GARY A. YUKL | WILLIAM L. GARDNER

LEADERSHIP IN ORGANIZATIONS

NINTH EDITION

Leadership in Organizations

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Ninth Edition

Leadership in Organizations

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Pearson

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For their support, devotion, and love, this book is dedicated to Maureen and Claudia.

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BRIEF CONTENTS

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TABLE OF CONTENTS

CHAPTER 6 POWER AND INFLUENCE TACTICS

CHAPTER 7 LEADER TRAITS AND SKILLS

CHAPTER 8 CHARISMATIC AND TRANSFORMATIONAL LEADERSHIP

ABOUT THE AUTHORS

Gary Yukl

After more than 45 years of studying leadership, Dr. Gary Yukl is highly qualified to write about the subject. His highest academic degree is a Ph.D. in Industrial-Organizational Psychology from the University of California, Berkeley. He is an emeritus professor at UAlbany, State University of New York, where before retiring he taught courses in leadership at the undergraduate, MBA, and doctoral level. He is a member of the editorial boards for several important journals that publish articles on leadership theory and research. His own publications include many articles on leadership, and he has received a number of awards for best research article, most-cited article, and best convention paper. He has also received two lifetime achievement awards for his research and publications: the 2007 Walter Ulmer Applied Research Award from the Center for Creative Leadership, and the 2011 Eminent Leadership Scholar Award from the Academy of Management Network of Leadership Scholars. He has consulted with several business and public-sector organizations to help improve the effectiveness of their managers, and the leadership development programs he designed for a consulting company were used by managers and administrators in many organizations. Some of the practical guidelines presented in this book are from management development programs found to improve the effectiveness of the participants. For his exceptional research and scholarship he was elected a Fellow of the American Psychological Association, the American Psychological Society, the Society for Industrial-Organizational Psychology, and the Academy of Management.

William L. Gardner, III

Drawing on his 40-plus years of teaching and researching leadership, Dr. William (Bill) Gardner is well positioned to share his insights on leaders and effective leadership. His highest academic degree is a Doctor of Business Administration (DBA) from Florida State University. He holds the Jerry S. Rawls Chair in Leadership and serves as the Director of the Institute for Leadership Research in the Rawls College of Business at Texas Tech University. He previously held faculty positions at Southern Illinois University, the University of Mississippi, and the University of Nebraska–Lincoln. During his career, he has taught leadership and management courses at the undergraduate, masters, professional MBA, and doctoral levels. Currently, he serves as the Editor-in-Chief for *Group & Organization Management* and as an Associate Editor for *The Leadership Quarterly.* He has published numerous high-impact articles focused on leadership in top-tier journals and received several best-paper and most-cited-article awards. In 2011, he received the Distinguished Doctoral Alumni Award from the College of Business at Florida State University. In 2015, Texas Tech recognized him as an "Integrated Scholar," an honor bestowed to "a faculty member who not only demonstrates outstanding teaching, research, and service, but is able to generate synergy among the three functions." In recognition of his extensive contributors to the Southern Management Association (SMA), including his service as President and an SMA Fellow, he received the "James G. (Jerry) Hunt Sustained Outstanding Service Award" in 2017.

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PREFACE

This book is about leadership in organizations. Its primary focus is on managerial leadership as opposed to parliamentary leadership, leadership in social movements, or emergent leadership in informal groups. The book presents a broad survey of theory and research on leadership in formal organizations. Topics of special interest are the determinants of leadership effectiveness and how leadership can be improved. William Gardner was added as a second author for this edition to incorporate his knowledge and perspective on effective leadership.

The book is appropriate for use as the primary text in an undergraduate or graduate course in leadership. Such courses are found in many different schools or departments, including business, psychology, sociology, educational administration, public administration, and health-care administration. The book is on the list of required or recommended readings for students in many doctoral programs in leadership, management, and industrial-organizational psychology. With its focus on effective leadership in organizations, the book is especially relevant for students who expect to become a manager or administrator in the near future, for people who will be responsible for training or coaching leaders, and for people who will be teaching courses or workshops that include leadership as one of the key topics. The book is also useful for practicing managers and consultants who are looking for something more than vague theories and superficial answers to difficult questions about leadership. The book is widely used in many different countries, and some editions were translated into other languages, including Chinese, Korean, Indonesian, Spanish, Greek, Croatian, and Swedish.

The content of the book still reflects a dual concern for theory and practice. We have attempted to satisfy two different audiences with somewhat different perspectives. Most academics prefer a book that explains and evaluates major theories and relevant empirical research. They are most interested in how well the research was done, what was found, how well the research supports the theoretical basis for it, and what additional research is needed. Academics tend to be skeptical about the value of prescriptions and guidelines for practitioners and may consider them premature in the absence of further research. In contrast, most practitioners want some immediate answers about what to do and how to do it in order to be more effective as leaders. They need to deal with the current challenges of their job and cannot wait for decades until the academics resolve their theoretical disputes and obtain definitive answers. Practitioners are more interested in finding helpful remedies and prescriptions than in finding out how this knowledge was discovered. Readers who desire to improve their leadership effectiveness will find this edition of the book is even more useful than previous editions.

The different preferences are one of the reasons for the much-lamented gulf between scientists and practitioners in management and industrial-organizational psychology. We believe it is important for managers and administrators to understand the complexity of effective leadership, the source of our knowledge about leadership in organizations, and the limitations of this knowledge. Likewise, we believe it is important for academics to think more about how their theories and research can be used to improve the practice of management. Too much of our leadership research is designed to examine narrow, esoteric questions that only interest a few other scholars who publish in the same journals.

Academics will be pleased to find that major theories are explained and evaluated, findings in empirical research on leadership are summarized, and many references are provided to help readers find sources of additional information about topics of special interest. The field of leadership is still in a state of ferment, with many continuing controversies about conceptual

and methodological issues. The book addresses these issues, but the literature review was not intended to be comprehensive. Rather than detailing an endless series of weak theories and inconclusive studies like most handbooks of leadership, this book describes major findings about effective leadership and how they can be applied by readers.

For practitioners and students who desire to become effective managers, we attempted to convey a better appreciation of the complexity of managerial leadership, the importance of having theoretical knowledge about leadership, and the need to be flexible and pragmatic in applying this knowledge. The current edition provides many guidelines and recommendations for improving managerial effectiveness, but it is not a "practitioner's manual" of simple techniques and secret recipes that guarantee instant success. The purpose of the guidelines is to help the reader understand the practical implications of the leadership theory and research, not to prescribe exactly how things must be done by a leader. Most of the guidelines are based on a limited amount of research and they are not infallible or relevant for all situations. Being a flexible, adaptive leader includes determining which guidelines are relevant for each unique situation.

Most chapters end with two short cases designed to help the reader gain a better understanding of the theories, concepts, and guidelines presented in the chapter. Most of the cases describe events that occurred in real organizations, but some cases were modified to make them more useful for learning basic concepts and effective practices. For many of the cases, the names of organizations and individuals were changed to keep the analysis focused on the events that occurred in a defined time period, rather than on recent events that may involve different leaders and a different situation. The cases ask a reader to analyze behavioral processes, identify examples of effective and ineffective behavior, and suggest effective ways to handle the situation that is depicted.

In this ninth edition, the basic structure of most chapters remains the same, but the order of some chapters was changed, a few topics were moved to a different chapter, some new topics were added, and the discussion of some other topics was expanded. Since the book is not intended to be a history of leadership, it seemed appropriate to reduce the amount of detail about early research programs and old theories that are no longer popular, and focus more closely on what we now know about effective leadership.

New to This Edition

Following is a list of changes we made to make the book easier to understand and more useful to most readers:

- The number of chapters was reduced from 16 to 15 to improve the organization of content.
- The order of chapters was modified to improve the explanation of related topics.
- Every chapter has been updated and revised for clarity and understanding.
- New examples of effective and ineffective leadership were added to most chapters.
- Personal Reflection exercises were added to most chapters to help students think critically and apply the leadership concepts.
- Several new cases were added, and there are now two cases for all but the introduction and overview chapters.
- Over 500 citations to recent research were added throughout.
- The design of the book was updated, and two colors are used for this edition.

Chapter by Chapter Changes

- In Chapter 1 (*The Nature of Leadership)* we added a discussion of the research methods used to study leadership, including new methods such as social networks, biosensor

methods, and behavioral genetics. The description of different theoretical approaches for studying leadership was expanded.

- In Chapter 2 (*Leadership Behavior*) the description of distinct types of leadership behavior was revised to include new knowledge and theories about these subjects. A new case on leadership behavior was added to the chapter.
- In Chapter 3 (*The Leadership Situation and Adaptive Leadership*) the ways in which leaders are influenced by the leadership situation was expanded to include the discussion of leadership in extreme situations such as hospital emergency rooms, SWAT teams, and police work. This chapter also includes some theories of situational determinants and adaptive leadership that were included in a separate chapter on managerial work in the previous edition.
- In Chapter 4 (*Decision Making and Empowerment by Leaders*) we added a discussion of the threshold effect of participative leadership, which explains how there is a minimum level of participative leadership that must be reached before the positive effects on employee performance are realized. In addition, we expanded the discussion of psychological empowerment and empowering leadership.
- In Chapter 5 *(Leading Change and Innovation)* we added a discussion of the differences among developmental, transitional, and transformational change, and organizational cynicism about change was added as another reason for rejecting change. A discussion of the strategic fitness process is included, and it involves a nine-step process of organizational change that combats the "silent killers" of organizational effectiveness. This chapter also includes a new case about leading change.
- In Chapter 6 (*Power and Influence Tactics*) the description of how leaders can effectively use their power and several different influence tactics was expanded. A new case about power and influence was added to the chapter.
- In Chapter 7 *(Leader Traits and Skills)* we added a discussion of core self-evaluations about a leader's worthiness, effectiveness, and capacity as a person. In addition, the concept of political skill is discussed in more detail, along with the associated research and practical implications of this skill.
- In Chapter 8 *(Charismatic and Transformational Leadership*) we added a discussion of specific charismatic leadership tactics that leaders use to manage impressions. We also describe how leaders can learn to effectively use these tactics. The discussion of contextual factors that contribute to the emergence and impact of charismatic leadership was expanded to include attributional ambiguity.
- In Chapter 9 (*Value-Based and Ethical Leadership)* we added an explanation of the factors that increase the moral intensity of an ethical issue and the effects of moral intensity on ethical leadership. The constructs of ethical culture and ethical climate, and the differences between them, are discussed, along with their effects on leader and follower behaviors in organizations. We also refined the discussion of authentic leadership by describing the four components: self-awareness, balanced processing, relational transparency, and an internalized moral perspective.
- In Chapter 10 *(Dyadic Relations and Followership)* we added a discussion of how a leader's affective expressions serve as cues about the leader's enthusiasm for the relationship, which in turn evoke emotional reactions from followers. We also describe how leaders and followers sometimes attribute performance problems to their relationship rather than to internal or external causes, and how leaders and followers may engage in relational work for the purpose of improving the relationship and future performance.

- In Chapter 11 (*Leadership in Teams and Decision Groups*) we added a discussion of how a team's composition affects the emergence of identity-based, resource-based, and knowledge-based subgroups, and the implications of these subgroups are explained. A new case was also added to this chapter.
- In Chapter 12 (*Strategic Leadership in Organizations*) we added a detailed discussion of strategic human resource management, which calls for an alignment and coordination of the firm's human resource practices across organizational levels to ensure that human capital is deployed strategically to foster enhanced competitiveness.
- In Chapter 13 (*Cross-Cultural Leadership and Diversity*) we introduced the concept of global leadership and added a set of guidelines for effective global leadership and the practical challenges that confront leaders of multinational organizations. We also added a discussion of the "glass cliff" phenomenon, which refers to the tendency of women to be more likely to be appointed to leadership positions that are risky and precarious. We included a discussion of findings from research that investigates the relationships between gender composition on corporate boards and key organizational outcomes. A new case was also added to this chapter.
- In Chapter 14 (*Developing Leadership Skills*) we added a discussion of how return on development investment (RODI) can be used as a metric for assessing the impact of leadership development programs and activities. In addition, we expanded the description of factors that facilitate leader development to include the concept of developmental readiness, which is a function of the leader's ability and motivation to develop. We also added a new case to this chapter.
- In Chapter 15 (*Overview and Integration*) we updated the summary of major findings about effective leadership to include new findings since the eighth edition was written. Ways to improve leadership research in the future are suggested, and we briefly summarize some general guidelines for effective leadership.

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August, 2018

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Chapter 1 The Nature of Leadership

Learning Objectives

After studying this chapter, you should be able to:

- Understand the different ways leadership has been defined.
- Understand the major types of leadership theories that have been studied.
- Understand the different ways leadership effectiveness is determined.
- Understand what aspects of leadership have been studied the most.
- Understand the organization of this book.

Introduction

Leadership is a subject that has long excited interest among people. The term connotes images of powerful, dynamic individuals who command victorious armies, direct corporate empires from atop gleaming skyscrapers, or shape the course of nations. The exploits of brave and clever leaders are the essence of many legends and myths. Much of our description of history is the story of military, political, religious, social, and business leaders who are credited or blamed for important historical events, even though we do not understand very well how the events were caused or how much influence the leader really had. The widespread fascination with leadership may be because it is such a mysterious process, as well as one that touches everyone's life. Why did certain leaders (e.g., Gandhi, Mohammed, Martin Luther King, Jr., Mao Tse-tung) inspire such intense fervor and dedication? How did certain leaders (e.g., Julius Caesar, Alexander the Great) build great empires? Why did some rather undistinguished people (e.g., Adolf Hitler, Claudius Caesar) rise to positions of great power? Why were certain leaders (e.g., Winston Churchill, Indira Gandhi) suddenly deposed, despite their apparent power and record of successful accomplishments? Why do some leaders have loyal followers who are willing to sacrifice their lives, whereas other leaders are so despised that subordinates conspire to murder them?

Questions about leadership have long been a subject of speculation, but scientific research on leadership did not begin until the twentieth century. The focus of much of the research has been on the determinants of leadership effectiveness. Social scientists have attempted to discover what traits, abilities, behaviors, sources of power, or aspects of the situation determine how well a leader is able to influence followers and accomplish task objectives. There is also a growing interest in understanding leadership as a shared process in a team or organization and the reasons why this process is effective or ineffective. Other important questions include the reasons why some people emerge as leaders, and the determinants of a leader's actions, but the predominant concern has been leadership effectiveness.

Some progress has been made in probing the mysteries surrounding leadership, but many questions remain unanswered. In this book, major theories and research findings on leadership effectiveness will be reviewed, with particular emphasis on managerial leadership in formal organizations such as business corporations, government agencies, hospitals, and universities. This chapter introduces the subject by considering different conceptions of leadership, different ways of evaluating its effectiveness, and different approaches for studying leadership. Finally, the chapter explains the basis for placement of key topics in different parts of the book.

Definitions of Leadership

The term leadership is a word taken from the common vocabulary and incorporated into the technical vocabulary of a scientific discipline without being precisely redefined. As a consequence, it carries extraneous connotations that create ambiguity of meaning (Calder, 1977; Janda, 1960). Additional confusion is caused by the use of other imprecise terms such as power, authority, management, administration, control, and supervision to describe similar phenomena. An observation by Bennis (1959, p. 259) is as true today as when he made it many years ago:

> Always, it seems, the concept of leadership eludes us or turns up in another form to taunt us again with its slipperiness and complexity. So we have invented an endless proliferation of terms to deal with it . . . and still the concept is not sufficiently defined.

Researchers usually define leadership according to their individual perspectives and the aspects of the phenomenon of most interest to them. After a comprehensive review of the leadership literature, Stogdill (1974, p. 259) concluded that "there are almost as many definitions of leadership as there are persons who have attempted to define the concept." The stream of new definitions has continued unabated since Stogdill made his observation. Leadership has been defined in terms of traits, behaviors, influence, interaction patterns, role relationships, and occupation of an administrative position. Table 1-1 shows some representative definitions presented over the past 50 years.

Most definitions of leadership reflect the assumption that it involves a process whereby intentional influence is exerted over other people to guide, structure, and facilitate activities and relationships in a group or organization. The numerous definitions of leadership appear to have little else in common. They differ in many respects, including who exerts influence, the intended purpose of the influence, the manner in which influence is exerted, and the outcome of the influence attempt. The differences are not just a case of scholarly nit-picking; they reflect deep disagreement about the identification of leaders and leadership processes. Researchers who differ in their conception of leadership select different phenomena to investigate and interpret the

TABLE 1-1 Definitions of Leadership

- Leadership is "the behavior of an individual … directing the activities of a group toward a shared goal" (Hemphill & Coons, 1957, p. 7).
- Leadership is "the influential increment over and above mechanical compliance with the routine directives of the organization" (Katz & Kahn, 1978, p. 528).
- Leadership is "the process of influencing the activities of an organized group toward goal achievement" (Rauch & Behling, 1984, p. 46).
- "Leadership is about articulating visions, embodying values, and creating the environment within which things can be accomplished" (Richards & Engle, 1986, p. 206).
- "Leadership is a process of giving purpose (meaningful direction) to collective effort, and causing willing effort to be expended to achieve purpose" (Jacobs & Jaques, 1990, p. 281).
- Leadership "is the ability to step outside the culture … to start evolutionary change processes that are more adaptive" (Schein, 1992, p. 2).
- "Leadership is the process of making sense of what people are doing together so that people will understand and be committed" (Drath & Palus, 1994, p. 4).
- Leadership is "the ability of an individual to influence, motivate, and enable others to contribute toward the effectiveness and success of the organization …" (House et al., 1999, p. 184).
- "Leadership is a formal or informal contextually rooted and goal-influencing process that occurs between a leader and a follower, groups, of followers, or institutions" (Antonakis & Day, 2018, p. 5).

results in different ways. Researchers who have a very narrow definition of leadership are less likely to discover things that are unrelated to or inconsistent with their initial assumptions about effective leadership.

Because leadership has so many different meanings to people, some theorists question whether it is even useful as a scientific construct (e.g., Alvesson & Sveningsson, 2003; Calder, 1977; Miner, 1975). Nevertheless, most behavioral scientists and practitioners seem to believe leadership is a real phenomenon that is important for the effectiveness of organizations. Interest in the subject remains high, and the number of articles and books about leadership continues to increase.

Specialized Role or Shared Influence Process?

A major controversy involves the issue of whether leadership should be viewed as a specialized role or as a shared influence process. One view is that all groups have role specialization, and the leadership role has responsibilities and functions that cannot be shared too widely without jeopardizing the effectiveness of the group. The person with primary responsibility to perform the specialized leadership role is designated as the "leader." Other members are called "followers," even though some of them may assist the primary leader in carrying out leadership functions. The distinction between leader and follower roles does not mean that a person cannot perform both roles at the same time. For example, a department manager who is the leader of department employees is also a follower of higher-level managers in the organization. Researchers who view leadership as a specialized role are likely to pay more attention to the attributes that determine selection of designated leaders, the typical behavior of designated leaders, and the effects of this behavior on other members of the group or organization.

Another way to view leadership is in terms of an influence process that occurs naturally within a social system and is diffused among the members. Writers with this perspective believe

it is more useful to study leadership as a social process or pattern of relationships rather than as a specialized role. According to this view, various leadership functions may be carried out by different people who influence what the group does, how it is done, and the way people in the group relate to each other. Leadership may be exhibited both by formally selected leaders and by informal leaders. Important decisions about what to do and how to do it are made through the use of an interactive process involving many different people who influence each other. Researchers who view leadership as a shared, diffuse process are likely to pay more attention to the complex influence processes that occur among members, the context and conditions that determine when and how they occur, the processes involved in the emergence of informal leaders, and the consequences for the group or organization.

Type of Influence Process

Controversy about the definition of leadership involves not only who exercises influence, but also what type of influence is exercised and the outcome. Some theorists would limit the definition of leadership to the exercise of influence resulting in enthusiastic commitment by followers, as opposed to indifferent compliance or reluctant obedience. These theorists argue that the use of control over rewards and punishments to manipulate or coerce followers is not really "leading" and may involve the unethical use of power.

An opposing view is that this definition is too restrictive because it excludes some influence processes that are important for understanding why a leader is effective or ineffective in a given situation. How leadership is defined should not predetermine the answer to the research question of what makes a leader effective. The same outcome can be accomplished with different influence methods, and the same type of influence attempt can result in different outcomes, depending on the nature of the situation. Even people who are forced or manipulated into doing something may become committed to it if they subsequently discover that it really is the best option for them and the organization. The ethical use of power is a legitimate concern for leadership scholars, but it should not limit the definition of leadership or the type of influence processes that are studied.

Purpose of Influence Attempts

Another controversy about which influence attempts are part of leadership involves their purpose and outcome. One viewpoint is that leadership occurs only when people are influenced to do what is ethical and beneficial for the organization and themselves. This definition of leadership does not include influence attempts that are irrelevant or detrimental to followers, such as a leader's attempts to gain personal benefits at the follower's expense.

An opposing view would include all attempts to influence the attitudes and behavior of followers in an organizational context, regardless of the intended purpose or actual beneficiary. Acts of leadership often have multiple motives, and it is seldom possible to determine the extent to which they are selfless rather than selfish. The outcomes of leader actions usually include a mix of costs and benefits, some of which are unintended, making it difficult to infer purpose. Despite good intentions, the actions of a leader are sometimes more detrimental than beneficial for followers. Conversely, actions motivated solely by a leader's personal needs sometimes result in unintended benefits for followers and the organization. Thus, the domain of leadership processes to study should not be limited by the leader's intended purpose.

Influence Based on Reason or Emotions

Most of the leadership definitions listed earlier emphasize rational, cognitive processes. For many years, it was common to view leadership as a process wherein leaders influence followers to believe it is in their best interest to cooperate in achieving a shared task objective. Until the 1980s, few conceptions of leadership recognized the importance of emotions as a basis for influence.

In contrast, some recent conceptions of leadership emphasize the emotional aspects of influence much more than reason. According to this view, only the emotional, value-based aspects of leadership influence can account for the exceptional achievements of groups and organizations. Leaders inspire followers to willingly sacrifice their selfish interests for a higher cause. For example, leaders can motivate soldiers to risk their lives for an important mission or to protect their comrades. The relative importance of rational and emotional processes and how they interact are issues to be resolved by empirical research, and the conceptualization of leadership should not exclude either type of process.

Direct and Indirect Leadership

Most theories about effective leadership focus on behaviors used to directly influence immediate subordinates, but a leader can also influence other people inside the organization, including peers, bosses, and people at lower levels who do not report to the leader. Some theorists make a distinction between direct and indirect forms of leadership to help explain how a leader can influence people when there is no direct interaction with them (Hunt, 1991; Lord & Maher, 1991; Yammarino, 1994).

A chief executive officer (CEO) has many ways to influence people at lower levels in the organization. Direct forms of leadership involve attempts to influence followers when interacting with them or using communication media to send messages to them. Examples include sending memos or reports to employees, sending e-mail and text messages, presenting speeches on television, holding face-to-face or virtual meetings with small groups of employees, and participating in activities involving employees (e.g., attending orientation or training sessions, company picnics). Most of these forms of influence can be classified as direct leadership.

Indirect leadership has been used to describe how a chief executive can influence people at lower levels in the organization who do not interact directly with the leader (Bass, Waldman, Avolio, & Bebb, 1987; Hunter et al., 2013; Mayer, Kuenzi, Greenbaum, Bardes, & Salvador, 2009; Park & Hassan, 2018; Waldman & Yammarino, 1999; Yammarino, 1994). One form of indirect leadership by a CEO is called "cascading." It occurs when the direct influence of the CEO is transmitted down the authority hierarchy of an organization from the CEO to middle managers, to lower-level managers, to regular employees. The influence can involve changes in employee attitudes, beliefs, values, or behaviors. For example, a CEO who sets a good example of ethical and supportive behavior may influence similar behavior by employees at lower levels in the organization.

Another form of indirect leadership involves influence over formal programs, management systems, and structural forms (Hunt, 1991; Lord & Maher, 1991; Yukl & Lepsinger, 2004). Many large organizations have programs or management systems intended to influence the attitudes, skills, behavior, and performance of employees. Examples include programs for recruitment, selection, and promotion of employees. Structural forms and various types of programs can be used to increase control, coordination, efficiency, and innovation. Examples include formal

rules and procedures, specialized subunits, decentralized product divisions, standardized facilities, and self-managed teams. In most organizations only top executives have sufficient authority to implement new programs or change the structural forms (see Chapter 12).

A third form of indirect leadership involves leader influence over the organization culture, which is defined as the shared beliefs and values of members (Day, Griffin, & Louw, 2014; Schein, 1992; Trice & Beyer, 1991). Leaders may attempt either to strengthen existing cultural beliefs and values or to change them. There are many ways for leaders to influence an organization's culture. Some ways involve direct influence (e.g., communicating a compelling vision or leading by example), and some involve forms of indirect influence, such as changing the organizational structure, reward systems, and management programs (see Chapter 12). For example, a CEO can implement programs to recruit, select, and promote people who share the same values (Giberson, Resick, & Dickson, 2005).

The interest in indirect leadership is useful to remind scholars that leadership influence is not limited to the types of observable behavior emphasized in many leadership theories. However, it is important to remember that a simple dichotomy does not capture the complexity involved in these influence processes. Some forms of influence are not easily classified as either direct or indirect leadership. Moreover, direct and indirect forms of influence are not mutually exclusive, and when used together in a consistent way, it is possible to magnify their effects (see Chapter 12).

Leadership or Management

There is a continuing controversy about the difference between leadership and management (Gardner & Schermerhorn, 1992; Kotter, 1990; Zaleznik, 1977). It is obvious that a person can be a leader without being a manager (e.g., an informal leader), and a person can have the job title "manager" with no subordinates to lead. Nobody has proposed that managing and leading are equivalent, but the degree of overlap is a point of sharp disagreement. The most useful perspective is probably to view leadership as one of several managerial roles (Mintzberg, 1973).

Defining managing and leading as distinct roles, processes, or relationships may obscure more than it reveals if it encourages simplistic theories about effective leadership. Most scholars seem to agree that success as a manager or administrator in modern organizations also involves leading. How to integrate the two processes has emerged as a complex and important issue in organizational literature (Yukl & Lepsinger, 2005). The answer will not come from debates about ideal definitions. Questions about what to include in the domain of essential leadership processes should be explored with empirical research, not predetermined by subjective judgments. Whenever feasible, leadership research should be designed to provide information relevant to a wide range of definitions, so that over time it will be possible to compare the utility of different conceptions and arrive at some consensus on the matter.

Our Definition of Leadership

In this book, leadership is defined broadly in a way that takes into account several things that determine the success of a collective effort by members of a group or organization to accomplish meaningful tasks. The following definition is used:

> Leadership is the process of influencing others to understand and agree about what needs to be done and how to do it, and the process of facilitating individual and collective efforts to accomplish shared objectives.

TABLE 1-2 What Leaders Can Influence

- The choice of objectives and strategies to pursue
- The motivation of members to achieve the objectives
- The mutual trust and cooperation of members
- The organization and coordination of work activities
- The allocation of resources to activities and objectives
- The development of member skills and confidence
- The learning and sharing of new knowledge by members
- The enlistment of support and cooperation from outsiders
- The design of formal structure, programs, and systems
- The shared beliefs and values of members

The definition includes efforts not only to influence and facilitate the current work of the group or organization, but also to ensure that it is prepared to meet future challenges. Both direct and indirect forms of influence are included. The influence process may involve only a single leader or it may involve many leaders. Table 1-2 shows the wide variety of ways leaders can influence the effectiveness of a group or organization.

In this book, leadership is treated as both a specialized role and a social influence process. Both rational and emotional processes are viewed as essential aspects of leadership. No assumptions are made about the actual outcome of the influence processes, because the evaluation of outcomes is difficult and subjective. Thus, the definition of leadership is not limited to processes that necessarily result in "successful" outcomes. The focus is clearly on the process, not the person, and the two are not assumed to be equivalent.

The terms leader, manager, and boss are used interchangeably in this book to indicate people who occupy positions in which they are expected to perform the leadership role, but without any assumptions about their actual behavior or success. The terms subordinate and direct report are used interchangeably to denote someone whose primary work activities are directed and evaluated by the focal leader.

Some writers use the term staff as a substitute for subordinate, but this practice creates unnecessary confusion. The term connotes a special type of advisory position, and most subordinates are not staff advisors. Moreover, the term staff is used both as a singular and plural noun, which creates a lot of unnecessary confusion. The term associate has become popular in business organizations as another substitute for subordinate, because it conveys a relationship in which employees are valued and supposedly empowered. However, this vague term fails to differentiate between a direct authority relationship and other types of formal relationships (e.g., peers, partners). To clarify communication, this book continues to use the term subordinate to denote the existence of a formal authority relationship.

The term follower is used to describe a person who acknowledges the focal leader as the primary source of guidance about the work, regardless of how much formal authority the leader actually has over the person. Although the term is often used to describe subordinates, followers may also include people who are not direct reports (e.g., coworkers, team members, partners, outsiders). However, the term is not used to describe members of an organization who completely reject the formal leader and seek to remove the person from office; such people are more appropriately called "rebels" or "insurgents."

Indicators of Leadership Effectiveness

Like definitions of leadership, conceptions of leader effectiveness differ from one writer to another. The criteria selected to evaluate leadership effectiveness reflect a researcher's explicit or implicit conception of good leadership. Most researchers evaluate leadership effectiveness in terms of the consequences of influence on a single individual, a team or group, or an organization.

One very relevant indicator of leadership effectiveness is the extent to which the performance of the team or organization is enhanced and the attainment of goals is facilitated (Bass, 2008; Kaiser, Hogan, & Craig, 2008). Examples of objective measures of performance include sales, net profits, profit margin, market share, return on investment, return on assets, productivity, cost per unit of output, costs in relation to budgeted expenditures, and change in the value of corporate stock. Subjective measures of effectiveness include ratings obtained from the leader's superiors, peers, or subordinates.

Follower attitudes and perceptions of the leader are another common indicator of leader effectiveness, and they are usually measured with questionnaires or interviews. How well does the leader satisfy the needs and expectations of followers? Do they like, respect, and admire the leader? Do they trust the leader and perceive him or her to have high integrity? Are they strongly committed to carrying out the leader's requests, or will they resist, ignore, or subvert them? Does the leader improve the quality of work life, build the self-confidence of followers, increase their skills, and contribute to their psychological growth and development? Follower attitudes, perceptions, and beliefs also provide an indirect indicator of dissatisfaction and hostility toward the leader. Examples of such indicators include absenteeism, voluntary turnover, grievances, complaints to higher management, requests for transfer, work slowdowns, and deliberate sabotage of equipment and facilities.

Leader effectiveness is occasionally measured in terms of the leader's contribution to the quality of group processes, as perceived by followers or by outside observers. Does the leader enhance group cohesiveness, member cooperation, member task commitment, and member confidence that the group can achieve its objectives? Does the leader enhance problem solving and decision making by the group, and help to resolve disagreements and conflicts in a constructive way? Does the leader contribute to the efficiency of role specialization, the organization of activities, the accumulation of resources, and the readiness of the group to deal with change and crises?

A final type of criterion for leadership effectiveness is the extent to which a person has a successful career as a leader. Is the person promoted rapidly to positions of higher authority? Does the person serve a full term in a leadership position, or is he or she removed or forced to resign? For elected positions in organizations, is a leader who seeks reelection successful? It is difficult to evaluate the effectiveness of a leader when there are so many alternative measures of effectiveness, and it is not clear which measure is most relevant. Some researchers attempt to combine several measures into a single, composite criterion, but this approach requires subjective judgments about how to assign a weight to each measure. Multiple criteria are especially troublesome when trade-offs occur among criteria, such that as one increases, others decrease. For example, increasing sales and market share (e.g., by reducing price and increasing advertising) may result in lower profits. Likewise, an increase in production output (e.g., by inducing people to work faster) may reduce product quality or employee satisfaction.

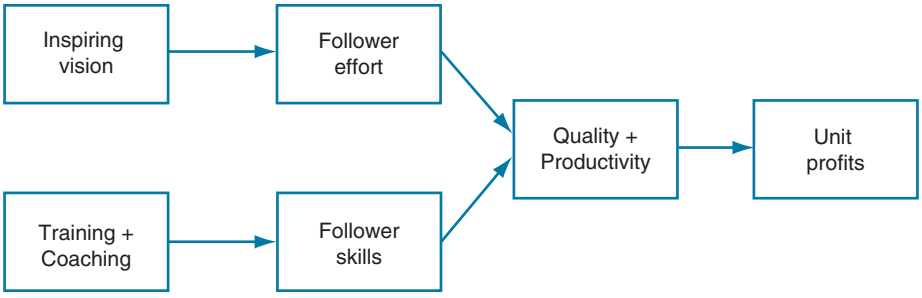

FIGURE 1-1 Causal Chain of Effects from Two Types of Leader Behavior

Immediate and Delayed Outcomes

Some outcomes are more immediate than others. For example, the immediate result of an influence attempt is whether followers are willing to do what the leader asks, but a delayed effect is how well followers actually perform the assignment. The effects of a leader can be viewed as a causal chain of variables, with each mediating variable explaining the effects of the preceding one on the next one. An example is shown in Figure 1-1. Leader training and coaching of a subordinate will improve the person's task skills, and an inspiring vision is likely to increase subordinate task motivation. These changes will jointly improve subordinate performance. The farther along in the causal chain, the longer it takes for the effect to occur. For outcomes at the end of a long causal chain, there may be a considerable delay before the effects of the leader's actions on an individual subordinate, the leader's work unit, or the organizational subunit are evident. The end-result outcomes are more likely to be influenced by other variables that are not measured. When the delay is long and there is considerable "contamination" of end-result criteria by extraneous events, then these criteria may be less useful for assessing leadership effectiveness than more immediate outcomes.

In many cases, a leader has both immediate and delayed effects on the same criterion. The two types of effects may be consistent or inconsistent. When they are inconsistent, the immediate outcome may be very different from the delayed outcomes. For example, profits may be increased in the short run by eliminating costly activities that have a delayed effect on profits, such as equipment maintenance, research and development, investments in new technology, and employee skill training. In the long run, the net effect of cutting these essential activities is likely to be lower profits because the negative consequences slowly increase and eventually outweigh any benefits. The opposite effect can also occur: increased investment in these activities is likely to reduce immediate profits but increase long-term profits.

What Criteria to Use

There is no simple answer to the question of how to evaluate leadership effectiveness. The selection of appropriate criteria depends on the objectives and values of the person making the evaluation, and people have different values. For example, top management may prefer different criteria than other employees, customers, or shareholders. To cope with the problems of incompatible criteria, delayed effects, and the preferences of different stakeholders, it is usually best to include a variety of criteria in research on leadership effectiveness and to examine the impact of

the leader on each criterion over an extended period of time. Multiple conceptions of effectiveness, like multiple conceptions of leadership, serve to broaden our perspective and enlarge the scope of inquiry.

Research Methods for Studying Leadership Effectiveness

Over time, a wide variety of research methods have been developed to study leadership effectiveness (Antonakis et al., 2004). The most common method is the use of survey research with questionnaires filled out by the leaders themselves or by subordinates and other people who interact with the leader, such as a leader's boss or other managers in the organization. The questionnaires usually measure how much a leader uses different types of behavior, and researchers examine how a leader's pattern of behavior is related to measures of outcomes influenced by the leader, such as subordinate satisfaction, task commitment, and performance.

Another type of study uses descriptions of leader actions and decisions obtained from observation, diaries, critical incidents, or interviews with leaders and their subordinates or followers. The behavior descriptions are coded into categories and related to measures of leadership effectiveness. Case studies and biographies of famous leaders can also be content analyzed to identify behaviors used by effective and ineffective leaders.

A third type of study involves the use of experiments in which the researchers assess the effects of different patterns of leader behavior on group processes and outcomes. Sometimes the studies (called "lab experiments") involve temporary task groups of students with a leader instructed to use the type of behavior being studied. Sometimes the researchers use a scenario method that has participants read incidents or view videos that each show a different pattern of leader behavior, and then participants indicate how they would likely respond to each type of leader. Field experiments involve actual leaders who are randomly assigned to different treatment conditions. Leaders in the "experimental group" are trained or otherwise influenced to use specific types of behavior, and these leaders are compared to the untrained leaders in a "control group" on measures of leadership effectiveness. Leader behavior and effectiveness are usually measured before the intervention (the "premeasures") and at an appropriate time after the intervention (the "postmeasures") to verify that the desired changes were achieved and undesired changes did not occur. Since being selected to participate in the intervention can influence a person's attitudes and behavior, the control group sometimes includes a placebo treatment such as training that is not directly related to the outcomes. When it is not feasible to have a control group or placebo condition, some quasi-experimental field studies use only one group of leaders and compare their effectiveness before and after the manipulation or intervention.

In recent years, leadership researchers have begun to make more use of new methods that can provide novel insights into how and why leaders emerge and exert influence (Jacquart, Cole, Gabriel, Koopman, & Rosen, 2018; Schyns, Hall, & Neves, 2017). One type of study examines social networks within organizations to determine which individuals exert influence and leadership within the network. Other studies use implicit measures to tap into automatic cognitive processes that people use without conscious awareness to describe leaders by using broad classifications such as charismatic, authentic, ethical, and empowering. Another stream of research uses biosensor methods that combine biology (e.g., genetic assessments of DNA),

chemistry (e.g., drawing blood to examine chemical markers), and technology (e.g., neuroimaging using MRI) to identify the physical and psychological mechanisms that underlie leader traits and behaviors, follower reactions to leaders, and the development of leader–follower relationships. Yet another cutting-edge line of research employs behavioral genetics approaches such as studies that compare the attributes of identical twins who were raised apart, or fraternal twins who were raised together, to determine the relative influence of genetic ("nature") versus environmental ("nurture") forces on leadership emergence and effectiveness. Still another emerging field of inquiry focuses on what we can learn about leadership from people's reactions to leaders' facial expressions.

Each type of method for studying leadership has advantages and limitations, and the most appropriate method depends in part on the research question. The use of multiple methods is highly recommended to minimize the limitations of a single method. Unfortunately, multimethod studies are very rare. It is more common for researchers to select a method that is familiar, well accepted, and easy to use rather than determining the most appropriate method for the research question.

Major Perspectives in Leadership Theory and Research

The attraction of leadership as a subject of research and the many different conceptions of leadership have created a vast and bewildering literature. Attempts to organize the literature according to major approaches or perspectives show only partial success. One of the more useful ways to classify leadership theory and research is according to the type of variable that is emphasized the most. Three types of variables that are relevant for understanding leadership effectiveness include (1) characteristics of leaders, (2) characteristics of followers, and (3) characteristics of the situation. Examples of key variables within each category are shown in Table 1-3. Figure 1-2 depicts likely causal relationships among the variables.

Most leadership theories emphasize one category more than the others as the primary basis for explaining effective leadership, and leader characteristics have been emphasized most often over the past half-century. Another common practice is to limit the focus to one type of leader characteristic, namely traits, behavior, or power. To be consistent with most of the leadership literature, the theories and empirical research reviewed in this book are classified into the following five approaches: (1) the trait approach, (2) the behavior approach, (3) the power-influence approach, (4) the situational approach, and (5) the values-based approach, although some theories and research involve more than one approach.

Trait Approach

One of the earliest approaches for studying leadership was the trait approach. This approach emphasizes attributes of leaders such as personality, motives, values, and skills. Underlying this approach was the assumption that some people are natural leaders, endowed with certain traits not possessed by other people. Early leadership theories attributed managerial success to extraordinary abilities such as tireless energy, penetrating intuition, uncanny foresight, and irresistible persuasive powers. Hundreds of trait studies conducted during the 1930s and 1940s sought to discover these elusive qualities. The predominant research method was to look for a significant correlation between individual leader attributes and a criterion of leader success without examining any explanatory processes. This research failed to find any traits that would

TABLE 1-3 Key Variables in Leadership Theories

Characteristics of the Leader

- Traits (motives, personality)
- Values, integrity, and moral development
- Confidence and optimism
- Skills and expertise
- Leadership behavior
- Influence tactics
- Attributions about followers
- Affect (e.g., emotions and moods) and affective displays
- Mental models (beliefs and assumptions)

Characteristics of the Followers

- Traits (needs, values, self-concepts)
- Confidence and optimism
- Skills and expertise
- Attributions about the leader
- Identification with the leader
- Affect (e.g., emotions and moods) and affective displays
- Task commitment and effort
- Satisfaction with job and leader
- Cooperation and mutual trust

Characteristics of the Situation

- Type of organizational unit
- Size of organizational unit
- Position power and authority of leader
- Task structure and complexity
- Organizational culture
- Environmental uncertainty and change
- External dependencies and constraints
- National cultural values
- Temporal factors

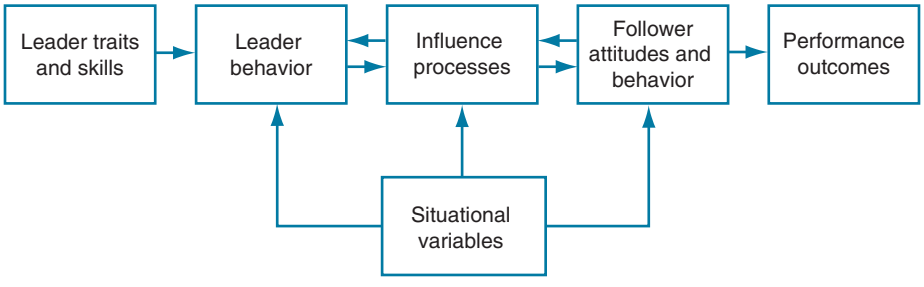

FIGURE 1-2 Causal Relationships Among the Primary Types of Leadership Variables

guarantee leadership success. However, as evidence from better designed research slowly accumulated over the years, researchers made progress in discovering how leader attributes are related to leadership behavior and effectiveness.

Behavior Approach

The behavior approach began in the early 1950s after many researchers became discouraged with the trait approach and began to pay closer attention to what managers actually do on the job. After identifying observable types of leader behavior, these behaviors were related to measures of outcomes such as the performance of the leader's group or work unit. Most behavior studies examined only one or two broadly defined categories of leader behavior, but the failure to find strong, consistent results encouraged more research on specific types of leader behavior. For example, instead of focusing on task-oriented behavior, the researcher could examine specific types of task-oriented behavior (e.g., clarifying, planning, monitoring, problem solving).

The most common research method in the behavior approach has been a survey field study with a behavior description questionnaire filled out by each leader or by subordinates of each leader. Hundreds of survey studies examined how the leadership behaviors are related to indicators of leadership effectiveness, such as subordinate satisfaction, task commitment, and performance. A much smaller number of studies used laboratory experiments, field experiments, or critical incidents to determine how effective leaders differ in behavior from ineffective leaders.

Power-Influence Approach

This line of research seeks to explain leadership effectiveness in terms of the amount and type of power possessed by a leader and how power is exercised. Power is viewed as important not only for influencing subordinates, but also for influencing peers, superiors, and people outside the organization, such as clients and suppliers. The favorite research method has been the use of survey questionnaires to relate leader power to various measures of leadership effectiveness.

Research on influence behavior has been used to determine how leaders influence followers and other people whose cooperation and support are needed by a leader. The study of influence tactics can be viewed as a bridge linking the power-influence approach and the behavior approach. The use of different influence tactics is compared in terms of their relative effectiveness for getting people to do what the leader wants. The research has used several different methods, including survey studies, influence incidents, lab experiments, and field experiments.

Situational Approach

The situational approach emphasizes the importance of contextual factors that influence leader behavior and how it influences outcomes such as subordinate satisfaction and performance. Major situational variables include the characteristics of followers, the nature of the work performed by the leader's unit, the type of organization, and the nature of the external environment. One line of research is an attempt to discover the extent to which aspects of the leadership situation influence leader behavior. The primary research method is a comparative study of leaders in different situations, and several methods have been used to measure leader behavior. The other type of situational research attempts to identify aspects of the situation that determine which leader traits, skills, or behaviors are most likely to enhance leadership effectiveness. The assumption is that the optimal pattern of leader behavior will depend on aspects of the situation. Theories describing this relationship are sometimes called "contingency theories" of leadership. Most of the contingency theories involve leader behavior, but a few involve leader traits and skills.

Values-Based Approach

Values-based approaches to leadership differ from the previously discussed approaches in that they highlight the importance of deeply held leader values that appeal to and influence followers. While there are differences in the points that they emphasize, theories of ethical leadership, authentic leadership, servant leadership, and spiritual leadership, all view leader values as the foundation for the leader's goals and behaviors and their impact on followers. That is, followers are often drawn to and identify with a leader because they share the leader's expressed values, or they see the leader as a person of character who they admire and they emulate the leader's values and behavior.

Some leadership approaches emphasize leader and follower values as well as leader behavior. Examples include charismatic and transformational leadership. Central to these theories is the notion that the leaders inspire and motivate followers to pursue an idealized vision involving their shared values.

Level of Conceptualization for Leadership Theories

Another way to classify leadership theories is in terms of the "level of conceptualization" used to describe a leader's influence on others. Leadership can be described as (1) an intra-individual process for leaders, (2) a dyadic process involving leader interaction with one subordinate, (3) a group process, or (4) an organizational process. The levels can be viewed as a hierarchy, as depicted in Figure 1-3. What level is emphasized will depend on the primary research question, the type of criterion variables used to evaluate leadership effectiveness, and the type of mediating processes used to explain leadership influence. Typical research questions for each level are listed in Table 1-4. The four levels of conceptualization, and their relative advantages and disadvantages, are described next.

Intra-Individual Processes

A number of scholars have used psychological theories of personality traits, values, skills, motives, cognitions, and emotions to explain the decisions and behavior of an individual leader. Examples can be found in theories about the leader attributes essential for different types

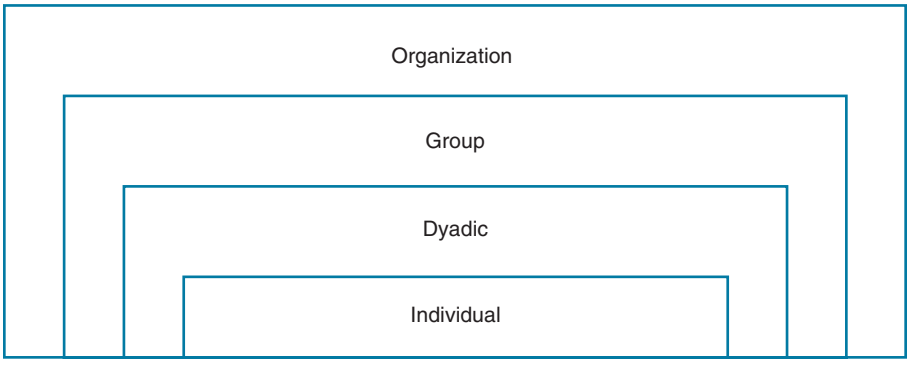

FIGURE 1-3 Levels of Conceptualization for Leadership Processes

TABLE 1-4 Research Questions at Different Levels of Conceptualization

Intra-Individual Theories

- How leader traits and values influence leadership behavior
- How leader skills are related to leader behavior
- How leaders make decisions
- How leaders manage their time
- How leaders are influenced by role expectations and constraints
- How leaders react to feedback and learn from experience
- How leaders experience and display affect (e.g., emotions and moods)
- How leaders form leadership identities
- How leaders can use self-development techniques

Dyadic Theories

- How a leader influences subordinate motivation and task commitment
- How a leader facilitates the work of a subordinate
- How a leader interprets information about a subordinate
- How a leader develops a subordinate's skills and confidence
- How a leader influences subordinate loyalty and trust
- How a leader uses influence tactics with a subordinate, peer, or boss
- How a leader and a subordinate influence each other
- How a leader develops a cooperative exchange relationship with a subordinate
- How a leader influences a follower to identify with the leader
- How a leader elicits and impacts follower emotions and vice versa

Group-Level Theories

- How different leader–member relations affect each other and team performance
- How leadership is shared in the group or team
- How leaders organize and coordinate the activities of team members
- How leaders influence cooperation and resolve disagreements in the team or unit
- How leaders influence collective efficacy and optimism for the team or unit
- How leaders influence collective learning and innovation in the team or unit
- How leaders influence collective identification of members with the team or unit
- How leaders influence the shared mental models of team members
- How unit leaders obtain resources and support from the organization and other units

Organizational-Level Theories

- How top executives influence members at other levels
- How leaders are selected at each level (and implications of process for the firm)
- How leaders influence organizational culture
- How leaders influence the efficiency and the cost of internal operations
- How leaders influence human relations and human capital in the organization
- How leaders make decisions about competitive strategy and external initiatives
- How conflicts among leaders are resolved in an organization
- How leaders influence innovation and major change in an organization

of leadership positions (see Chapter 7). Individual traits and skills are also used to explain a person's motivation to seek power and positions of authority (see Chapter 7), and individual values are used to explain ethical leadership and the altruistic use of power (see Chapter 9). Knowledge of leader attributes provides helpful insights for developing better theories of effective leadership.

However, the potential contribution of the intra-individual approach to leadership is limited, because it does not explicitly describe and explain how leaders influence subordinates, peers, bosses, and outsiders.

Dyadic Processes

The dyadic approach focuses on the relationship between a leader and another individual who is usually a subordinate. The need to influence direct reports is shared by leaders at all levels of authority from chief executives to department managers and work crew supervisors. The explanation of leader influence is usually in terms of how the leader causes the subordinate to be more motivated and more capable of accomplishing task assignments. These theories usually focus on leadership behavior as the source of influence over the attitudes, beliefs, feelings, motivation, and behavior of an individual subordinate. Reciprocal influence may be included in the theory, but subordinate influence over the leader is usually much less important than leader influence over the subordinate.

An example of a dyadic leadership theory is the leader–member exchange (LMX) theory described in Chapter 10, which describes how dyadic relationships evolve over time and take different forms, ranging from a casual exchange to a cooperative alliance with shared objectives and mutual trust. Although the LMX theory recognizes that the leader has multiple dyadic relationships, the focus is clearly on what happens within a single relationship. Much of the research on power and influence tactics (see Chapter 6) is also conceptualized in terms of dyadic processes.

Since real leaders seldom have only a single subordinate, some assumptions are necessary to make dyadic explanations relevant for explaining a leader's influence on the performance of a group or work unit. One assumption is that subordinates have work roles that are similar and independent. Subordinates may not be homogeneous with regard to skills and motives, but they have similar jobs. There is little potential for subordinates to affect each other's job performance, and group performance is the sum of the performances by individuals. An example of minimum interdependence is a district sales unit in which sales representatives work separately and independently of each other and sell the same product in different locations or to different customers. However, when there is high interdependence among group members, a group-level theory can better explain how leadership can influence overall group performance.

The dyadic theories do not include some of the leadership behaviors that are necessary to facilitate collective performance by a team or organization. Moreover, some of the dyadic behaviors that are effective in terms of dyadic influence will not be effective with regard to team performance or organizational performance. For example, attempts to develop a closer relationship with one subordinate (e.g., by providing more benefits) may create perceptions of inequity by other subordinates. Efforts to empower individual subordinates may create problems in achieving coordination among subordinates with interdependent jobs. The extra time needed by a leader to maximize performance by an individual subordinate (e.g., providing intensive coaching) may be more effectively used to deal with problems that involve the team or work group (e.g., obtaining necessary resources, facilitating cooperation and coordination).

Group Processes

When effective leadership is viewed from a group-level perspective, the focus is on the influence of leaders on collective processes that determine team performance. The explanatory influence processes include determinants of group effectiveness that can be influenced

by leaders, and they usually involve all members of a group or team, not only a single subordinate. Examples of these collective explanatory processes include how well the work is organized to utilize personnel and resources, how committed members are to perform their work roles effectively, how confident members are that the task can be accomplished successfully, and the extent to which members trust each other and cooperate in accomplishing task objectives. Behavioral theories describing leadership processes in various types of groups and teams are discussed in Chapter 11, and leadership in executive teams is discussed in Chapter 12.

The leadership behaviors identified in dyadic theories are still relevant for leadership in teams, but other behaviors are also important. The focus is on behaviors used by a leader to influence group processes. Behaviors used to influence people outside the leader's work unit are also examined, but the focus is on the implications for the work unit, not for effects on other groups or the parent organization, which may not be positive ones. For example, getting more resources may enhance performance by the leader's department but harm the performance by another department for which the resources were critical. A group usually exists in a larger social system, and its effectiveness cannot be understood if the focus of the research is limited to the group's internal processes.

Organizational Processes

The organizational level of analysis describes leadership as a process that occurs in a larger "open system" in which groups are subsystems (Davison, Hollenbeck, Barnes, Sleesman, & Ilgen, 2012; Fleishman et al., 1991; Katz & Kahn, 1978; Mumford, 1986; Murase, Carter, DeChurch, & Marks, 2014). The survival and prosperity of an organization depend on adaptation to the environment and the acquisition of necessary resources. Some examples of leadership behaviors relevant for successful adaptation include gathering and interpreting information about the environment, identifying threats and opportunities, developing an effective strategy, negotiating favorable agreements for the organization, influencing outsiders to have a favorable impression of the organization and its products, and gaining cooperation and support from outsiders upon whom the organization is dependent. Survival and prosperity also depend on the efficiency of the transformation process used by the organization to produce its products and services. Efficiency is increased by finding more rational ways to organize and perform the work, and by deciding how to make the best use of available technology, resources, and personnel. Some examples of leadership responsibilities include designing an appropriate organizational structure, determining authority relationships, and coordinating operations across specialized subunits of the organization. All of these aspects of "strategic leadership" are discussed in Chapter 12.

As compared to dyadic or group-level theories of leadership, organization-level theories usually provide a better explanation of financial performance by an organization. Distributed leadership is less likely to be ignored in an organization-level theory, because it is obvious that an organization has many designated leaders whose actions must be coordinated. Management practices and systems (e.g., human resource management, operations management, strategic management) are also ignored or downplayed in dyadic and team leadership theories, but in theories of organizational leadership the need to integrate leading and managing is more obvious (Yukl & Lepsinger, 2004). More attention is given to subjects such as organizational structure and culture, organizational change, executive succession, and influence processes between the CEO and the top management team or board of directors.

Multi-level Theories

Multi-level theories include constructs from more than one level of explanation (Klein, Dansereau, & Hall, 1994; Rousseau, 1985). For example, the independent and dependent variables are at the same level of conceptualization, but moderator variables are at a different level. An even more complex type of multi-level theory may include leader influence on explanatory processes at more than one level and reciprocal causality among some of the variables. Multi-level theories of effective leadership provide a way to overcome the limitations of single-level theories, but it is very difficult to develop a multi-level theory that is parsimonious and easy to apply. The level of conceptualization has implications for the measures and methods of analysis used to test a theory, and multi-level theories are usually more difficult to test than single-level theories (Yammarino, Dionne, Chun, & Dansereau, 2005; Yammarino & Gooty, 2017). Despite the difficulties, there is growing interest in developing and testing multi-level theories of leadership. Efforts to develop multi-level theories, similarities in explanatory processes at different levels, and approaches for multi-level analysis are described in Chapter 15.

Other Bases for Comparing Leadership Theories

Key variables and level of conceptualization are not the only ways to compare leadership theories. This section briefly describes three other types of distinctions commonly used in the leadership literature: (1) leader-centered versus follower-centered theory, (2) universal versus contingency theory, and (3) descriptive versus prescriptive theory. Each type of distinction is better viewed as a continuum along which a theory can be located, rather than as a sharp dichotomy. For example, it is possible for a theory to have some descriptive elements as well as some prescriptive elements, some universal elements as well as some contingency elements, and an equal focus on leaders and followers.

Leader-Centered or Follower-Centered Theory

The extent to which a theory is focused on either the leader or followers is another useful way to classify leadership theories. Most leadership theories emphasize the characteristics and actions of the leader without much concern for follower characteristics. The leader focus is strongest in theory and research that identifies traits, skills, or behaviors that contribute to leader effectiveness. Most of the contingency theories (in Chapter 3) also emphasize leader characteristics more than follower characteristics.

Only a small amount of research and theory has emphasized follower characteristics. Empowerment theory describes how followers view their ability to influence important events (see Chapter 4). Attribution theory describes how followers view a leader's influence on events and outcomes (see Chapter 10), and other theories in the same chapter explain how followers can actively influence their work role and relationship with the leader, rather than being passive recipients of leader influence. The leader substitutes theory (see Chapter 3) describes aspects of the situation and follower attributes that make a hierarchical leader less important. The emotional contagion theory of charisma (see Chapter 8) describes how followers influence each other. Finally, theories of self-managed groups emphasize sharing of leadership functions among the members of a group; in this approach, the followers are also the leaders (see Chapter 11).

Theories that focus almost exclusively on either the leader or the follower are less useful than theories that offer a more balanced explanation. For example, most theories of leader power (Chapter 6) emphasize that influence over followers depends on follower perceptions of the leader as well as on objective conditions and the leader's influence behavior.

Descriptive or Prescriptive Theory

Another important distinction among leadership theories is the extent to which they are descriptive or prescriptive. Descriptive theories explain leadership processes, describe the typical activities of leaders, and explain why certain behaviors occur in particular situations. Prescriptive theories specify what leaders must do to become effective, and they identify any necessary conditions for using a particular type of behavior effectively.

The two perspectives are not mutually exclusive, and a theory can have both types of elements. For example, a theory that explains why a particular pattern of behavior is typical for leaders (descriptive) may also explain which aspects of behavior are most effective (prescriptive). However, the two perspectives are not always consistent. For example, the typical pattern of behavior for leaders is not always the optimal one. A prescriptive theory is especially useful when a wide discrepancy exists between what leaders typically do and what they should do to be most effective.

Universal or Contingency Theory

A universal theory describes some aspect of leadership that applies to all types of situations, and the theory can be either descriptive or prescriptive. A descriptive universal theory may describe typical functions performed to some extent by all types of leaders, whereas a prescriptive universal theory may specify functions all leaders must perform to be effective.

A contingency theory describes some aspects of leadership that apply to some situations but not to others, and these theories can also be either descriptive or prescriptive. A descriptive contingency theory may explain how leader behavior varies from one situation to another, whereas a prescriptive contingency theory describes effective behavior in a specific situation.

The distinction between universal and contingency theories is a matter of degree, not a sharp dichotomy. Some theories include both universal and situational aspects. For example, a prescriptive theory may specify that a particular type of leadership is always relevant but is more effective in some situations than in others. Even when a leadership theory is initially proposed as a universal theory, limiting and facilitating conditions are usually found in later research on the theory.

Organization of the Book

The diversity and complexity of the relevant literature make it difficult to organize a survey book on leadership. No single way of classifying the literature captures all of the important distinctions. The basis for organizing chapters in this edition of the book involves the type of leadership variable, the leadership context, and the amount and scope of the available theory and research on each subject. Some chapters focus on a type of leadership variable that has been studied extensively, such as task-oriented and relations-oriented behavior (Chapter 2), leader decision behavior (Chapter 4), change-oriented leader behavior (Chapter 5), charismatic and transformational leadership (Chapter 8), leader use of power and influence tactics

(Chapter 6), and leader traits, skills, and values (Chapters 7 and 9). Some chapters deal with special contexts for leadership, such as dyadic relations with individual followers (Chapter 10), leadership of teams and task groups (Chapter 11), strategic leadership of organizations (Chapter 12), and leadership in different cultures (Chapter 13). Ways for developing leaders are described in Chapter 14, and the final chapter (Chapter 15) provides an overview and summary of major findings about effective leadership and some concluding ideas about the essence of leadership.

Summary

Leadership has been defined in many different ways, but most definitions share the assumption that it involves an influence process for facilitating the performance of a collective task. Otherwise, the definitions differ in many respects, such as who exerts the influence, the intended beneficiary of the influence, the manner in which the influence is exerted, and the outcome of the influence attempt. Some theorists advocate treating leading and managing as separate roles or processes, but the proposed definitions do not resolve important questions about the scope of each process and how they are interrelated. No single, "correct" definition of leadership covers all situations. What matters most is how useful the definition is for increasing our understanding of effective leadership.

Most researchers evaluate leadership effectiveness in terms of the consequences for followers and other organization stakeholders, but the choice of outcome variables has differed considerably from researcher to researcher. Criteria differ in many important respects, including how immediate they are, and whether they have subjective or objective measures. When evaluating leadership effectiveness, multiple criteria should be considered to deal with these complexities and the different preferences of various stakeholders.

Leadership has been studied in different ways, depending on the researcher's methodological preferences and definition of leadership. The various methods all have limitations, and a multi-method approach is more likely to yield accurate results. Most researchers deal only with a narrow aspect of leadership, and most empirical studies fall into distinct lines of research such as the trait, behavior, power, value-based, and situational approaches. In recent years, there has been an increased effort to cut across and integrate these diverse approaches.

Level of analysis is another basis for classifying leadership theory and research. The levels include intra-individual, dyadic, group, and organizational. Each level provides some unique insights, but more research is needed on group and organizational processes, and more integration across levels is needed.

Another basis for differentiating theories is the relative focus on leader or follower. For many years, the research focused on leader characteristics and followers were studied only as the object of leader influence. A more balanced approach is needed, and some progress is being made in that direction.

Leadership theories can be classified as prescriptive versus descriptive, according to the emphasis on "what should be" rather than on "what occurs now." A final basis for differentiation (universal versus contingency) is the extent to which a theory describes leadership processes and relationships that are similar in all situations or that vary in specified ways across situations. Because the requirements for effective leadership are highly dependent on the leadership situation, and flexible leadership is needed to adapt to changing situations, more development and testing of contingency theories are desirable.

Review and Discussion Questions

1. What are some similarities and differences in the way leadership has been defined?
2. Why is it so difficult to measure leadership effectiveness?
3. What different criteria have been used to evaluate leadership effectiveness?
4. What different research methods have been used to study effective leadership?
5. Compare descriptive and prescriptive theories of leadership, and explain why both types of theory are useful.
6. Compare universal and contingency theories. Is it possible to have a theory with both universal and contingent aspects?

Key Terms

behavior approach
contingency theory
criteria of leadership effectiveness
descriptive theory
dyadic processes
follower-centered theory
leader-centered theory
level of conceptualization
mediating variable
power-influence approach
prescriptive theory
situational approach
trait approach
universal theory
values-based approach

Chapter 2 Leadership Behavior

Learning Objectives

After studying this chapter, you should be able to:

- Understand the different ways leader behavior has been described and examined.
- Understand the major types of leader behavior in leadership theory and research.
- Understand why task and relations behaviors are both important for leadership.
- Understand how specific types of task and relations behavior can be used effectively.

Introduction

The most frequently examined aspect of leadership is the type of behavior used by a leader in interactions with subordinates and other people. A major problem in research on the content of leadership behavior has been the identification of behavior categories that are relevant and meaningful for all leaders. The past half century of research has produced a bewildering variety of behavior concepts pertaining to managers and leaders. Sometimes different terms are used to refer to the same type of behavior. At other times, the same term is defined differently by various theorists. What is treated as a general behavior category by one theorist is viewed as two or three distinct categories by another theorist. What is a key behavior in one taxonomy may be missing in some other taxonomies. With so many divergent taxonomies, it is difficult to translate from one set of behaviors to another.

The chapter begins by explaining why there is so much diversity is leader behavior taxonomies. Next is a brief description of several broadly defined behaviors that have been used in much of the leadership research over the past half century. The final part of the chapter describes some specific types of task and relations behaviors that are important for effective leadership, with guidelines for using the behaviors. Other types of leadership behavior are described in later chapters of the book.

Reasons for Diverse Taxonomies of Leadership Behavior

There are several reasons why taxonomies developed to describe leadership behavior are so diverse. Behavior categories are abstractions rather than tangible attributes of the real world. The categories are derived from observed behavior in order to organize perceptions of

the world and make them meaningful, but they do not exist in any objective sense. No absolute set of "correct" behavior categories can be established. Thus, taxonomies that differ in purpose can be expected to have somewhat different constructs. For example, taxonomies designed to facilitate research and theory on effective leadership behaviors differ from taxonomies designed to describe managerial roles, activities, or position responsibilities. Taxonomies of behaviors for leaders of small teams are not identical to taxonomies for top executives of large organizations.

Another source of diversity among taxonomies, even for those with the same purpose, is the possibility that behavior constructs can be formulated at different levels of abstraction or generality. For example, task-oriented behavior is a broad construct, whereas planning and clarifying are specific types of task-oriented behaviors. The scope of behavior taxonomies also differs. Some taxonomies attempt to include all relevant aspects of leader behavior, whereas other taxonomies focus on one aspect of behavior, such as specific procedures for making decisions.

A third source of diversity among behavior taxonomies is the method used to develop them. Some taxonomies are developed by examining the pattern of relationships among items on a behavior description questionnaire describing actual managers (e.g., with factor analysis). Some taxonomies are developed by having judges group behavior examples according to perceived similarity in content or purpose (judgmental classification). Some taxonomies are developed by deduction from a leadership theory (theoretical-deductive approach). Each method has its own biases and limitations, and the use of different methods results in somewhat different taxonomies, even when the purpose is the same. When different taxonomies are compared, it is obvious that there are substantial differences in the number of behaviors, the range of behaviors, and the level of abstraction of the behavior concepts. Some taxonomies have only a few broad behaviors, some have only specific behaviors, and some (called a "hierarchical taxonomy") have two or more broad behaviors with specific component behaviors for each broad behavior. Some taxonomies are intended to cover the full range of leader behaviors, whereas others only include the behaviors identified in a leadership theory.

Some Important Types of Leadership Behavior

Most of the theories and research on effective leadership behavior have involved one or two broadly defined behaviors. This section of the chapter briefly describes several of the broad behaviors that have been examined extensively in leadership research during the past half century, including task-oriented and relations-oriented behavior, change-oriented behavior, transformational leadership, empowering leadership, external behavior, and proactive influence tactics. A more detailed explanation of each behavior and guidelines for using it are provided later in this chapter or in other chapters.

Task-Oriented and Relations-Oriented Behaviors

Much of the early theory and research on effective leadership behavior involved broadly defined task-oriented and relations-oriented behaviors. Task-oriented behavior is primarily concerned with accomplishing the task in an efficient and reliable way. Relations-oriented behavior is primarily concerned with increasing mutual trust, cooperation, job satisfaction, and identification with the team or organization. Different labels that have been used to describe task-oriented and relations-oriented behavior are shown in Table 2-1.

TABLE 2-1 Similar Broadly Defined Behaviors in Early Leadership Research

Task-Oriented	Relations-Oriented	Source
Initiating Structure	Consideration	Fleishman (1953); Halpin & Winer (1957)
Concern for Production	Concern for People	Blake & Mouton (1964)
Instrumental Leadership	Supportive Leadership	House (1971)
Goal Emphasis; Work Facilitation	Supportive Leadership Interaction Facilitation	Bowers & Seashore (1966) Taylor & Bowers (1972)
Performance Behavior	Maintenance Behavior	Misumi & Peterson (1985)

The task-oriented categories usually include specific behaviors such as clarifying work roles and task objectives, assigning specific tasks to subordinates, planning activities and tasks for the work group, and monitoring performance by subordinates. However, the definition for the two broad behaviors varies somewhat for different scholars, and the definitions sometimes include other types of specific behaviors. For example, a task-oriented behavior may include solving operational problems, and a relations-oriented behavior may include involving subordinates in making decisions affecting them. Moreover, some specific behaviors can be useful for improving more than one type of objective (e.g., task performance and relationships).

Scholars have reviewed and analyzed the results from the large number of studies on task-oriented and relations-oriented behaviors (e.g., Behrendt, Matz, & Göritz, 2017; Gottfredson & Aguinis, 2017; Judge, Piccolo, & Illies, 2004), but interpretation of overall results for the two broad types of behavior was made difficult by differences among studies in the behavior measures, types of criteria, and research methods that were used. Most studies found that subordinates were more satisfied with a leader who was considerate and supportive, although the relationship was weaker when the measures of behavior and satisfaction were not from the same source. Leader task-oriented behavior was not consistently related to subordinate satisfaction. In some studies, subordinates were more satisfied with a structuring leader, but in other studies they were less satisfied or there was no significant effect on satisfaction. Results are also inconsistent for studies on how the two broad behaviors are related to indicators of effective leadership. The findings suggest that all leaders need to use some task-oriented and relations-oriented behaviors, but the effects depend on the leader's ability to identify and use specific component behaviors that are relevant for the leadership situation. A detailed description of specific task-oriented and relations-oriented behaviors and guidelines for their use is presented later in the chapter.

Change-Oriented Behaviors

The early leadership theory and research paid little attention to behaviors directly concerned with encouraging and facilitating change. In the 1980s, some change-oriented behaviors were included in theories of charismatic and transformational leadership (see Chapter 8), but leading change was still not explicitly recognized as a type of behavior that is distinct from task-oriented and relations-oriented behaviors. Evidence for a distinct change-oriented category was found in later research (Anzengruber, Goetz, Nold, & Woelfle, 2017; Ekvall & Arvonen, 1991; Yukl, 1997, 1999a; Yukl, Gordon, & Taber, 2002). Four specific types of change-oriented

behaviors include communicating an appealing vision of what could be changed, proposing specific changes, implementing a change, and encouraging innovation. Change leadership is discussed in Chapter 5.

Empowering and Participative Leadership

Another behavior category identified in the early leadership research involves decision-making procedures that a leader can use to involve others such as subordinates or team members in decisions about the work. Terms used to describe the frequent use of such procedures with subordinates include participative leadership, empowering leadership, and democratic leadership. Specific types of empowering decision procedures include consultation, joint decisions, and delegation. The frequent use of these decision procedures may reflect a strong concern for relations objectives such as subordinate commitment and development, as well as for task objectives such as decision quality. Some of the research on empowering leadership includes other types of leader behaviors in addition to decision procedures (e.g., sharing information, providing resources). Participative and empowering leadership is discussed in Chapter 4.

Transformational Leadership

Another broadly defined leader behavior that was identified in the 1980s is usually called transformational leadership (Bass, 1985), although other terms for it include visionary leadership and inspirational leadership. The component behaviors vary for different theories, but they usually include a few relations-oriented behaviors such as supporting and developing, a few change-oriented behaviors such as articulating an appealing vision and encouraging innovative thinking, and a few other behaviors (e.g., leading by example, talking about personal values, making self-sacrifices for the team or organization). Some of these behaviors are also described in theories of charismatic leadership. Theories and research involving transformational and charismatic leadership are described in Chapter 8.

External Leadership Behaviors

Most of the theories and research on leader behavior only involve behavior used in interactions with subordinates, but many leaders must also interact with other people in the same organization, such as bosses and people in other subunits, and with people outside their organization, such as customers, clients, suppliers, subcontractors, government officials, important people in the community, and managers from other organizations (Kotter, 1982). These interactions reflect the need for information about complex and uncertain events that influence subunit operations and depend on the cooperation and assistance of numerous people outside the immediate chain of command. Three distinct and broadly defined categories of external behavior are networking, external monitoring, and representing (Hassan, Prussia, Mahsud, & Yukl, 2018; Luthans & Lockwood, 1984; Stogdill, Goode, & Day, 1962; Yukl et al., 2002; Yukl & Van Fleet, 1982; Yukl, Wall, & Lepsinger, 1990).

Networking involves building and maintaining favorable relationships with peers, superiors, and outsiders who can provide desired information, resources, and political support. The behavior category includes attending professional conferences and ceremonies, joining social networks, socializing informally with people outside the leader's work unit, doing favors for peers or outsiders, and using impression management tactics such as ingratiation.

External monitoring includes collecting information about relevant events and changes in the external environment, identifying threats and opportunities for the leader's group or organization, and identifying best practices that can be imitated or adapted. The external monitoring may involve using a leader's network of contacts, studying relevant publications and industry reports, conducting market research, and studying the decisions and actions of competitors and opponents.

Representing includes lobbying for resources and assistance from superiors, promoting and defending the reputation of the leader's group or organization, negotiating agreements with peers and outsiders such as clients and suppliers, and using political tactics to influence decisions made by superiors or governmental agencies. The types and amount of external behaviors that are needed for a leader depend to a great extent on the leadership situation, and these behaviors are discussed in Chapters 11 and 12.

Proactive Influence Tactics

Several types of influence tactics are used in influence attempts made by leaders with subordinates, peers, bosses, and people outside their organization, such as clients and suppliers. This type of behavior is important to gain compliance or commitment to requests and proposals, especially ones that are not routine and unlikely to be successful if the leader makes only a simple request. Influence tactics can also be used by a leader to resist or modify influence attempts made by others. Types of tactics and guidelines for using them effectively are discussed in Chapter 6.

Specific Task-Oriented Leader Behaviors

This section of the chapter describes some specific types of task-oriented behaviors found to be related to effective leadership (Yukl, 2012; Yukl et al., 2002). The behaviors include planning, clarifying, monitoring, and problem solving. After each type of behavior is described, guidelines for using the behavior are provided. The guidelines are based on applied research in leadership, on suggestions by practitioners, and on relevant theory and research in the management literature (e.g., project management, operations management, performance management, and human resources management).

Planning Work Activities

Short-term planning of work activities means deciding what to do, how to do it, who will do it, and when it will be done. The purpose of planning is to ensure efficient organization of the work unit, coordination of activities, and effective utilization of resources. Planning is a broadly defined behavior that includes making decisions about objectives, priorities, strategies, organization of the work, assignment of responsibilities, scheduling of activities, and allocation of resources among different activities according to their relative importance. Special names are sometimes used for subvarieties of planning. For example, operational planning is the scheduling of routine work and determination of task assignments for the next day or week. Action planning is the development of detailed action steps and schedules for implementing a new policy or carrying out a project. Contingency planning is the development of procedures for avoiding or coping with potential problems or disasters. Finally, planning also includes determining how to allocate time to different responsibilities and activities ("time management").

TABLE 2-2 Guidelines for Action Planning

- Identify necessary action steps.
- Identify the optimal sequence of action steps.
- Estimate the time needed to carry out each action step.
- Determine starting times and deadlines for each action step.
- Estimate the cost of each action step.
- Determine who will be accountable for each action step.
- Develop procedures for monitoring progress.

Planning is mostly a cognitive activity that involves analyzing information and making decisions about how task objectives will be accomplished. Planning seldom occurs in a single behavior episode; instead it tends to be a prolonged process that occurs over a period of weeks or months. Because planning is a cognitive activity that seldom occurs as a single discrete episode, it is difficult to observe (Snyder & Glueck, 1980). Nevertheless, some observable aspects include writing plans, preparing written budgets, developing written schedules, and meeting with others to formulate objectives and strategies. Planning is most observable when a manager takes action to implement plans by communicating them to others and making specific task assignments.

The importance of planning and organizing has long been recognized in the management literature (Carroll & Gillen, 1987; Drucker, 1974; Fayol, 1949; Quinn, 1980; Urwick, 1952). Evidence of a relationship between planning and managerial effectiveness is provided by a variety of different types of studies (e.g., Boyatzis, 1982; Carroll & Gillen, 1987; Kim & Yukl, 1995; Kotter, 1982; Morse & Wagner, 1978; Shipper & Wilson, 1992; Yukl, 2012; Yukl et al., 1990). Recommended steps for action planning are shown in Table 2-2.

Clarifying Roles and Objectives

Clarifying is the communication of plans, policies, and role expectations. Major subcategories of clarifying include (1) defining job responsibilities and requirements, (2) setting performance goals, and (3) assigning specific tasks. The purpose of clarifying behavior is to guide and coordinate work activity and make sure people know what to do and how to do it. It is essential for each subordinate to understand what duties, functions, and activities are required in the job and what results are expected. Even a subordinate who is highly competent and motivated may fail to achieve a high level of performance if confused about responsibilities and priorities. Such confusion results in misdirected effort and neglect of important responsibilities in favor of less important ones. The more complex and multifaceted the job, the more difficult it is to determine what needs to be done.

Clarifying behavior is likely to be more important when there is substantial role ambiguity or role conflict for members of the work unit. Less clarifying is necessary if the organization has elaborate rules and regulations dictating how the work should be done and subordinates understand them, or if subordinates are highly trained professionals who have the expertise to do their jobs without much direction from superiors. Contingency theories about the amount of clarifying behavior needed in different situations are described in Chapter 3.

Several studies have found a positive relationship between clarifying and managerial effectiveness (Alexander, 1985; Bauer & Green, 1998; Kim & Yukl, 1995; Van Fleet & Yukl, 1986b; Yukl et al., 1990). Evidence from many studies (including some field experiments)

TABLE 2-3 Guidelines for Clarifying Roles and Objectives

- Clearly explain an assignment.
- Explain the reason for the assignment.
- Check for understanding of the assignment.
- Provide any necessary instruction in how to do the task.
- Explain priorities for different objectives or responsibilities.
- Set specific goals and deadlines for important tasks.

indicates that setting specific, challenging goals usually improves performance (see Locke & Latham, 1990).

The following guidelines indicate how leaders can effectively assign tasks to subordinates and clarify subordinate roles and responsibilities (see Table 2-3 for summary).

- **Clearly explain an assignment.**

When assigning tasks, use clear language that is easy to understand. If more than one task is involved, explain one task at a time to avoid confusion. Describe what needs to be done, say when it should be done, and describe the expected results. Explain any organization rules or standard procedures that must be followed by anyone who does that type of task.

- **Explain the reason for the assignment.**

Unless it is obvious already or there is no time for it, explain why the task is necessary and important and why you have selected the person to be responsible for it. Understanding the purpose of an assignment can increase task commitment and facilitate subordinate initiative in overcoming obstacles.

- **Check for understanding of the assignment.**

Be alert for indications that the person does not understand your instructions or is reluctant to do what is asked (e.g., a puzzled expression or hesitant response). For a complex task that the person has not done previously, it is useful to probe for understanding. For example, ask how the person expects to carry out the task.

- **Provide any necessary instruction in how to do the task.**

If the person needs instruction in how to do a task, demonstrate and explain the procedures one step at a time using simple, clear language. Point out both correct and incorrect procedures, and explain the cues that indicate whether a procedure has been done correctly. If the task involves an observable procedure that only takes a short time to complete, and the person lacks experience doing it, demonstrate the procedure, and then have the person practice it while you observe and provide feedback and coaching.

- **Explain priorities for different objectives or responsibilities.**

Tasks often involve more than one type of objective, and there may be trade-offs among the objectives. For example, the objectives may involve both quantity and quality of the work, and when too much time is devoted to one objective the other may suffer. There is no simple

way to determine priorities, but they should reflect the importance of the task for the manager's unit and the organization. It is essential to explain the relative priorities of different objectives and provide guidance on how to achieve an effective balance among them.

- **Set specific goals and deadlines for important tasks.**

Clear, specific performance goals are often useful to guide efforts and increase task motivation. The goals may involve the performance of individual subordinates or the overall performance of a team or work unit. The goals should be challenging but realistic given the difficulty of the task, subordinate skills, and available resources needed for the work. For a task that needs to be completed by a definite time and date, it is useful to set a specific deadline for the overall task and sometimes for each important step.

Monitoring Operations and Performance

Monitoring involves gathering information about the operations of the manager's organizational unit, including the progress of the work, the performance of individual subordinates, the quality of products or services, and the success of projects or programs. Monitoring can take many forms, including observation of work operations, reading written reports, watching computer screen displays of performance data, inspecting the quality of samples of the work, and holding progress review meetings with an individual or group. Many organizations use video cameras to observe operations and increase security, and monitoring of telephone calls and Internet correspondence is sometimes used to check on quality for customer service representatives. To assess performance for retail facilities and service centers, it is sometimes useful to have someone acting as a customer visit the facility to observe how well the employees provide customer service. The appropriate type of monitoring depends on the nature of the task and other aspects of the situation.

Monitoring provides much of the information needed for planning and problem solving, which is why it is so important for managerial effectiveness (Meredith & Mantel, 1985). Information gathered from monitoring is used to identify problems and opportunities, as well as to formulate and modify objectives, strategies, plans, policies, and procedures. Monitoring provides the information needed to evaluate subordinate performance, recognize achievements, identify performance deficiencies, assess training needs, provide coaching and assistance, and allocate rewards such as a pay increase or promotion. When monitoring is insufficient, a manager will be unable to detect problems before they become serious (problems such as declining quality, low productivity, cost overruns, behind-schedule projects, employee dissatisfaction, and conflicts among employees).

The appropriate degree of monitoring will depend on the competence of the subordinate and the nature of the work. More frequent monitoring is desirable when subordinates are inexperienced and insecure, when mistakes have serious consequences, when the tasks of subordinates are highly interdependent and require close coordination, and when disruptions in the workflow are likely from equipment breakdowns, accidents, materials shortages, personnel shortages, and so forth. Monitoring of performance is most difficult when the work involves unstructured, unique tasks for which results can be determined only after a long time interval. For example, it is more difficult to evaluate the performance of a research scientist or human resource manager than the performance of a sales representative or production manager. Monitoring too closely or in ways that communicate distrust can undermine subordinate self-confidence and reduce intrinsic motivation.

TABLE 2-4 Guidelines for Monitoring Operations

- Identify and measure key performance indicators.
- Monitor key process variables as well as outcomes.
- Measure progress against plans and budgets.
- Develop independent sources of information about performance
- Conduct progress review meetings at appropriate times.
- Observe operations directly when it is feasible.
- Ask specific questions about the work.
- Encourage reporting of problems and mistakes.
- Use information from monitoring to guide other behaviors.

As noted previously, monitoring indirectly affects a manager's performance by facilitating the effective use of other behaviors. The amount of research on the effects of monitoring by leaders is still limited, but evidence that monitoring is related to managerial effectiveness is provided by several studies using a variety of research methods (e.g., Amabile, Schatzel, Moneta, & Kramer, 2004; Jenster, 1987; Kim & Yukl, 1995; Komaki, 1986; Komaki, Desselles, & Bowman, 1989; Komaki & Minnich, 2002; Yukl et al., 1990).

The following guidelines describe effective ways to monitor operations and the performance of subordinates (see summary in Table 2-4).

- **Identify and measure key indicators of performance.**

Accurate, timely information about the operations and performance of the work unit is essential for effective leadership by the work unit manager. When performance involves multiple criteria, they should all be measured and used for evaluation performance. It is a common mistake to focus on one or two indicators that are easy to measure, even though they do not provide a complete and accurate picture of unit performance.

- **Monitor key processes as well as outcomes.**

Processes that determine outcomes should be measured in addition to the outcomes themselves to gain a better understanding of causal relationships and to detect problems earlier. For example, quality problems can be resolved more effectively by identifying the critical steps in the production process or service activity where they occur and measuring them continuously to detect and resolve them quickly.

- **Measure progress against plans and budgets.**

Interpretation of information about operations is aided by relating it to plans, forecasts, and budgets. For example, at appropriate times (e.g., monthly or quarterly) compare actual expenditures to budgeted amounts to identify any discrepancies. If expenditures exceed budgeted amounts, investigate to determine the reason for the discrepancy and determine if there is a problem that requires corrective action.

- **Develop independent sources of information.**

Instead of relying on a single source for information, it is better to compare information from multiple sources. Using multiple sources makes it less likely that important information

will be lost or discounted. Multiple sources can be found by enlisting the aid of other people who have relevant information, such as peers, customers and clients, or members of the organization below the level of immediate subordinates. For example, a top executive in one company made it known that he would have breakfast in the company cafeteria at a particular time on certain days, and he invited any employees who were interested to join him for an informal discussion of company operations.

- **Conduct progress review meetings at appropriate times.**

Progress review meetings provide an opportunity to review and discuss a subordinate's progress in a project or assignment. The optimal frequency and timing for progress review meetings depend on the nature of the task and the competence of the subordinate. More frequent meetings are appropriate for a subordinate who is learning a new job or who is unreliable. The timing of meetings depends partly on when performance data will be available and when key action steps are scheduled for completion.

- **Observe operations directly.**

Information about operations can be obtained from reports and progress review meetings, but there is no substitute for direct observation. Walking around to observe operations and talk to employees is especially useful for middle managers and top executives who tend to become isolated from day-to-day operations. Visiting worksites and different facilities of the company is also a way to see for yourself how things are going and check on the accuracy of reports about operations. The success of a visit to a worksite depends partly on how the visit is arranged and conducted. Most visits should be unannounced and made by the manager alone. If advance notice is provided, people will probably try to make a favorable impression, making it difficult to assess how things are normally done. If the manager brings along several staff assistants, employees are likely to be more inhibited about what they say.

- **Ask specific questions.**

When conducting progress review meetings or observing operations, managers should use their knowledge about the work processes and their subordinates to ask specific questions and obtain vital information about the work. A probing but nonjudgmental style of questioning is better than a critical tone. Questions usually elicit better information if worded in an open-ended way rather than asking for a simple yes or no answer. Since questions reflect a manager's concerns, it is an effective way to communicate those concerns to people even while getting information from them.

- **Encourage reporting of problems and mistakes.**

The success of monitoring depends on getting accurate information from people who may be reluctant to provide it. Subordinates are often afraid to inform their boss about problems, mistakes, and delays. Even a subordinate who is not responsible for a problem may be reluctant to report it if the leader's reaction is likely to be an angry outburst (the "kill the messenger" syndrome). Thus, it is essential to react to information about problems in a constructive, nonpunitive way. Show appreciation for accurate information, even if it is not favorable, and help subordinates learn from mistakes rather than punishing them.

- **Use information from monitoring to guide other behaviors.**

When monitoring reveals that a subordinate has been highly effective, it is an opportunity to provide praise. If performance is below targeted levels or a project is behind schedule, the leader should acknowledge the problem rather than ignoring it and initiate actions to deal with it. It may be necessary to revise the action plan and schedule if it is unrealistic, to provide more resources for the task, or to provide coaching if the subordinate lacks adequate skills.

Solving Operational Problems

Problem solving is a type of behavior used by leaders to deal with disruptions of normal operations and member behavior that is illegal, destructive, or unsafe. Leaders face an endless stream of operational problems and disturbances in their work, and examples include serious accidents, power failures, equipment breakdowns, natural disasters, terrorist attacks, quality problems, supply shortages, and strikes by labor unions. Several survey studies found that problem solving was related to effective leadership (e.g., Kim & Yukl, 1995; Morgeson, 2005; Yukl & Van Fleet, 1982; Yukl et al., 1990). The descriptive research using critical incidents, diaries, and comparative case studies also provides evidence that effective leaders deal with operational problems in a timely and appropriate way (e.g., Amabile et al., 2004; Boyatzis, 1982; Van Fleet & Yukl, 1986; Yukl & Van Fleet, 1982). The descriptive research also found that ineffective leaders ignore signs of a serious problem, avoid responding until it becomes much worse (e.g., by forming a committee to study it and write a detailed report), make a hasty response before identifying the cause of the problem, discourage useful input from subordinates, or react in ways that create more serious problems at a later time.

It is desirable to evaluate whether a problem can be solved within a reasonable time period with available resources and (2) whether it is worthwhile to invest the time, effort, and resources on this problem rather than on others (Isenberg, 1984; McCall & Kaplan, 1985). Descriptive research on effective managers suggests that they give priority to important problems that can be solved, rather than ignoring these problems or trying to avoid responsibility for them by passing the problem to someone else or involving more people than necessary to diffuse responsibility for decisions (Peters & Austin, 1985; Peters & Waterman, 1982). For problems that are either trivial or intractable, it is often best to postpone attempts to resolve them and use the time more effectively. Of course, some problems are so important that they should not be postponed even when the initial probability of a successful solution is low.

When serious disruptions in the work occur, people look to their leader to explain the problem and what is being done to deal with it. In the absence of timely, appropriate information, harmful rumors may occur and people may become discouraged and afraid. A leader can help to avoid unnecessary stress or panic by explaining how the problem is being resolved and showing confidence that the actions will be successful. Effective leaders provide firm, confident direction to their team or work unit as they cope with the problem.

Problem solving can be proactive as well as reactive, and effective leaders take the initiative to identify likely problems and determine how to avoid them or minimize their adverse effects. Many things can be done to prepare the work unit or organization to respond effectively to predictable types of disruptions such as accidents, equipment failures, natural disasters, health emergencies, supply shortages, computer hacking, and terrorist attacks.

Researchers and some practitioners have identified types of leader actions that are effective for dealing with operational problems and disruptions of the work (e.g., DeChurch et al., 2011; Heifetz, Grashow, & Linsky, 2009; Mitroff, 2004; Muffet-Willett & Kruse, 2008). The amount of

TABLE 2-5 Guidelines for Solving Operational Problems

- Anticipate operational problems and prepare for them.
- Learn to recognize early warning signs for an impending problem.
- Quickly identify the cause and scope of the problem.
- Look for connections among problems.
- Direct the response to the problem in a confident and decisive way.
- Keep people informed about the problem and what is being done to resolve it.
- Be willing to explore innovative solutions

research is limited, but the findings suggest some practical guidelines for leaders to use problem-solving behaviors (see summary in Table 2-5).

- **Anticipate operational problems and prepare for them.**

Many types of problems that occur only infrequently can be very disruptive and costly. Examples include accidents, medical emergencies, terrorist attacks, supply shortages, strikes, sabotage, and natural disasters. If possible, it is worthwhile to plan in advance how to avoid them. For problems that are unavoidable, contingency plans should be made to cope with them effectively when they eventually occur. Look for best practices found in analyses of past experience with similar problems. Implement training on how to respond to different types of disruptions and emergencies. If appropriate, have the team or work unit practice procedures for handling an emergency, and conduct after-activity reviews to assess preparedness and facilitate learning.

- **Learn to recognize early warning signs for an impending problem.**

Some types of problems have early warning signs, and a leader should learn to recognize them. A common response to signs that unpleasant events will soon occur is to deny the signs and do nothing in the hope that the problem will go away. However, for some types of disruptions an early response can reduce the impact and costs. The responsibility for detecting emerging problems should be shared with all employees who have opportunities to observe these signs.

- **Quickly identify the cause and scope of the problem.**

A common reason for ineffective problem solving is the failure to correctly identify the reasons for the problem. An incorrect diagnosis can result in actions that not only fail to solve the problem, but also waste resources, create new problems, and result in delays that allow the problem to get worse. It is essential for the leader to make a quick but systematic analysis of the situation. However, despite the pressure to act quickly, the analysis should not be hasty and superficial. Unless the cause of the problem is identified correctly, time and resources will be wasted in trying to solve the wrong problem. Even when the cause of the problem is obvious, the scope of the problem may not be known initially, and it can be a factor in selecting an appropriate response. Either underestimating or overestimating the scope of a problem can result in an inappropriate response.

- **Look for connections among problems.**

In the process of trying to make sense out of the streams of problems, issues, and opportunities encountered by a manager, it is important to look for relationships among them rather

than assuming that they are distinct and independent (Isenberg, 1984). A broader view of problems provides better insights for understanding them. By relating problems to each other and to informal strategic objectives, a manager is more likely to recognize opportunities to take actions that contribute to the solution of several related problems at the same time. Finding these connections is more likely if the manager is able to remain flexible and open-minded about the definition of a problem and actively considers multiple definitions for each problem.

- **Direct the response to the problem in a confident and decisive way.**

The need for more direction is especially great for a team that must react quickly in a coordinated way to cope with a serious crisis or emergency for which it is unprepared. Knowing how to remain calm and deal with a crisis in a systematic but decisive manner requires a leader with considerable skill and confidence. The leader should provide clear, confident direction to guide the response of the team or unit. However, the leader should also remain receptive to relevant information and suggestions from followers. Followers often have important information and useful suggestions on how to deal with a crisis, especially when it is a novel one.

- **Keep people informed about the problem and what is being done to resolve it.**

In the absence of timely and accurate information about a crisis, harmful rumors are likely to occur, and people may become discouraged and afraid. A manager can help prevent unnecessary stress for subordinates by interpreting threatening events and emphasizing positive elements rather than leaving people to focus on negatives. When feasible, it is helpful to provide short, periodic briefings about progress in efforts to deal with the crisis.

- **Be willing to explore innovative solutions.**

When no effective remedy is obvious for a problem and a rapid resolution is not needed, it may be useful to initially conduct one or more small-scale experiments to gain more information about the causes and good solutions. Sometimes taking limited action is the only way to develop an adequate understanding of the problem (Isenberg, 1984; Quinn, 1980). Peters and Waterman (1982, p. 13) found that managers in effective companies had a bias for action characterized as “do it, fix it, try it.”

Specific Relations-Oriented Leader Behaviors

This section of the chapter describes some specific types of relations-oriented behaviors found to be related to effective leadership (Yukl, 2012; Yukl et al., 2002). The behaviors include Supporting, Developing, and Recognizing. After each behavior is described, guidelines for using the behavior are provided.

Supportive Leadership

Supportive leadership (or “supporting”) includes a wide variety of behaviors that show consideration, acceptance, and concern for the needs and feelings of other people. Supportive leadership helps to build and maintain effective interpersonal relationships. A manager who is considerate and friendly toward people is more likely to win their friendship and loyalty. The emotional ties that are formed make it easier to gain cooperation and support from people on