection of videos featuring interesting issues, companies, and people related to organizational behavior and leadership.

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## How to Use This Book

The fifth edition of *The Art of Leadership* integrates current knowledge, skill development, and personal insight about leadership. It can be used as a textbook for teaching others, a workbook for personal development, and a desk book for ready reference in the area of leadership. The material is arranged in a logical sequence for learning. The best approach is to *interact* with the material. Read the narrative, complete the questionnaires, examine the interpretations, and review the principles and techniques. Then ask: How does this apply to me? How can I use this concept or information to improve my leadership effectiveness? Then *take action*.

To increase interest and improve overall learning, try the following:

1. Use the Learning Objectives and Reflection Points included in each part of the book to focus your reading, improve comprehension, and increase retention of the material.
2. Share questionnaires and exercises with family, friends, and co-workers, especially those who are interested in leadership development. In this way, you can make tangible use of what you learn and may even help others.
3. Think of the best leader you have ever had. What qualities did this individual possess? In what ways did he or she demonstrate the art of leadership? Use the material in this book to develop your own leadership effectiveness.
4. Write in the book. Follow the advice of Yale professor William Phelps: "Books are for use, not for show; you should own no book that you are afraid to mark up." You may want to use two markers to highlight information—one for personal development and one to help others. Use the margins, underline, write your own ideas. Personalize the material.
5. Visit the text's online Web site for more information: [www.mhhe.com/manning5e](http://www.mhhe.com/manning5e).

Good luck in your learning!

We want your suggestions. If you have questions or see a way to improve this book, please write. Thank you.

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and up to date. From time to time, such information may shift. We welcome any corrections or changes.

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# The Art of Leadership

**art** (ärt), noun. 1. Skill acquired by experience or study. 2. a system of rules to facilitate performance; the use of skill and imagination in applying such rules (the art of building, the art of persuasion). 3. endeavor requiring special knowledge and ability (fine arts, practical arts). 4. the product or result of artistic faculty (body of work).

**leadership** (lēd-er-ship), noun. 1. Showing the way or direction; the course of action. 2. influencing or causing to follow by words and deeds. 3. guiding the behavior of others through ideas, strength, or heroic feats. 4. the position or function of one who leads (the king led his people). 5. the ability to lead (she displayed leadership skill).



# The Importance of Leadership: Setting the Stage

ALL OVER THE WORLD in corporations and government agencies, there are millions of executives who imagine their place on the organization chart has given them a body of followers. And of course it hasn't. It has given them subordinates. Whether the subordinates become followers depends on whether the executives act like leaders.

—John Gardner

## Learning Objectives

After studying Chapter One, you will be able to:

- Define *leadership* and discuss its importance.
- Know where leaders learn to lead and what people want in a leader.
- Identify the satisfactions and frustrations of leadership.
- Describe the elements of caring leadership.

**L**eadership is a concept that is both current and timeless. In one form or another, the leadership process has been central to human interaction since the dawn of society. Excellence in leadership requires the ability to attract capable people, motivate them to put forth their best efforts, and solve problems that arise. These are difficult tasks, which help explain why effective leadership is rare and why we respect those who excel.

To personalize the subject, consider these questions: Have you ever been the victim of a poor leader? How do you feel about the good leaders you have known? If you have experienced both types of leaders, you know firsthand the importance of good leadership. No other factor is more important for work morale and job performance.

There are millions of people who know what it is like to work for a leader who

- Takes all the credit for work done by others.
- Is selfish and rude.

- Makes mistakes and blames others.
- Is tyrannical and cruel.
- Cares only about self-preservation.
- Is threatened by competence.
- Is dishonest and unfair.

All these examples are real, all these factors diminish people's lives at work, and none is necessary. The sad fact is, the percentage of leaders people would be willing to work for again is less than 40 percent. This means that most people would not want to work for the majority of leaders they have had.<sup>1</sup>

We are convinced that the weakest link in business, industry, and government today is leadership. It is not technology; it is not tools or equipment; it is not facilities; it is not the skills of employees; it is not systems and procedures. It is leadership. Leadership failure rates range from 40 percent to 60 percent, costing organizations millions of dollars each year.<sup>2</sup>

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## What Is Leadership?

Leadership is social influence. It means leaving a mark. It is initiating and guiding, and the result is change. The product is a new character or direction that otherwise would never be. By their **ideas** and **deeds**, leaders show the way and influence the behavior of others.<sup>3</sup>

To understand the importance of ideas, consider the legend of King Arthur, who led the Knights of the Round Table with his vision of chivalry:

My teacher Merlyn, who always remembered things that haven't happened better than things that have, told me once that a few hundred years from now it will be discovered that the world is round—round like the table at which we sat with such high hope and noble purpose. If you do what I ask, perhaps people will remember how we of Camelot went questing for right and honor and justice. Perhaps one day men will sit around this world as we did once at our table, and go questing once more . . . for right . . . honor . . . and justice.<sup>4</sup>

To understand the importance of deeds, consider the storyteller Homer's account of Achilles, who led Greek warriors by his heroic feats:

So saying, he plunged once more into the fight and man after man fell before his sword and before his spear. He raged among the Trojans like a whirlwind that drives the flames this way and that when there is a forest fire along the dry slopes of the mountains.<sup>5</sup>

History holds countless examples of ideas and acts that have determined human destiny. Consider the events put in motion and the impact on the world when 56 leaders signed the Declaration of Independence, a Unanimous Declaration of the Thirteen United States of America, in Congress July 4, 1776.<sup>6</sup>

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## The Importance of Leadership

Upon every wave of political history has been a Caesar, an Elizabeth, a Napoleon, or a Saladin. In every lull, leadership has been absent. Consider the period of approximately AD 800 to 1000:

Europe lapsed into utter decentralization, and lost for centuries the administrative unity that the reign of Charlemagne promised. A heavy blow was dealt at the slowly developing culture that the eighth century produced. It was not without justice that the ninth and tenth centuries have been called "the Dark Ages." The internal history of continental Europe became a dismal record of tiresome local feuds and private wars.<sup>7</sup>

Leadership is important not only in government, but in other areas of life as well. Social conscience and conduct have been influenced by reformers such as Martin Luther King and Susan B. Anthony:

Susan B. Anthony was a passionate advocate, who saw “the vote” as the symbol of women’s emancipation and independence as well as the indispensable condition of a true government. . . . Although still voteless, she declared, “The world has never witnessed a greater revolution than in the status of women during the past half century.”<sup>8</sup>

The fates of nations have been determined by military figures such as Alexander the Great and Joan of Arc:

Alexander the Great opened a new era in the history of the world and, by his life’s work, determined its development for many centuries. The permanent result of his life was the development of Greek civilization into a civilization that was worldwide.<sup>9</sup>

Civilization has been shaped by philosophers such as John Stuart Mill and Adam Smith:

John Stuart Mill was one of England’s greatest philosophers, hardly surpassed by thinkers of the highest order. Mill taught that a popular representative government (democracy) inevitably makes for progress.<sup>10</sup>

The initiative of leaders has a formative place in history. At times their eloquence, like Churchill’s, may be worth a thousand regiments; their skill, like Napoleon’s, may win battles and establish states. If they are teachers or prophets, like Muhammad, wise in insight, their words may inspire good deeds.

## Three Types of Leaders

There are many ways to lead, and indeed, we are influenced by some people even centuries after they are gone. Some leaders are **teachers**, who are rule breakers and value creators; some are **heroes**, responsible for great causes and noble works; and some are **rulers**, motivated principally to dominate others and exercise power. Consider how the ideas and deeds of the teachers, heroes, and rulers in Table 1–1 have influenced the world.<sup>11</sup>

Table 1–1  
Types of Leaders in History

| Teacher   | Hero         | Ruler         |
|-----------|--------------|---------------|
| Aquinas   | Beethoven    | Akbar         |
| Aristotle | Columbus     | Alexander     |
| Augustine | Curie        | Charlemagne   |
| Buddha    | da Vinci     | Elizabeth I   |
| Confucius | Darwin       | Frederick II  |
| Gandhi    | Edison       | Genghis Khan  |
| Jesus     | Einstein     | Hitler        |
| Lao-tzu   | Ford         | Isabella I    |
| Luther    | Galileo      | Julius Caesar |
| Marx      | Gutenberg    | Louis XIV     |
| Moses     | Hippocrates  | Mao Tse-tung  |
| Muhammad  | Michelangelo | Napoleon      |
| Paul      | Newton       | Ramses II     |
| Plato     | Pasteur      | Saladin       |
| Rumi      | Shakespeare  | Washington    |
| Socrates  | Watt         | Yoritomo      |

## How Many Leaders Are There?

Are we led by a few, or are there many who lead? Words such as *emperor*, *king*, and *chief* differentiated leaders from others in earlier times. There were few powerful positions, books were rare, and mass education was unknown. Today information is everywhere, ideas are free, and self-expression is encouraged. It is a different world, as evidenced by the 66th edition of *Who's Who in America, 2012*, which contains entries for more than 96,000 people. Each of these individuals, by ideas or deeds, has influenced the lives of others; each has been a teacher, hero, or ruler.

There is a changing perception of who can be a leader today. The response is heard over and over: Everyone can be a leader. Leadership is shifting from an autocratic, hierarchical model toward an empowering, participatory model. The new definition recognizes the potential and unique contributions of everyone. As former secretary of labor Robert Reich says, "Everyone has a leader inside." No longer is leadership viewed as a combination of charisma and expertise possessed by only a few people at the top of an organizational pyramid. Today it is viewed as the challenge and responsibility of every individual with potential to make a difference.<sup>12</sup>

Consider the example of Rosa Parks, whose courage helped determine the course of civil rights in American society:

It was December 1, 1955, when a white passenger aboard a Montgomery, Alabama, bus asked Rosa Parks to yield her seat. Her refusal to move to the back of the bus ended in her arrest, but began the nonviolent protest movement for civil rights in the United States. A year-long boycott of the Montgomery bus system, led by Martin Luther King, forced the issue of the South's Jim Crow laws to the forefront of America's consciousness. The Supreme Court's 1956 decision to declare segregation laws unconstitutional signaled a victory for Parks, of whom King said "she had been tracked down by the Zeitgeist—the spirit of time."<sup>13</sup>

In meaningful ways, leadership is provided by the multitude of people who influence their families, friends, work groups, and organizations. Responding to situations in work and life that require leadership, "episodic" leaders include parents, supervisors, officers, and other leadership figures. Think of your own experiences. Have you not at some time provided leadership to others, either by your ideas or by the example you set?

## How Qualities of the Individual and Environmental Factors Influence the Leadership Process

The leadership scholar James MacGregor Burns once called leadership one of the most observed and least understood phenomena on earth. Questions frequently asked are, Which is more important—the individual or the environment? Are leaders born or made? In his book *Leadership*, Burns concludes that leadership is fired in the forge of both personal ambition and social opportunity.<sup>14</sup>

### Qualities of the Individual

Historically, leadership has been attributed to the individual. This view is sometimes called the "great man theory." Reflecting this view, the Scottish philosopher and historian Thomas Carlyle believed that among the undistinguished masses are people of light and learning, individuals superior in power, courage, and understanding. Carlyle saw the history of the human race as the biographies of these leaders, its great men and women: "Their moral character may be something less than perfect; their courage may not be the essential ingredient; yet they are superior. They are followed, admired, and obeyed to the point of worship."<sup>15</sup>

Ralph M. Stogdill, one of the most distinguished scholars on leadership, has found certain traits of the individual that correlate positively with leadership:

The leader is characterized by: a strong drive for responsibility and task completion; vigor and persistence in pursuit of goals; venturesomeness and originality in problem-solving; drive to exercise initiative in social situations; self-confidence and sense of personal identity; willingness to accept consequences of decision and action; readiness to absorb interpersonal stress; willingness to tolerate frustration and delay; ability to influence other persons' behavior; and capacity to structure social interaction systems to the purpose at hand.

It can be concluded that the cluster of characteristics listed above differentiate leaders from followers, effective from ineffective leaders, and higher echelon from lower echelon leaders. In other words, different strata of leaders and followers can be described in terms of the extent to which they exhibit these characteristics. These characteristics considered individually hold little diagnostic or predictive significance. In combination, it would appear that they interact to generate personality dynamics advantageous to the person seeking the responsibilities of leadership.<sup>16</sup>

## Environmental Factors

More recently, leadership has been viewed as an acquired competency, the product of many forces, not the least of which are environment and circumstance. In this sense, leadership is seen as a social phenomenon, not an individual trait. This school of thought helps explain why leaders who are successful in one situation (for example, building a bridge) may not be successful in another (such as directing a play or a research team).<sup>17</sup> The same individual may exert leadership in one time and place and not in another. Stogdill explains:

It should be noted that to a large extent our conceptions of characteristics of leadership are culturally determined. The ancient Egyptians attributed three qualities of divinity to their king. They said of him, "Authoritative utterance is in thy mouth, perception is in thy heart, and thy tongue is the shrine of justice." This statement would suggest that the Egyptians were demanding of their leader the qualities of authority, discrimination, and just behavior.

An analysis of Greek concepts of leadership, as exemplified by different leaders in Homer's *Iliad*, showed four aspects were valued: (1) justice and judgment—Agamemnon; (2) wisdom and counsel—Nestor; (3) shrewdness and cunning—Odysseus; and (4) valor and action—Achilles. All of these qualities were admired by the Greeks. Shrewdness and cunning are not as highly regarded in our contemporary society as they once were (although justice, judgment, wisdom, valor, and action remain in high esteem).<sup>18</sup>

The patterns of behavior regarded as acceptable in leaders differ from time to time and from one culture to another; thus, the establishment of educational institutions and curricula to impart and reinforce knowledge, skills, and attitudes deemed to be important by a society or group.<sup>19</sup>

Probably the most convincing support for leadership as a social phenomenon is the fact that throughout history, male leaders have outnumbered female leaders to a significant degree. Even the definition of the word *leader* is a social phenomenon. Consider the case of "President" Edith Wilson, leader in all but name during the incapacitating illness of her husband, President Woodrow Wilson. It is Woodrow, however, whom history credits as leader, as president, even during the period of his inability to govern. Public recognition of Mrs. Wilson's influence would not have been in line with the norms of the times.

## Interaction between the Individual and the Environment

A student showed his father his report card containing 5 F's. He said, "Dad, it's either heredity or environment. What do you think?" Evidence shows that both the **qualities of the individual and environmental factors** are important elements in the leadership equation. Leadership results from the inextricable interaction between the two. Findings from sociobiological studies of other animal species support this view. For example, biologist Richard Borowsky has discovered spontaneous growth among male fish. Young males remain small and sexually underdeveloped until the adult population in the group is reduced. Then, size and sexual maturation accelerate dramatically. Clearly, biological and sociological systems are closely related.<sup>20</sup>

Similar signs of sudden maturation are found in human beings. Leaders may emerge spontaneously in social crises after filling essentially anonymous roles for years. Consider the transformation of Poland's Lech Walesa from shipyard worker to national labor leader during the 1980s. Some people seem to have innate abilities that unfold under certain conditions—external circumstances and internal qualities interact to create a sudden and dramatic spurt of performance. Before becoming president, the biggest staff Abraham Lincoln managed was a law office of one junior partner and several clerks. Lincoln grew in office as if destiny required him, as he put it, to “rise to the occasion.”<sup>21</sup>

## Where Leaders Learn to Lead and What People Want in a Leader

In the most extensive study ever done on leadership, the U.S. Chamber of Commerce sought to answer two questions: (1) Where do leaders learn to lead? and (2) What do people want in a leader?<sup>22</sup>

The number one place people say they learn to lead is from **experience**. They are thrown in the water and expected to sink or swim. Common Cause founder John W. Gardner identifies his arduous experience as a Marine during World War II as the “learning crucible” in which his own leadership abilities emerged.<sup>23</sup> Ask yourself how much of your leadership approach and skill you have learned from experience.

The second most-cited place people learn to lead is from **examples** or models. They watch Bill or Jill lead and it seems to work out, so they do the same. They watch Sarah or Sam lead and it doesn't work out, so they resolve never to use those methods or techniques. Who have been your models or examples in the practice of leadership?

The third most-cited place people say they learn to lead is from **books and school**. Formal education, learning seminars, and professional reading can provide valuable information and insight. What book, theory, or class has helped in the development of your leadership skills?

Even more interesting, especially for leaders, is to know what people want in a leader. Desired qualities change across culture and time, but what people say they want most in American society is **integrity**. When people are asked to define *integrity*, the word they mention most frequently is *honesty*. The leader with integrity always tells the truth as he or she believes it to be. Think about the best leader you have ever had; she or he probably had integrity. First and foremost, people want a leader they can trust. Ask yourself whether you have a reputation for integrity.

The second most-cited quality people want in a leader is **job knowledge**. This quality ranges from knowing what direction to take (abstract visioning) to knowing how to solve problems (practical ability). Again, think about the best leader you have ever had; it is likely that this person had a purpose, a plan, and the skill to succeed. Moreover, truly great leaders keep job knowledge current. They know what it takes to be effective in the leadership position—they are good but not complacent, and they continually strive to improve. How do you currently rate on the job knowledge scale?

The third most-cited quality people want in a leader can be summarized as **people-building skills**. This quality includes the ability to assemble and develop a winning team, and it involves a variety of important skills: performance planning, performance coaching, and correcting poor performance; effective delegation; effective discipline; and the ability to motivate. People want an empowering leader who will be a mentor and developer of others. Do you have the interest, ability, and patience required to motivate and develop others?<sup>24</sup> (See Exercise 1–1.)

## Exercise 1-1 Personalizing Leadership

1. Where have you learned your leadership skills? Describe each pertinent learning area.

■ Personal experience \_\_\_\_\_

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■ Examples or models \_\_\_\_\_

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■ Books, school, and online learning \_\_\_\_\_

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2. Do you possess the qualities people want in a leader? Support your response.

■ Integrity (honesty)—resulting in trust \_\_\_\_\_

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■ Job knowledge—resulting in confidence \_\_\_\_\_

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■ People-building skills—resulting in motivation and teamwork \_\_\_\_\_

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## Satisfactions and Frustrations of Leaders

Approximately 1 out of every 10 people in the American workplace is classified as a supervisor, administrator, or manager.<sup>25</sup> Management author Andrew DuBrin identifies seven satisfactions and seven frustrations that individuals in leadership roles typically experience. If you are a leader, make note of the ones that relate to you.

### Satisfactions of Leaders

1. *A feeling of power and prestige.* Being a leader typically grants one power and a sense of importance.
2. *A chance to help others.* A leader works directly with people, often teaching them job skills, serving as a mentor and an advisor.
3. *High income.* Leaders, in general, receive higher pay than nonleaders, and executive leaders typically earn substantial incomes.
4. *Respect and status.* A leader is typically respected by group members and enjoys a higher status than people who are not occupying leadership roles.
5. *Opportunities for advancement.* Once one becomes a leader, advancement opportunities usually increase.
6. *A feeling of being in a position of knowledge.* A leader typically receives more information than do nonleaders.
7. *An opportunity to control money and other resources.* A leader is typically in the position of determining budgets and authorizing expenses.

### Frustrations of Leaders

1. *Too much uncompensated work time.* People in leadership positions typically work longer hours than nonleaders. During periods of high demand, working hours can surge to 80 hours per week and more.
2. *Too many problems.* A leader is subject to the universe of problems involving people and things. The leader is expected to address problems and get them solved.
3. *Not enough authority to carry out responsibility.* People in leadership positions may be held responsible for outcomes over which they have little control.
4. *Loneliness.* The higher one rises as a leader, the more lonely it can be. Leadership limits the number of people in whom one can confide.
5. *Too many problems involving people.* A frustration facing a leader is the number of people problems requiring action. The more employees one has, the more problems one is likely to face.
6. *Organizational politics.* The leader must engage in political byplay from three directions: below, sideways, and above. Although tactics such as forming alliances and coalitions are a necessary part of a leader's role, it can be particularly frustrating if people purposefully work against each other within an organization.
7. *The pursuit of conflicting goals.* A major challenge facing leaders is navigating among conflicting goals. The central issue of such dilemmas is attempting to grant others the authority to act independently, yet still get them aligned and pulling together for a common purpose.<sup>26</sup>

At this time, do the satisfactions of leadership outweigh the frustrations you may have, or is the opposite the case? Consider the pros and cons of your leadership position.

## Caring Leadership

Whether one leads by word or deed; whether a leader is teacher, hero, or ruler; whether leadership is inborn or formed; no matter where one learns to lead; no matter the arena where leadership occurs; no matter the level of satisfaction or frustration a leader may feel; there is an essential ingredient necessary for success. The leader must *care*. Only when the leader cares will others care. Only when the leader cares will there be focus and energy for the work to be done.

There are two aspects of caring leadership: First is **commitment to a task**; second, and equally important, is **concern for people**. Theodore Roosevelt captures the spirit of the caring leader with a task to achieve:

The credit goes to the man  
who is actually in the arena,  
whose face is marred with  
sweat and dust and blood;  
who strives valiantly;  
who errs and comes short again and  
again; who knows the great  
enthusiasms, the great devotions,  
and spends himself in a worthy  
cause; who at the best knows  
the triumph of high achievement;  
and who, if he fails,  
at least fails while daring greatly.  
Far better it is to dare mighty things,  
to win glorious triumphs,  
even though checkered by failure,  
than to take rank with those cold and timid souls  
who live in the gray twilight that knows not  
victory nor defeat.<sup>27</sup>

With fervor and eloquence, Roosevelt blasts a life of ease and advocates a strenuous life of engagement and meaning. For the caring leader, this means personal commitment to accomplish a goal. The goal may be a one-time endeavor or a life's work. The goal may be a tangible product, such as the creation of a business, or it may be an idea or a cause, such as stamping out tyranny. In any case, the leader's commitment becomes contagious, igniting the emotions of all who are present.

Caring leadership also means caring about people. The caring leader is unselfish, ready and eager to hear the other person's story. The caring leader will dedicate her- or himself in service to others. Concern for others results in loyalty to the leader and dedication to the leader's goals.<sup>28</sup> Jan Carlzon, former chairman and CEO of Scandinavian Airlines, explains the importance of caring leadership in the work setting: "In my experience, I have learned there are two great motivators in life. One is fear. The other is love. You can manage people by fear, but if you do, it will diminish both them and you. The path to success begins in the heart."<sup>29</sup>

James Autry, former CEO of the Meredith Corporation, reminds us that caring leadership must come from the heart, from within, not from policy books. Sharing the wisdom of years of experience in his wonderful volume *Love and Profit*, Autry states, "If you don't truly care about people, you should get out of leadership; it will save a lot of people a lot of trouble and maybe even a heart attack." He captures the spirit of the caring leader in a poem entitled "Threads."<sup>30</sup>

## Threads

Sometimes you just connect, like that,  
no big thing maybe, but something beyond  
the usual business stuff. It comes and goes  
quickly so you have to pay attention,  
a change in the eyes when you ask about  
the family,  
a pain flickering behind the statistics about  
a boy and a girl in school, or about seeing them  
every other Sunday.  
An older guy talks about his bride,  
a little affection after 25 years.  
The hot-eyed achiever laughs before you want  
him to.  
Someone tells you about his wife's job  
or why she quit working to stay home.  
An old joker needs another laugh on the way  
to retirement.  
A woman says she spends a lot of her salary on  
an au pair and a good one is hard to find but  
worth it because there is nothing more important  
than the baby.  
Listen. In every office you hear the threads of  
love and joy and fear and guilt, the cries for  
celebration and reassurance, and somehow you  
know that connecting those threads is what you  
are supposed to do  
and business takes care of itself.

Both commitment to a goal and concern for others must be present for caring leadership to occur. Without commitment there is no passion, and without concern there is no loyalty. Caring leadership cannot be legislated, and it cannot be an act. It is either present or not. When the leader cares, others become focused and energized. It is at this point that direction and momentum develop and great achievements are made.

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## Leadership in the Work Setting

Leadership is an important and difficult task, and it is the cornerstone of organizational success. Management author John Kotter describes the need for effective leadership at work, saying that too many organizations are overmanaged and underled. Too much emphasis on order and control, and not enough emphasis on motivation and creativity can reduce vitality and lead to failure. What is needed is development of leadership capacity at all levels of responsibility. With good selection, training, and encouragement, many more people can play valuable leadership roles.<sup>31</sup>

The question is often asked, What is the difference between leadership and management? These are terms that are often used interchangeably. Management involves four functions or processes first identified by Henri Fayol in 1916: planning, organizing, directing, and controlling, all of which are essential for organizational success. The term *leadership* is popularly used to describe what takes place in the first three of these functions—**establishing a direction** (planning), **aligning people and resources** (organizing), and **energizing people to accomplish results** (directing). These processes require insight, decisiveness, courage, strength, resolve, diplomacy, and other important leadership qualities to be successful.<sup>32</sup>

Another way to describe the difference between management and leadership is to say that management denotes formal authority and accountability is delegated, while leadership is the ability to influence the activity or behavior of people. The primary purpose of management is to provide order and consistency, a bottom-line focus; the primary function of leadership is to produce change and movement, a top-line focus.

Successful organizations have excellent management to ensure execution and great leadership to provide vision and strategy. If an organization has strong management without leadership, the result can be reliable accomplishment of the wrong things. If an organization has strong leadership without management, the result can be inconsistent performance.<sup>33</sup>

The political theorist Karl Marx observed that the manner in which a society does its work shapes most of the other things the society believes and does. This belief only adds to the importance of leadership in the work setting. Principles and practices on the job are repeated and have impact in the home and larger community.

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## Nine Key Areas of Leadership

The successful leader must master the art of leadership, with nine key areas for success. If people cannot decide which course of action to take or if they are not making satisfactory progress along a chosen path, breakdown occurs. Breakdown can be traced to deficiency in one or more of these areas:

*The leadership equation*—understanding the influence of leadership qualities, characteristics of followers, and the nature of situations.

*The power of vision*—establishing a clear and compelling direction and a plan to succeed.

*The importance of ethics*—leading by moral principles, goodness of character, and personal courage.

*The empowerment of people*—fostering a high-performance culture through participative leadership and service to others.

*Leadership principles*—demonstrating human relations skills, managing morale, and developing a winning team.

*Understanding people*—comprehending human motivation, the art of persuasion, and the value of diversity.

*Multiplying effectiveness*—using delegation skills and dealing effectively with different kinds of people.

*Developing others*—understanding the role of the leader as teacher, helping people through change, and developing adaptive capacity.

*Performance management*—achieving organizational success through personal humility, fierce resolve, and sustained discipline.

Each key area is discussed in the following pages. Also included are principles and techniques to improve leadership effectiveness, along with questionnaires and learning exercises to personalize the concepts. These apply at all levels of leadership responsibility and to the full range of leadership situations, from leading intellectuals in the lab, to leading artists in the studio, to leading producers in the field.<sup>34</sup>

## Chapter One Summary

After reading Chapter One, you should know the following key concepts, principles, and terms. Fill in the blanks from memory, or copy the answers listed below.

Leadership is social influence. By (a) \_\_\_\_\_ and \_\_\_\_\_, leaders light the path and influence the behavior of people. Types of leaders include (b) \_\_\_\_\_, \_\_\_\_\_, and \_\_\_\_\_. Two basic factors that influence the leadership process are (c) \_\_\_\_\_, and \_\_\_\_\_. People learn to lead primarily from (d) \_\_\_\_\_, \_\_\_\_\_, and \_\_\_\_\_. The three qualities people want most in a leader are (e) \_\_\_\_\_, \_\_\_\_\_, and \_\_\_\_\_. Satisfaction of being a leader include (f) \_\_\_\_\_, \_\_\_\_\_, and \_\_\_\_\_. Frustrations of being a leader include (g) \_\_\_\_\_, \_\_\_\_\_, and \_\_\_\_\_. The two essential elements of caring leadership are (h) \_\_\_\_\_ and \_\_\_\_\_. Leadership, in essence, is (i) \_\_\_\_\_, \_\_\_\_\_, and \_\_\_\_\_.

### Answer Key for Chapter One Summary

- a. **ideas, deeds**, page 2
- b. **teachers, heroes, rulers**, page 3
- c. **qualities of the individual, environmental factors**, page 5
- d. **experience, examples, books and school**, page 6
- e. **integrity, job knowledge, people-building skills**, page 6
- f. (any three) **a feeling of power and prestige, a chance to help others, high income, respect and status, opportunities for advancement, a feeling of being in a position of knowledge, an opportunity to control money and other resources**, page 9
- g. (any three) **too much uncompensated work time, too many problems, not enough authority to carry out responsibility, loneliness, too many problems involving people, organizational politics, the pursuit of conflicting goals**, page 9
- h. **commitment to a task, concern for people**, page 10
- i. **establishing a direction, aligning people and resources, energizing people to accomplish results**, page 11





# Part 1 Leadership Variables

## 2. The Leadership Equation

## 3. Leadership Qualities, Characteristics of Followers, and Situational Factors

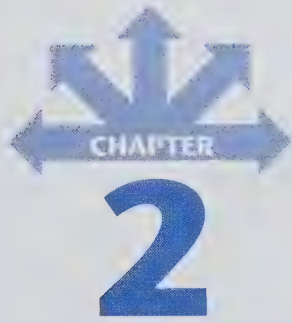
THE EAR OF THE LEADER must ring with the voices of the people. Together they rise to the challenge of the day.

—Woodrow Wilson

## Learning Objectives

After studying Part One, you will be able to:

- Describe the variables that determine leadership effectiveness.
- Assess 10 qualities that distinguish a leader.
- Know how susceptible you are to leadership influence.
- Identify situations in which you are likely to lead.
- Know your natural kind of intelligence and leadership strength.



# The Leadership Equation

For years, researchers have been trying to answer the questions, What does it take to be a successful leader? and What is the most effective leadership style? The *Encyclopedia of Leadership* identifies more than 40 theories or models of leadership that have influenced the study and practice of leadership.<sup>1</sup> Early studies were based on two main theories—**trait theory**, focusing on qualities of the leader, and **behavior theory**, focusing on leadership actions.

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## Leadership Trait Theory

Sir Francis Galton is credited with being one of the earliest leadership theorists, mentioning the trait approach to leadership for the first time in his book *Hereditary Genius*, published in 1869. In keeping with the general thinking of the period, Galton believed that leadership qualities were genetic characteristics of a family. Qualities such as courage and wisdom were passed on—from family member to family member, from generation to generation.<sup>2</sup>

How did Steve Jobs, a college dropout, become an iconic leader of the technology world? What enabled George Patton, who did so poorly at West Point that he had to repeat a year, to become a four-star general and hero of World War II? How could John L. Lewis, a coal miner with no formal education or leadership training, either energize or shut down an entire industry? Do individuals such as these share unique leadership traits?

The trait theory of leadership makes the assumption that distinctive physical and psychological characteristics account for leadership effectiveness. Traits such as height, attractiveness, intelligence, self-reliance, and creativity have been studied, and lists abound, from *The Leadership Traits of the U.S. Marine Corps* to the *Leadership Principles of the U.S. Army*. Almost always included in these and other lists of important leadership traits are (1) basic **intelligence**, (2) clear and strong **values**, and (3) high level of personal **energy**.<sup>3</sup>

One of the most widely reported studies of leadership traits was conducted by Edwin Ghiselli, who evaluated over 300 managers from 90 different businesses in the United States. Ghiselli identified six traits as being important for effective leadership:

1. *Need for achievement*—seeking responsibility; working hard to succeed.
2. *Intelligence*—using good judgment; having good reasoning and thinking capacity.
3. *Decisiveness*—making difficult decisions without undue hesitation.
4. *Self-confidence*—having a positive self-image as a capable and effective person.
5. *Initiative*—being a self-starter; getting jobs done with minimal supervision.
6. *Supervisory ability*—getting the job done through others.<sup>4</sup>

Most people would say former Apple CEO Steve Jobs personified Ghiselli's traits of need for achievement, intelligence, decisiveness, self-confidence, initiative, and

getting the job done through others. In 2010, *Fortune* magazine identified him as CEO of the decade for his achievements. Biographer Walter Isaacson describes Jobs as a creative leader whose passion for perfection and ferocious drive revolutionized six industries: personal computers, animated movies, music, phones, tablet computing, and digital publishing.<sup>5</sup>

Traits play a role in how we perceive leaders and how they impact leadership effectiveness.<sup>6</sup> To personalize the concept of trait theory, evaluate yourself (or a leader you know) on Ghiselli's six traits for leadership effectiveness. (See Exercise 2–1.)



## Exercise 2–1 Six Traits of Leadership

Rate yourself (or a leader you know) on the following six traits for leadership effectiveness by circling a number from 1 to 10 (1 is low; 10 is high).

### 1. Need for achievement

1    2    3    4    5    6    7    8    9    10

### 2. Intelligence

1    2    3    4    5    6    7    8    9    10

### 3. Decisiveness

1    2    3    4    5    6    7    8    9    10

### 4. Self-confidence

1    2    3    4    5    6    7    8    9    10

### 5. Initiative

1    2    3    4    5    6    7    8    9    10

### 6. Supervisory ability

1    2    3    4    5    6    7    8    9    10

### Scoring and Interpretation:

Add all the circled numbers to find the overall trait score: \_\_\_\_\_

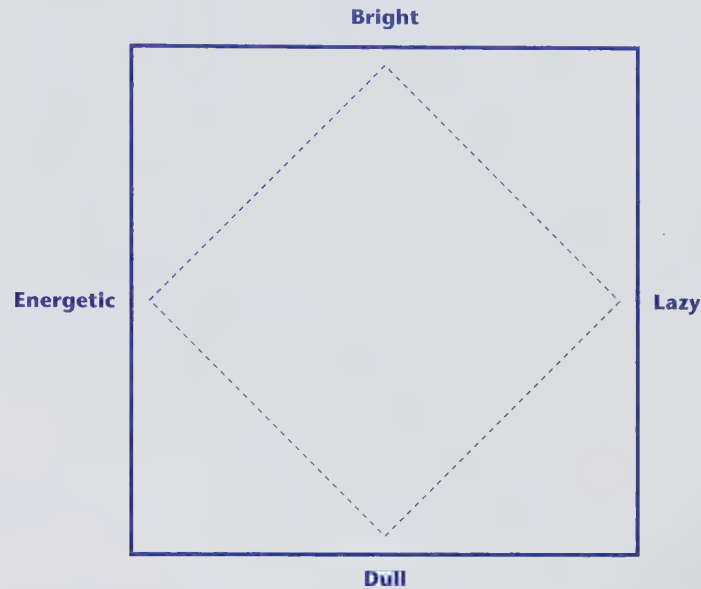
| High | Individual Trait Score | Overall Trait Score | Evaluation        |
|------|------------------------|---------------------|-------------------|
| ↑    | 9–10                   | 54–60               | Very good         |
| ↕    | 7–8                    | 42–53               | Good              |
| ↓    | 1–6                    | 6–41                | Needs improvement |
| Low  |                        |                     |                   |



## Trait Theory Applied

An interesting application of trait theory was practiced by Paul von Hindenburg, war hero and second president of post–World War I Germany. Von Hindenburg used a form of trait theory for selecting and developing leaders. He believed that leadership ability was determined by two primary qualities—intelligence (bright versus dull) and vitality (energetic versus lazy). He used a box (see Figure 2–1) to evaluate potential military leaders on these two dimensions.

Figure 2–1  
Dimensions of Leadership



If an individual was deemed to be bright and energetic, he was developed as a field commander, because it takes judgment and gumption to succeed as a leader on the battlefield. If the individual was deemed to be energetic but dull, he was assigned to duty as a frontline soldier, because as a leader, he could actively lead his command in the wrong direction. If the individual was believed to be bright but lazy, he was assigned to be a staff officer, because intelligence is important for developing a creative strategy that others may implement. If the individual was judged to be lazy and dull, he was left alone to find his own level of effectiveness.<sup>7</sup>

## Leadership Behavior Theory

During the 1930s, a growing emphasis on behaviorism in psychology moved leadership researchers in the direction of the study of leadership behavior versus leadership traits. A classic study of leadership behavior was conducted at the University of Iowa by **Kurt Lewin** and his associates in 1939. These researchers trained graduate assistants in behaviors indicative of three leadership styles: **autocratic**, **democratic**, and **laissez-faire**. The *autocratic* style was characterized by the tight control of group activities and decisions made by the leader. The *democratic* style emphasized group participation and majority rule. The *laissez-faire* leadership style involved very low levels of any kind of activity by the leader. The results indicated that the democratic style of leadership was more beneficial for group performance than the other styles. The importance of the study was that it emphasized the impact of the behavior of the leader on the performance of followers.<sup>8</sup>

By the 1940s, most research on leadership changed focus from leadership traits to leadership behaviors. Behavioral leadership theories assume that there are distinctive actions that effective leaders take. In 1945 **Ralph Stogdill** and others at Ohio State

University developed an assessment instrument known as the Leader Behavior Description Questionnaire (LBDQ).<sup>9</sup> Respondents to the questionnaire described their leaders' behaviors toward them in terms of two dimensions:

1. **Initiating structure**—the extent to which leaders take action to define the relationship between themselves and their staff, as well as the role that they expect each staff member to assume. Leaders who score high on initiating structure establish well-defined channels of communication and ways of getting the job done. Five assessment items measuring initiating structure are as follows:
  - a. Try out your own new ideas in the work group.
  - b. Encourage the slow-working people in the group to work harder.
  - c. Emphasize meeting deadlines.
  - d. Meet with the group at regularly scheduled times.
  - e. See to it that people in the group are working up to capacity.
2. **Showing consideration**—the extent to which leaders take action to develop trust, respect, support, and friendship with subordinates. Leaders who score high on showing consideration typically are helpful, trusting, and respectful, and have warm relationships with staff members. Five questionnaire items that measure showing consideration are as follows:
  - a. Be helpful to people in the work group.
  - b. Treat all people in the group as your equals.
  - c. Be willing to make changes.
  - d. Back up what people under you do.
  - e. Do little things to make it pleasant to be a member of the group.

At about the same time the Ohio State studies were being conducted, the University of Michigan's Survey Research Center started leadership studies under the direction of Rensis Likert, who gave special attention to the impact of leaders' behaviors on worker motivation and the performance of groups.<sup>10</sup> The Michigan studies identified two similar dimensions of leadership behavior:

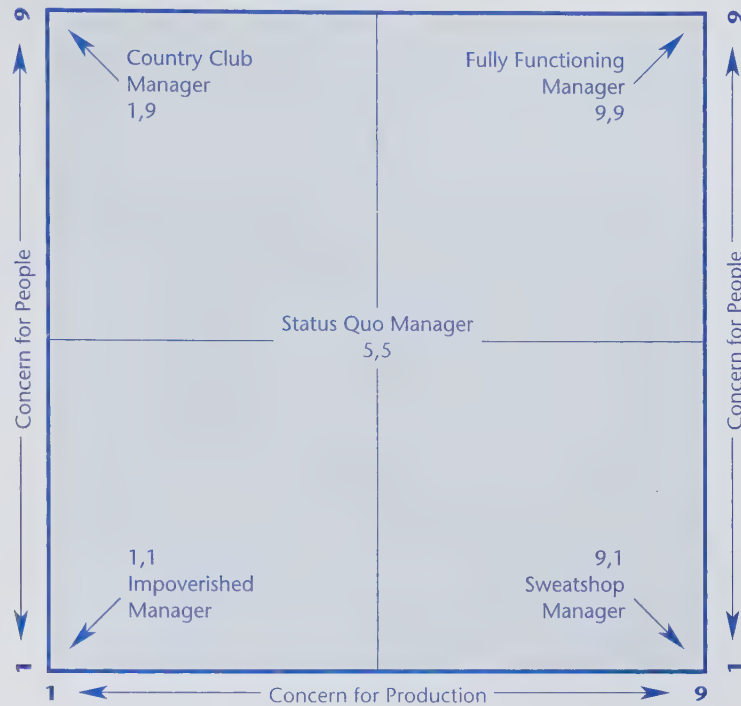
1. *Job-centered*—same as initiating structure.
2. *Employee-centered*—same as showing consideration.

In 1964 Robert Blake and Jane Mouton developed a managerial grid reflecting the Ohio and Michigan dimensions of initiating structure (job-centered) and showing consideration (employee-centered).<sup>11</sup> This model identifies the ideal leader as having *a high concern for production and a high concern for people*. It has been used extensively in organizational development and leadership consulting throughout the world. See Figure 2-2.

The horizontal axis of the grid represents concern for production, and the vertical axis represents concern for people. Each axis is on a scale of 1 through 9. Lowest concern is 1, and highest concern is 9. The managerial (leadership) grid has 81 possible combinations, but identifies five major styles:

- (1,1) *The Impoverished Manager*—has low concern for production and low concern for people. The leader is uninvolved in the work and withdraws from people.
- (9,1) *The Sweatshop Manager*—has high concern for production but low concern for people. The leader is results driven, and people are regarded as tools to that end.
- (1,9) *The Country Club Manager*—has high concern for people and low concern for task accomplishment. The leader focuses on being agreeable and keeping human relations smooth.
- (5,5) *The Status Quo Manager*—has medium concern for both production and people. The leader emphasizes work requirements to a moderate degree and shows moderate consideration for the needs of people.

**Figure 2–2**  
**The Managerial (Leadership)**  
**Grid for Leadership**  
**Effectiveness**



■ (9,9) *The Fully Functioning Manager*—has high concern for both production and people. The leader cares intensely about task accomplishment and cares deeply about people.

In recent years, two additional styles have been seen with such frequency that they are now listed as major styles:

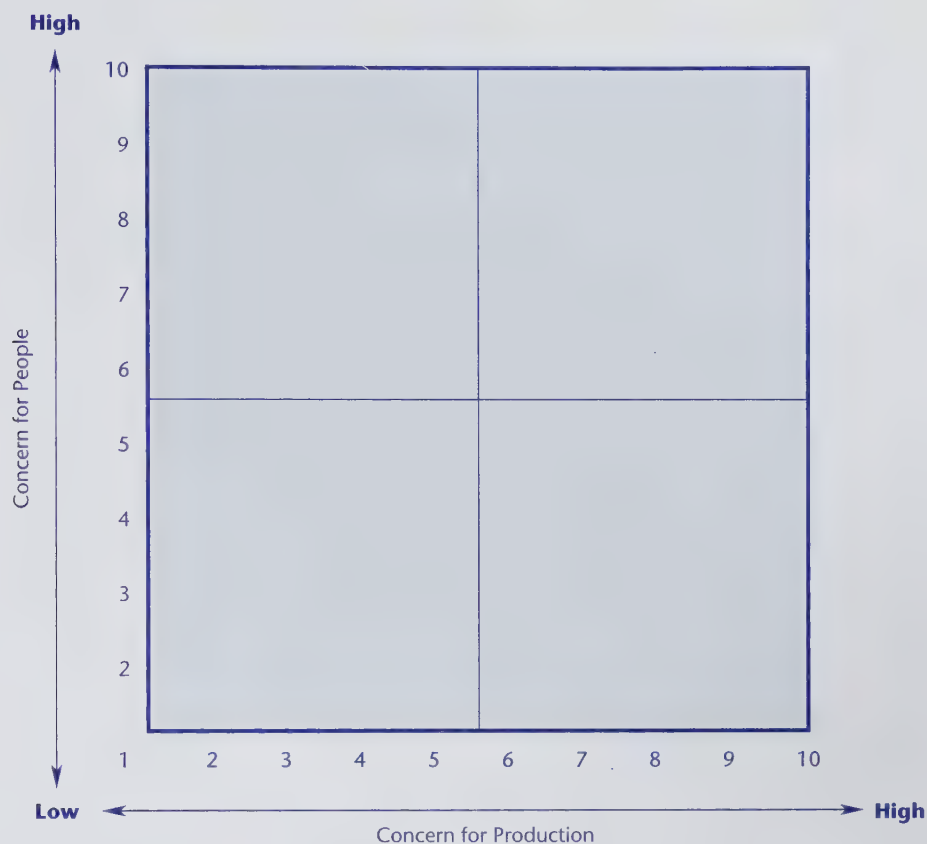
1. *The Paternalistic Manager*—uses high concern for production (9,1) combined with use of rewards (1,9) in exchange for compliance and loyalty.
2. *The Opportunistic Manager*—uses whichever style will best promote his or her advancement (1,9 to please subordinates; 5,5 in interactions with peers; and 9,1 to gain favor with bottom-line-focused bosses).

To personalize leadership behavior theory, use Exercise 2–2 to evaluate yourself (or a leader you know) on two dimensions of leadership effectiveness—concern for production and concern for people. Note that concern for production is analogous to the terms *job-centered* and *initiating structure*, while concern for people is analogous to the terms *employee-centered* and *showing consideration*.



## Exercise 2-2 Two Dimensions of Leadership

Rate yourself (or a leader you know) on the two dimensions of leadership effectiveness indicated in the graph below (1 is low; 10 is high). Then mark the point where *concern for people* and *concern for production* intersect.



### Scoring and Interpretation:

The higher the score on both axes, the higher the expectation for overall leadership effectiveness. To find the overall score, multiply the scores for the two dimensions. The best possible score is 100 ( $10 \times 10$ ). Meta-analysis of leader behavior and performance effectiveness shows the ideal leader is a caring leader who focuses on job tasks and results, and is simultaneously concerned with the welfare of employees.<sup>12</sup>



## Behavior Theory Applied

In *Shackleton's Way: Leadership Lessons from the Great Antarctic Explorer*, Margot Morrell presents a detailed account of Ernest Shackleton's Endurance expedition and the leadership lessons to be learned from it. The book is based on primary sources—on the actual comments of the men who were led by Shackleton. She uses diaries, letters, and interviews to understand Shackleton's leadership behavior. Morrell believes that even today we can look to his behaviors as a source of inspiration and education. The four cornerstones of Shackleton's leadership behavior are leading by example, communicating a vision, keeping up morale, and maintaining a positive attitude. Morrell concludes from her research of Shackleton and leadership: "If you look closely at any successful leader, you will find [he or she is] executing on these four points."<sup>13</sup>

## Leadership Contingency Theory

Research shows that both leadership traits and leadership behavior are important for leadership effectiveness, supporting the practice of selecting leaders with an emphasis on traits and training leaders with an emphasis on behavior.<sup>14</sup> Both the trait theory and the behavioral theory of leadership were attempts to identify the one best leader and the one best style for all situations. By the late 1960s, it became apparent that there is no such universal answer. Leadership **contingency theory** holds that the most appropriate leadership qualities and actions vary from situation to situation. Effectiveness depends on leader, follower, and situational factors. Forces in the leader include personal values, feelings of security, and confidence in subordinates. Forces in the follower include knowledge and experience, readiness to assume responsibility, and interest in the task or problem. Forces in the situation include organizational structure, the type of information needed to solve a problem, and the amount of time available to make a decision.<sup>15</sup>

## Matching Qualities of Leaders, Characteristics of Followers, and the Nature of the Situation

In the past 60 years, more than 65 classification systems have been developed to define the dimensions of leadership, and more than 15,000 books and articles have been written about the elements that contribute to leadership effectiveness. The usual conclusion is that the answer depends on leader, follower, and situational variables. A leader in a bank and a leader on the farm will need different interests, values, and skills. Experienced followers and new followers will have different leadership needs. Situational factors include the job being performed, the culture of the workplace, and the urgency of the task.

No single element explains why leadership takes place. Leadership results when the ideas and deeds of the leader match the needs and expectations of the followers in a particular situation. The relationship between General George Patton, the U.S. Third Army, and the demands of World War II resulted in leadership; however, the same General Patton probably would not have much influence on the membership and goals of a PTA meeting today. Even if there were agreement about goals, disagreement over style probably would interfere with the leadership process.

A modern example of matching qualities of the leader, characteristics of followers, and the nature of the situation would be Nelson Mandela, the first black president of South Africa.<sup>16</sup> A negative example, but one of historic significance, is that of Adolf Hitler, the German people, and the period 1919 to 1945:

Hitler generated his power through the skillful use of suggestion, collective hypnosis, and every kind of subconscious motivation that the crowd was predisposed to unleash. In this way, the people sought out Hitler just as much as Hitler sought them out. Rather than saying that Hitler manipulated the people as an artist molds clay, certain traits in Hitler gave him the opportunity to appeal to the psychological condition of the people.

Seen in this light, Hitler was not the great beginner, but merely the executor of the people's wishes. He was able to feel the character and direction of the people and to make them more conscious of it, thereby generating power that he was able to exploit. This is not due to his personal strength alone. Isolated from his crowd, Hitler would be with reduced potency.

Hitler had many personal weaknesses, but as one who sensed the character and direction of the group, he became the embodiment of power. No doubt his strength came through his claiming for himself what actually was the condition and achievement of many.<sup>17</sup>

It is clear that destructive results can be traced to a toxic triangle of leader, follower, and situational factors. Destructive leaders with charisma, narcissism, and an ideology of hate can enlist susceptible followers with bad values, unmet needs, and ambition in a conducive situation of instability, perceived opportunity, and lack of checks and control. The outcome can be disastrous.<sup>18</sup> Ultimately, the leader, the followers, and the situation must match for either good or bad leadership to take place. One without the other two, and two without the third, will abort the leadership process.<sup>19</sup>

## Case Study:

### *Mr. Black, Ms. Blue, and Mr. White*<sup>20</sup>

Recently you were promoted from the job of first-level supervisor to that of middle management, and you now have under your supervision several of your former equals. You get along well with them, and there is no resentment about your advancement because they recognize that you are the best person available for the job.

You know from past associations that you will have to straighten out three of these subordinates; the rest are all right. The three are Black, Blue, and White. Black has always been against the organization, Blue has always been snowed under by work, and White has always been a permissive supervisor.

Black, the anticompany supervisor, always sides with his subordinates against the organization and sympathizes with them when things go wrong. He wants conditions to be perfect and is always pointing out the defects in the company and finding fault with the way the organization is run. (Conditions, while not perfect, are above average.) Black does his job grudgingly and does not get along well with the other people in the organization.

Blue, on the other hand, is snowed under by her work; she carries the whole load of the department on her shoulders. Her subordinates take no initiative, and she is continually correcting their mistakes. Blue sees that whatever little work comes out of her section is letter-perfect even if she has to have her employees do their jobs over and over again and she has to put on the finishing touches herself. Often her subordinates are standing around waiting for her to get around to checking their work. They know their jobs but wait for Blue to make all the decisions.

Finally, there is White, the permissive supervisor. Instead of running his employees, he is letting them run him. His subordinates do their jobs in any manner they wish. They do not respect White's authority, and they raise so many objections that he lets them do whatever they want. Often they boast of how they tell him off.

All the other supervisors under your jurisdiction are doing a good job. You would like to take the easy way out and fire Black, Blue, and White, but they have been with the company for quite a while. Besides, you feel that if you can lick these problems, you will receive quite a bit of recognition from upper management.

## Questions

1. How would you help Black become an effective supervisor?

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2. How would you help Blue become an effective supervisor?

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### 3. How would you help White become an effective supervisor?

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## Transformational Leadership

Some people have an extraordinary ability to inspire others and bring forth loyalty. A person who has such a personality is said to have charisma. The German sociologist Max Weber explains in his *Theory of Social and Economic Organization*: “The term ‘charisma’ applies to a certain quality that causes one to be set apart from ordinary people and to be treated as endowed with superhuman, or at least exceptional, powers or qualities. In this sense, charisma is a gift or power of leadership.”<sup>21</sup>

In 1976 R. J. House published a theory of charismatic leadership that has received a great deal of attention by researchers. He traces the influence of the charismatic leader to a combination of personal characteristics and types of behavior. The characteristics of charismatic leaders include being dominant, ambitious, and self-confident, as well as having a strong sense of purpose.

Charismatic leaders also demonstrate specific types of behaviors: (1) They are role models for the beliefs and values they want their followers to adopt. For example, Gandhi advocated nonviolence and was a role model of civil disobedience. (2) They demonstrate ability that elicits the respect of followers. Leaders in art, science, religion, business, government, and social service influence followers through their personal competence. (3) They have ideological goals with moral overtones. Martin Luther and Martin Luther King both employed this type of charismatic behavior. (4) They communicate high expectations for their followers and show confidence in their ability to meet those expectations. Military history is replete with examples of charismatic war leaders. (5) Charismatic leaders ignite the motives of their followers to take action. Motives and tasks fall broadly into three areas—power, achievement, and affiliation.<sup>22</sup>

The psychologist David McClelland describes the nature of charismatic leadership:

We set out to find exactly, by experiment, what kinds of thoughts the members of an audience had when exposed to a charismatic leader. They were apparently strengthened and uplifted by the experience; they felt more powerful, rather than less powerful or submissive. This suggests that the traditional way of explaining the influence of leaders has not been entirely correct. The leader does not cause followers to submit and go along by intimidation and force. In fact, the leader is influential by strengthening and inspiring the audience. The personality of the leader arouses confidence in followers, and the followers feel better able to accomplish whatever goals they share with the leader.<sup>23</sup>

A crisis can create “charisma hungry” followers who are looking for a leader to alleviate or resolve their dilemma. Some charismatic leaders may create crises to increase followers’ acceptance of their vision, the range of actions they can take, and followers’ level of effort.<sup>24</sup> In every walk of life, an individual with charisma may emerge. When this happens, the person is recognized as a leader. See, for example, the account by Willie Davis, all-pro lineman for the Green Bay Packers, which shows how Vince Lombardi exercised tremendous influence in the field of sports because of his charismatic personality. Men played their hearts out for Lombardi. Their goal was to please him, to be equal to their understanding of his values and goals.

The example of Lombardi shows how an individual can generate the respect and following of others through personal charisma. According to Willie Davis, how did Lombardi do this?

■ First, he *cared*. No one was more committed to achieving the goal and winning the game.

## He Made Me Feel Important

Willie Davis

Football is a game of emotion, and what the old man excels at is motivation. I maintain that there are two driving forces in football; one is anger and the other is fear, and he capitalized on both of them. Either he got us so mad we wanted to prove something to him, or we were fearful of being singled out as the one guy who didn't do the job.

In the first place, he worked so hard that I always felt the old man was really putting more into the game on a day-to-day basis than I was. I felt obligated to put something extra into it on Sunday; I had to, just to be even with him. Another thing was the way he made you a believer. He told you what the other team was going to do, and he told you what you had to do to beat them, and invariably he was right. He made us believe that all we had to do was follow his theories on how to get ready for each game and we'd win.

Probably the best job I can remember of him motivating us was when we played the Los Angeles Rams the next-to-last game of 1967. We had already clinched our divisional title, and the game didn't mean anything to us, and he was worried about us just going through the motions. Before the game, he was trembling like a leaf. I could see his leg shaking. "I wish I didn't have to ask you boys to go out there today and do this job," he said. "I wish I could go out and do it myself. Boy, this is one game I'd really like to be playing in. This is a game that you're playing for your pride."

How about the day we beat the Rams 6-3 in Milwaukee in 1965? We'd broken a two-game losing streak, and we were all kind of happy and clowning around, and he came in and you saw his face and you knew nothing was funny anymore. He kicked a bench and hurt his foot, and he had to take something out on somebody, so he started challenging us. "Nobody wants to pay the price," he said. "I'm the only one here who's willing to pay the price. You guys don't care. You don't want to win."

We were stunned. Nobody knew what to do, and finally Forrest Gregg stood up and said, "My God, I want to win," and then somebody else said, "Yeah, I want to win," and pretty soon there were forty guys standing, all shouting, "I want to win." If we had played any football team in the world during the next two hours, we'd have beaten them by ten touchdowns. The old man had us feeling so ashamed and angry. That was his greatest asset—his ability to motivate people.<sup>25</sup>

- Second, he *worked hard*. No one worked harder and more diligently to prepare.
- Third, he *knew the right answers*. He knew the game of football, he knew the teams, and he had a plan to succeed.
- Fourth, he *believed*. He believed in himself and his players, and that made them believers as well.
- Fifth, he *kept the bar high*. He had uncompromising standards that raised the pride of his team as they rose to the challenge.
- Sixth, he *knew people*. He knew how to motivate each of his players, each in his own way.

In his book *Leadership*, political sociologist James MacGregor Burns states that the term *charisma* has taken on a number of different but overlapping meanings: leaders' magical qualities; an emotional bond between the leader and the led; dependence on a

powerful figure by the masses; assumptions that a leader is omniscient and virtuous; and simply popular support for a leader that verges on love.<sup>26</sup> Burns states that charismatic leadership often involves conflict and struggle, and this may help explain the violent ends to such transformational leaders as Abraham Lincoln, Joan of Arc, and Jesus Christ.<sup>27</sup>

The term **transformational leadership** can be used to describe the leadership of individuals such as Vince Lombardi. These leaders use optimism, charm, intelligence, and a myriad of other personal qualities to raise aspirations and transform individuals and organizations into new levels of high performance.<sup>28</sup>

Although transformational leadership was first discussed by J. V. Downton in 1973, its emergence as an important theory of leadership can be traced to Burns, who distinguished two kinds of leadership: *transformational* and *transactional*. Transactional leaders focus on exchanges between leaders and followers. An example would be a manager who exchanges pay and promotion for work performed. In contrast, transformational leaders focus on the potentialities of the relationship between the leader and followers. This leader taps the motives of followers to better reach the goals of both. Burns uses Gandhi as an example of transformational leadership because he not only raised the hopes and demands of millions of his people, but in the process was also changed himself. In a similar way, Abraham Lincoln was transformational in American history, serving as a father figure to many people in his day. Indeed his name, Abraham, literally means father.<sup>29</sup>

In contrast to transactional leaders, who emphasize exchanging one thing for another, such as jobs for votes and rewards for favors, transformational leaders engage the full person of the follower. The result is elevation of the potential of followers and achievement beyond previous expectations.<sup>30</sup> Research shows that transformational leadership has a positive effect on performance. Employees with transformational leaders have higher levels of motivation, job performance, and organizational commitment.<sup>31</sup> It is important to note that transformational leadership can occur at all levels of an organization and transformational leaders can emerge in both formal and informal roles.<sup>32</sup>