

# The Art of Leadership

Seventh Edition



George Manning  
Kent Curtis

**Mc  
Graw  
Hill**

# The Art of Leadership

*Seventh Edition*

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*Northern Kentucky University*

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*Northern Kentucky University*





# Dedication

Dedicated with love to our families:

Nancy and Page, Larry, and Heather

Mary and Lisa, Denise, and Craig

*Note about the cover:* The ship and moon represent strong directional leadership in both calm and turbulent times.

## THE ART OF LEADERSHIP, SEVENTH EDITION

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# Preface

**The purpose of *The Art of Leadership* is to help the reader be or become the kind of leader he or she always wanted to have.**

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

The first edition of *The Art of Leadership* was published in 2003. The seventh edition continues to combine behavior theory with business practice to teach central concepts and skills in leadership. The book is made more valuable and the impact greater by 48 self-evaluation questionnaires and practical exercises that are used for personal development and class involvement. *The Art of Leadership* is more than a textbook; it is a "learning" book that actively involves the reader in the learning process.

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

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

We have revised each chapter of the book based on comments provided by students and colleagues who used the first six editions and on formal reviews submitted by a cross section of instructors from community colleges, four-year schools, and universities with graduate programs in leadership. We have attempted to tighten up the writing, expand on real-world examples, and broaden coverage to areas that have emerged more recently on the leadership scene. Each part begins with an overview, key learning objectives, and main takeaway points. Headings, bulleted lists, related stories, and practical examples make the material easy to read and retain. Exercises, applications, and action items personalize the subject for the reader. Cases are included at the end of each part to help students develop critical thinking skills. These cases address important topics, including ethics, change, diversity, discipline, morale, communication, empowerment, stress, and culture.

We address up-to-date changes in the world of work and current leadership challenges. Using an evidence-based approach, the book is thoroughly referenced with 1340 classic and current citations in the seventh edition.

*The Art of Leadership* provides timely and important principles and practices on how to effectively lead others. The seventh edition remains reader-centered, research-based, practical, and personalized. We have retained the most popular features from previous editions and have added new material in the following areas:

- **Part 1:** discussion of transformational leadership; deeper analysis of the dark side of leadership; destructive patterns of leadership behavior; and multiple intelligences.

- **Part 2:** the roles of vision, alignment, prioritization, and execution for organizational success; the importance of organizational culture; and creating a psychologically healthy work climate.
- **Part 3:** classic and contemporary moral dilemmas; personal value orientations; levels of morality in leadership ethics; and the critical need for integrity.
- **Part 4:** the philosophy and practice of servant leadership; the use of power; and the art of persuasion in the leadership process, including psychological size and two-way communication.
- **Part 5:** current challenges in virtual world communication; leading teams; tools for team building; problem solving; and dealing with difficult people.
- **Part 6:** global and cross-cultural leadership issues; women in leadership; employee engagement; handling conflict; and valuing diversity as a strength.
- **Part 7:** the psychology of leadership behavior, including the role of personality; person–position fit; effective delegation; and the different challenges of different levels of leadership.
- **Part 8:** the self-fulfilling prophecy and the leader as a mentor; employee retention; coaching for success; leading change, including adaptive capacity, work–life balance and the importance of attitude.
- **Part 9:** high-performance leadership practices; accountability and the wisdom of Peter Drucker; responsibilities of a leader; addressing deficiencies; performance management; and productivity improvement.

Leadership lessons are included from such diverse and iconic leaders as Pope Francis, Winston Churchill, and James T. Kirk. Video cases with questions for discussion are included at the end of each part to enhance learning. Websites are identified throughout for additional information. Classic and current related books are recommended for each part. Video links are suggested as thought pieces for assignments and class discussion. The “Cianbro Story” has been added in the form of eight cases that complement each part of the book and a short history of the company in Part 9.

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## Central Ideas of This Book

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

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

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## Who Should Read This Book?

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

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

Although the organization and sequence of chapters remain the same in the seventh edition, instructors can teach material in the order that best meets their needs. Each Part is self-contained. Tables and figures help organize the material, and self-assessment and organizational exercises personalize the subject.

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

Experienced leaders can use this book to address workplace issues, taking leadership skills to new levels of effectiveness. Matching leadership style with the needs of followers, leading by values and ethical principles, raising employee morale, delegating work effectively, and helping people through change—discussed in Parts 1, 3, 5, 7, and 8—are important areas for leaders to address.

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

---

## Approach and Style of the Book

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

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

Sources are cited from art, science, literature, the military, politics, and sports. Our goal has been to include material that is interesting to read, practical to use, and personalized to the reader's own concerns. A favorite proverb captures this best: I hear and I forget; I see and I remember; I do and I understand (Confucius [(551–479 BC)]).

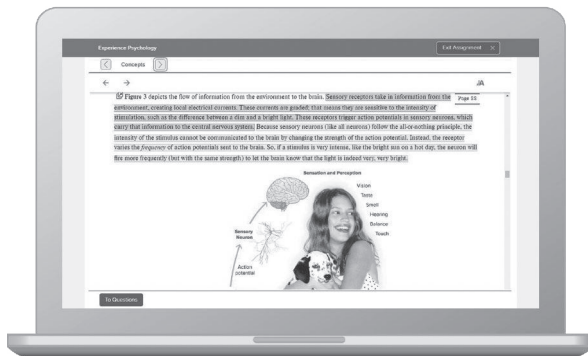


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## How to Use This Book

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

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

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

Good luck in your learning!

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

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# The Art of Leadership

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

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



# The Importance of Leadership: Setting the Stage

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

—John Gardner

## Overview

Chapter One defines and discusses the importance of leadership, describes the elements of caring leadership, identifies the satisfactions and frustrations of leaders, and explains the difference between leadership and management.

## Learning Objectives

After studying Chapter One, you will be able to:

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

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## What Is the Takeaway Point?

Leadership is a fascinating subject that impacts every aspect of the human experience.

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

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

Millions of people know what it is like to work for a leader who

- Takes all the credit for work done by others.
- Is selfish and rude.
- Makes mistakes and blames others.
- Is tyrannical and cruel.
- Cares only about self-preservation.
- Is threatened by competence.
- Is dishonest and unfair.

All these examples are real, all these factors diminish people's lives at work, and none is necessary. The Jack Welch Management Institute reports that more than one-half of working adults have suffered under a bad boss at some point in their **career**. The sad fact is, the percentage of leaders people would be willing to work for again is less than 40 percent. This means that most people would not want to work for the majority of leaders they have had.<sup>1</sup>

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

---

## What Is Leadership?

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

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

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

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

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



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

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## The Importance of Leadership

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

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

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

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

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

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

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

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

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

---

## Three Types of Leaders

There are many ways to lead, and indeed, we are influenced by some people even centuries after they are gone. Some leaders are **teachers**, who are rule breakers and value creators; some are **heroes**, responsible for great causes and noble works; and some are **rulers**, who dominate others and exercise power. Consider how the ideas and deeds of the teachers, heroes, and rulers in Table 1–1 have influenced the world. Although these are major figures who have impacted millions of people in the history of the world, people have been and always will be influenced by the teachers, heroes, and rulers in their personal lives.<sup>11</sup>

**Table 1–1**  
**Types of Leaders in History**

Teacher	
Aquinas	(AD 1225–1274) Italian Philosopher, Catholic priest
Aristotle	(384–322 BC) Ancient Greek Philosopher, teacher
Augustine	(354–430 BC) Early Christian theologian
Buddha	(c.480–c.400 BCE) Religious teacher, central figure of Buddhism
Confucius	(551–479 BC) Chinese philosopher, founder of Confucianism
Gandhi	(AD 1869–1948) Indian political ethicist
Jesus	(c.4 BC–AD c.30) Central figure of Christianity, religious teacher
Lao-Tzu	(601–531 BC) Chinese philosopher, founder of Taoism
Luther	(AD 1438–1546) Christian theologian, initiator of Protestant Reformation
Marx	(AD 1818–1883) Political theorist, social revolutionary
Moses	(Goshen, Mount Nebo, Moab) Legendary religious prophet, teacher
Muhammad	(AD c.570–c.632) Religious prophet, founder of Islam
Paul	(AD c.5–67) Christian Saint, apostle
Plato	(428–348 BC) Ancient Greek philosopher, teacher
Rumi	(AD 1207–1273) Persian poet, Islamic scholar
Socrates	(c.470–399 BC) Ancient Greek philosopher, teacher
Hero	
Beethoven	(AD 1770–1827) German composer, pianist
Columbus	(AD 1451–1506) Italian explorer, navigator
Curie	(AD 1867–1934) Polish physicist and chemist, Nobel Prize winner
daVinci	(AD 1452–1519) Italian artist, scientist of the Renaissance
Darwin	(AD 1809–1882) English naturalist, scientist
Edison	(AD 1847–1941) American inventor, businessman
Einstein	(AD 1879–1955) German-Swiss theoretical physicist
Ford	(AD 1863–1947) American industrialist, entrepreneur
Galileo	(AD 1564–1642) Italian astronomer, physicist
Gutenberg	(AD c.1400–1468) German inventor, printer, publisher
Hippocrates	(c.460–c.370 BC) Greek physician, father of medicine
Michelangelo	(AD 1475–1564) Italian sculptor, painter, architect of the Renaissance
Newton	(AD 1643–1727) English mathematician, scientist
Pasteur	(AD 1822–1895) French biologist, chemist
Shakespeare	(AD 1564–1616) English poet, playwright
Watt	(AD 1736–1819) Scottish inventor, engineer
Ruler	
Akbar	(AD 1542–1603) Third Mughai emperor establishing Indo-Persian culture
Alexander	(356–323 BC) Military conqueror, ruler of empire from Greece to India
Charlemagne	(AD 742–814) Holy Roman Emperor, unifying Central and Western Europe
Elizabeth I	(AD 1533–1603) Long-reigning Queen of England and Ireland
Frederick II	(AD 1712–1786) Ruler of the Kingdom of Prussia, known as Frederick The Great
Genghis Khan	AD (1162–1227) Founder of the Mongol Empire, largest contiguous empire in history
Hitler	(AD 1889–1945) Fuhrer of Germany during The Second World War
Isabella I	(AD 1451–1503) Queen of Castile, known for the physical and spiritual unification of Spain
Julius Caesar	(100–44 BC) Military general, populist Roman dictator
Louis XIV	(AD 1638–1715) King of France known as The Sun King, ruling for 72 years
Mao Tse-tung	(AD 1893–1976) Chairman of the Communist Party of China
Napoleon	(AD 1769–1821) Military commander, Emperor of the French Empire
Ramses II	(c.1303–1213 BC) Most powerful Pharaoh of the Egyptian Empire, known as Ramses The Great
Saladin	(AD 1137–1193) First Sultan of Egypt and Syria, founder of the Ayyubid Dynasty
Washington	(AD 1732–1799) Founding Father and first President of The United States of America
Yoritomo	(AD 1147–1199) Founder and the first Shōgun of the Kamakura shogunate of Japan

## How Many Leaders Are There?

Are we led by a few, or are there many who lead? Words such as *emperor*, *king*, and *chief* differentiated leaders from others in earlier times. There were few powerful positions, books were rare, and mass education was unknown. Today information is

everywhere, ideas are free, and self-expression is encouraged. It is a different world, as evidenced by the current edition of *Who's Who in America*, which contains entries for more than 90,000 people. Each of these individuals, by ideas or deeds, has influenced the lives of others; each has been a teacher, hero, or ruler.<sup>12</sup>

There is a changing perception of who can be a leader today. The response is heard over and over: Everyone can be a leader. Leadership is shifting from an autocratic, hierarchical model toward an empowering, participatory model. Sergio Marchionne, past CEO of Fiat Chrysler and Ferrari, states: “We’ve abandoned the Great Man model of leadership that long characterized Fiat and have created a culture where everyone is expected to lead.”<sup>13</sup> The new definition recognizes the potential and unique contributions of everyone. As former Secretary of Labor Robert Reich explains: “Everyone has a leader inside.” No longer is leadership viewed as a combination of charisma and expertise possessed by only a few people at the top of an organizational pyramid. Today it is viewed as the challenge and responsibility of every individual with potential to make a difference. In this spirit, John Quincy Adams said: “If your actions inspire others to dream more, learn more, do more, and become more, you are a leader.”<sup>14</sup>

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

It was December 1, 1955, when a white passenger aboard a Montgomery, Alabama, bus asked Rosa Parks to yield her seat. Her refusal to move to the back of the bus ended in her arrest, but began the nonviolent protest movement for civil rights in the United States. A year-long boycott of the Montgomery bus system, led by Martin Luther King, forced the issue of the South’s Jim Crow laws to the forefront of America’s consciousness. The Supreme Court’s 1956 decision to declare segregation laws unconstitutional signaled a victory for Parks, of whom King said “she had been tracked down by the Zeitgeist—the spirit of the time.”<sup>15</sup>

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

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

The leadership scholar James MacGregor Burns once called leadership one of the most observed and least understood phenomena on earth. Questions frequently asked are, Which is more important—the individual or the environment? Are leaders born or made? In his book *Leadership*, Burns concludes that leadership is fired in the forge of both personal ambition and social opportunity.<sup>16</sup>

### Qualities of the Individual

Historically, leadership has been attributed to the individual. This view is sometimes called the “great man theory.” Ralph Waldo Emerson believed that an institution is the lengthened shadow of one man. Reflecting this view, the Scottish philosopher and historian Thomas Carlyle believed that among the undistinguished masses are people of light and learning, individuals superior in power, courage, and understanding. Carlyle saw the history of the human race as the biographies of these leaders, its great men and women: Their moral character may be something less than perfect; their courage may not be the essential ingredient; yet they are superior. They are followed, admired, and obeyed to the point of worship.<sup>17</sup>

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

The leader is characterized by: a strong drive for responsibility and task completion; vigor and persistence in pursuit of goals; venturesomeness and originality in problem-solving; drive to exercise initiative in social situations; self-confidence and sense of personal identity; willingness to accept

consequences of decision and action; readiness to absorb interpersonal stress; willingness to tolerate frustration and delay; ability to influence other persons' behavior; and capacity to structure social interaction systems to the purpose at hand.

It can be concluded that the cluster of characteristics listed above differentiate leaders from followers, effective from ineffective leaders, and higher echelon from lower echelon leaders. In other words, different strata of leaders and followers can be described in terms of the extent to which they exhibit these characteristics. These characteristics considered individually hold little diagnostic or predictive significance. In combination, it would appear that they interact to generate personality dynamics advantageous to the person seeking the responsibilities of leadership.<sup>18</sup>

## Environmental Factors

More recently, leadership has been viewed as an acquired competency, the product of many forces, not the least of which are environment and circumstance. In this sense, leadership is seen as a social phenomenon, not an individual trait. This school of thought helps explain why leaders who are successful in one situation (for example, building a bridge) may not be successful in another (such as directing a play or a research team).<sup>19</sup> The same individual may exert leadership in one time and place but not in another. Stogdill explains:

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

An analysis of Greek concepts of leadership, as exemplified by different leaders in Homer's *Iliad*, showed four aspects were valued: (1) justice and judgment—Agamemnon; (2) wisdom and counsel—Nestor; (3) shrewdness and cunning—Odysseus; and (4) valor and action—Achilles. All of these qualities were admired by the Greeks. Shrewdness and cunning are not as highly regarded in our contemporary society as they once were (although justice, judgment, wisdom, valor, and action remain in high esteem).<sup>20</sup>

The patterns of behavior regarded as acceptable in leaders differ from time to time and from one culture to another; thus, the establishment of educational institutions and curricula to impart and reinforce knowledge, skills, and attitudes deemed to be important by a society or group.<sup>21</sup>

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

## Interaction between the Individual and the Environment

To focus on either the individual or the environment alone is like trying to understand clapping by studying only one hand. A student showed his father his report card containing five F's. He said, "Dad, it's either heredity or environment. What do you think?" Evidence shows that both the **qualities of the individual and environmental factors** are important elements in the leadership equation. Leadership results from the inextricable interaction between the two. Findings from sociobiological studies of other animal species support this view. For example, biologist Richard Borowsky has discovered spontaneous growth among male fish. Young males remain small and sexually underdeveloped until the adult population in the group is reduced. Then, size and sexual maturation accelerate dramatically. Clearly, biological and sociological systems are closely related.<sup>22</sup>

Similar signs of sudden maturation are found in human beings. Leaders may emerge spontaneously in social crises after filling essentially anonymous roles for years. Consider the transformation of Poland's Lech Walesa from shipyard worker to national labor leader during the 1980s. Some people seem to have innate abilities that

unfold under certain conditions—external circumstances and internal qualities interact to create a sudden and dramatic spurt of performance. Before becoming president, the biggest staff Abraham Lincoln managed was a law office of one junior partner and several clerks. Lincoln grew in office as if destiny required him, as he put it, to “rise to the occasion.”<sup>23</sup> Thomas Hardy wrote a poem about the sinking of the *Titanic*. He writes in *The Convergence of Twain*: “No mortal eye could see/ The intimate welding of their later history./ Or sign that they were bent/ By paths coincident/ On being anon twin halves of one August event.” Even as the great ship was being built, the iceberg on its “sinister state” had also been growing. Applying Hardy’s poem to leadership, leaders must meet their “sinister mate.” What would George Washington be without The American Revolution, Abraham Lincoln be without the Civil War, or Franklin Roosevelt be without the Great Depression?<sup>24</sup>

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

In the most extensive study ever done on leadership, the U.S. Chamber of Commerce sought to answer two questions: (1) Where do leaders learn to lead? (2) What do people want in a leader?<sup>25</sup>

The number one place people say they learn to lead is from **experience**. They are thrown into the water and expected to sink or swim. Common Cause founder John W. Gardner identifies his arduous experience as a Marine during World War II as the “learning crucible” in which his own leadership abilities emerged.<sup>26</sup> Ask yourself how much of your leadership approach and skill you have learned from experience.

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

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

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

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

The third most-cited quality people want in a leader can be summarized as **people-building skills**. This quality includes the ability to assemble and develop a winning team, and it involves a variety of important skills: performance planning, performance coaching, and correcting poor performance; effective delegation; effective discipline; and the ability to motivate. People want an empowering leader who will be a mentor and developer of others. Do you have the interest, ability, and patience required to motivate and develop others?<sup>27</sup> (See Exercise 1-1.)



**Exercise 1–1**  
**Personalizing**  
**Leadership**

1. Where have you learned your leadership skills? Describe each pertinent learning area.
- Personal experience \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  - Examples or models \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  - Books, school, and online learning \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
2. Do you possess the qualities people want in a leader? Support your response.
- Integrity (honesty)—resulting in trust \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  - Job knowledge—resulting in confidence \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  - People-building skills—resulting in motivation and teamwork \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## Satisfactions and Frustrations of Leaders

Approximately 1 out of every 10 people in the American workplace is classified as a supervisor, an administrator, or a manager.<sup>28</sup> Management author Andrew DuBrin identifies seven satisfactions and seven frustrations that individuals in leadership roles typically experience. If you are a leader, make note of the ones that relate to you.

### Satisfactions of Leaders

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

### Frustrations of Leaders

1. ***Too much uncompensated work time.*** People in leadership positions typically work longer hours than nonleaders. During periods of high demand, working hours can surge to 80 hours per week and more.
2. ***Too many problems.*** A leader is subject to the universe of problems involving people and things. The leader is expected to address problems and get them solved.
3. ***Not enough authority to carry out responsibility.*** People in leadership positions may be held responsible for outcomes over which they have little control.
4. ***Loneliness.*** The higher one rises as a leader, the more lonely it can be. Leadership limits the number of people in whom one can confide.
5. ***Too many problems involving people.*** A frustration facing a leader is the number of people problems requiring action. The more employees one has, the more problems one is likely to face.
6. ***Organizational politics.*** The leader must engage in political byplay from three directions: below, sideways, and above. Although tactics such as forming alliances and coalitions are a necessary part of a leader's role, it can be particularly frustrating if people purposefully work against each other within an organization.
7. ***The pursuit of conflicting goals.*** A major challenge facing leaders is navigating among conflicting goals. The central issue of such dilemmas is attempting to grant others the authority to act independently, yet still get them aligned and pulling together for a common purpose.<sup>29</sup>

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

## Caring Leadership

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

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

The credit goes to the man  
who is actually in the arena,  
whose face is marred with  
sweat and dust and blood;  
who strives valiantly;  
who errs and comes short again and again;  
who knows the great enthusiasms,  
the great devotions,  
and spends himself in a worthy cause;  
who at the best knows  
the triumph of high achievement;  
and who, if he fails,  
at least fails while daring greatly.  
Far better it is to dare mighty things,  
to win glorious triumphs,  
even though checkered by failure,  
than to take rank with those cold and timid souls  
who live in the gray twilight that knows not  
victory nor defeat.<sup>30</sup>

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

Caring leadership also means caring about people. Helen Keller said kindness is the language the deaf can hear and the blind can see. The caring leader is unselfish, ready and eager to hear the other person's story. The caring leader will dedicate her- or himself in service to others. Concern for others results in loyalty to the leader and dedication to the leader's goals.<sup>31</sup> Jan Carlzon, former chairman and CEO of Scandinavian Airlines, explains the importance of caring leadership in the work setting: "In my experience, I have learned there are two great motivators in life. One is fear. The other is love. You can manage people by fear, but if you do, it will diminish both them and you. The path to success begins in the heart."<sup>32</sup>

James Autry, former CEO of the Meredith Corporation, reminds us that caring leadership must come from the heart, from within, not from policy books. Sharing the wisdom of years of experience in his wonderful volume *Love and Profit*, Autry explains: "If you don't truly care about people, you should get out of leadership; it will save a lot of people a lot of trouble and maybe even a heart attack." He captures the spirit of the caring leader in a poem entitled "Threads."<sup>33</sup>

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

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## Leadership in the Work Setting

Leadership is an important and difficult task, and it is the cornerstone of organizational success. Management author John Kotter describes the need for effective

leadership at work, saying that too many organizations are overmanaged and underled. Too much emphasis on order and control, and not enough emphasis on motivation and creativity, can reduce vitality and lead to failure. What is needed is development of leadership capacity at all levels of responsibility. With good selection, training, and encouragement, many more people can play valuable leadership roles.<sup>34</sup>

The question is often asked, What is the difference between leadership and management? These are terms that are often used interchangeably. Management involves four functions or processes first identified by Henri Fayol in 1916: planning, organizing, directing, and controlling, all of which are essential for organizational success. The term *leadership* is popularly used to describe what takes place in the first three of these functions—**establishing a direction** (planning), **aligning people and resources** (organizing), and **energizing people to accomplish results** (directing). These processes require insight, decisiveness, courage, strength, resolve, diplomacy, and other important leadership qualities to be successful.<sup>35</sup>

Another way to describe the difference between management and leadership is to say that management denotes formal authority and accountability is delegated, while leadership is the ability to influence the activity or behavior of people. The primary purpose of management is to provide order and consistency, a bottom-line focus; the primary function of leadership is to produce change and movement, a top-line focus. In his book *The Infinite Game*, Simon Sinek explains the leader's focus is up and out while the manager's focus is down and in. The leader Martin Luther King didn't say, "I have a plan;" he said, "I have a dream." The job of the leader is to create a vision that moves and motivates people to act.

Warren Bennis explains why both good managers and good leaders are needed: "Managers are people who do things right and leaders are people who do the right things." Successful organizations have excellent management to ensure execution and great leadership to provide vision and strategy. If an organization has strong management without leadership, the result can be reliable accomplishment of the wrong things. If an organization has strong leadership without management, the result can be inconsistent performance.<sup>36</sup>

The political theorist **Karl Marx** observed that the manner in which a society does its work shapes most of the other things the society believes and does. Harvard philosopher **Alfred North Whitehead** wrote: "The behavior of the community is largely dominated by the business mind. A great society requires leaders in business to think greatly of their functions. Low behavior means a descending standard of life. These beliefs add to the importance of leadership in the work setting. Principles and practices on the job are repeated and have impact in the home and larger community."<sup>37</sup>

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## Nine Key Areas of Leadership

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

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

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

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

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

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

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

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

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

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

Each key area is discussed in the following pages. Also included are principles and techniques to improve leadership effectiveness, along with questionnaires and learning exercises to personalize the concepts. These apply at all levels of leadership responsibility and to the full range of leadership situations, from leading intellectuals in the lab, to leading artists in the studio, to leading producers in the field.<sup>38</sup>

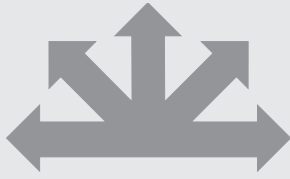
## Chapter One Summary

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

Leadership is social influence. By (a) \_\_\_\_\_ and \_\_\_\_\_, leaders light the path and influence the behavior of people. Types of leaders include (b) \_\_\_\_\_, \_\_\_\_\_ and \_\_\_\_\_. Two basic factors that influence the leadership process are (c) \_\_\_\_\_ and \_\_\_\_\_. People learn to lead primarily from (d) \_\_\_\_\_, \_\_\_\_\_, and \_\_\_\_\_. The three qualities people want most in a leader are (e), and \_\_\_\_\_. Satisfaction of being a leader include (f) \_\_\_\_\_, \_\_\_\_\_, and \_\_\_\_\_; frustrations of being a leader include (g) \_\_\_\_\_, and \_\_\_\_\_. The two essential elements of caring leadership are (h) \_\_\_\_\_ and \_\_\_\_\_. Leadership, in essence, is (i) \_\_\_\_\_, \_\_\_\_\_, and \_\_\_\_\_. Both (j) \_\_\_\_\_ and \_\_\_\_\_ believed principles and practices on the job are repeated and have impact in the home and larger community.

### Answer Key for Chapter One Summary

- a. **ideas, deeds**, page 2
- b. **teachers, heroes, rulers**, page 3
- c. **qualities of the individual, environmental factors**, page 6
- d. **experience, examples, books and school**, page 7
- e. **integrity, job knowledge, people-building skills**, page 7
- f. (any three) **a feeling of power and prestige, a chance to help others, high income, respect and status, opportunities for advancement, a feeling of being in a position of knowledge, an opportunity to control money and other resources**, page 9
- g. (any three) **too much uncompensated work time, too many problems, not enough authority to carry out responsibility, loneliness, too many problems involving people, organizational politics, the pursuit of conflicting goals**, page 9
- h. **commitment to a task, concern for people**, page 10
- i. **establishing a direction, aligning people and resources, energizing people to accomplish results**, page 11
- j. **Karl Marx, Alfred North Whitehead**, page 11



## Part 1

# Leadership Variables

2. The Leadership Equation
3. Leadership Qualities, Characteristics of Followers, and Situational Factors

THE EAR OF THE LEADER must ring with the voices of the people.

—Woodrow Wilson

## Overview

Part One describes the interactional nature of leadership. Trait and behavior theories of leadership are presented. Leadership qualities, characteristics of followers, and situational factors are discussed. Topics include transformational leadership, destructive patterns of leadership, and the role of multiple intelligences.

## Learning Objectives

After studying Part One, you will be able to:

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

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## What Is the Takeaway Point?

Social influence (leadership) is determined by the complex interaction of leader, follower, and situational factors.





# The Leadership Equation

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

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## Leadership Trait Theory

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

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

The trait theory of leadership makes the assumption that distinctive physical and psychological characteristics account for leadership effectiveness. Traits such as height, attractiveness, intelligence, self-reliance, and creativity have been studied, and lists abound, from *The Leadership Traits of the U.S. Marine Corps* to the *Leadership Principles of the U.S. Army*.<sup>3</sup> Almost always included in these and other lists of important leadership traits are (1) basic **intelligence**, (2) clear and strong **values**, and (3) a high level of personal **energy**. World class leaders are monuments to the reality that personal characteristics are important. Consider such giants as Alexander, Napoleon, Nelson, Washington, and Lincoln.<sup>4</sup>

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

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

Most people would say former Apple CEO Steve Jobs personified Ghiselli's traits of need for achievement, intelligence, decisiveness, self-confidence, initiative, and getting the job done through others. In 2010, *Fortune* magazine identified him as CEO of the decade for his achievements. Biographer Walter Isaacson describes Jobs as a creative leader whose passion for perfection and ferocious drive revolutionized six industries: personal computers, animated movies, music, phones, tablet computing, and digital publishing.<sup>6</sup> See the case study *Understanding People—Steve Jobs* in Chapter 15.

Traits play a role in how we perceive leaders and how they impact leadership effectiveness.<sup>7</sup> To personalize the concept of trait theory, evaluate yourself (or a leader you know) on Ghiselli's six traits for leadership effectiveness. (See Exercise 2-1.)

**Exercise 2–1**  
**Six Traits of Leadership**

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

1. Need for achievement

12345678910

2. Intelligence

12345678910

3. Decisiveness

12345678910

4. Self-confidence

12345678910

5. Initiative

12345678910

6. Supervisory ability

12345678910

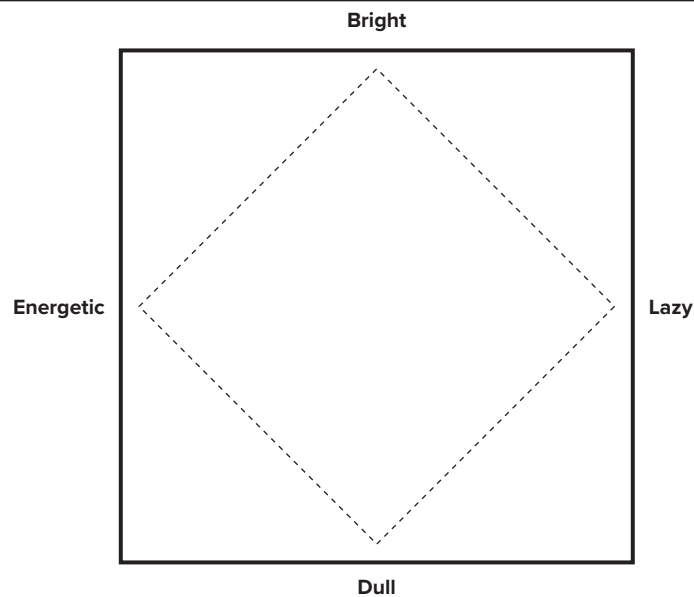
*Scoring and Interpretation:*  
Add all the circled numbers to find the overall trait score: \_\_\_\_\_

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

## Trait Theory Applied

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

Figure 2-1  
Dimensions of Leadership



If an individual was deemed to be bright and energetic, he was developed as a field commander, because it takes judgment and gumption to succeed as a leader on the battlefield. If the individual was deemed to be energetic but dull, he was assigned to duty as a frontline soldier, because as a leader, he could actively lead his command in the wrong direction. If the individual was believed to be bright but lazy, he was assigned to be a staff officer, because intelligence is important for developing a creative strategy that others may implement. If the individual was judged to be lazy and dull, he was left alone to find his own level of effectiveness.<sup>8</sup>

## Leadership Behavior Theory

During the 1930s, a growing emphasis on behaviorism in psychology moved leadership researchers in the direction of the study of leadership behavior versus leadership traits. A classic study of leadership behavior was conducted at the University of Iowa by **Kurt Lewin** and his associates in 1939. These researchers trained graduate assistants in behaviors indicative of three leadership styles: **autocratic**, **democratic**, and **laissez-faire**. The *autocratic* style was characterized by the tight control of group activities and decisions made by the leader. The *democratic* style emphasized group participation and majority rule. The *laissez-faire* leadership style involved very low levels of any kind of activity by the leader. The results indicated that the democratic style of leadership was more beneficial for group performance than the other styles. The importance of the study was that it emphasized the impact of the behavior of the leader on the performance of followers.<sup>9</sup>

By the 1940s, most research on leadership had changed focus from leadership traits to leadership behaviors. Behavioral leadership theories assume that there are distinctive actions that effective leaders take. In 1945, **Ralph Stogdill** and others at Ohio State University developed an assessment instrument known as the Leader Behavior

Description Questionnaire (LBDQ).<sup>10</sup> Respondents to the questionnaire described their leaders' behaviors toward them in terms of two dimensions—**task-oriented leaders** (initiating structure) and **relationship-oriented leaders** (showing consideration):

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

At about the same time the Ohio State studies were being conducted, the University of Michigan's Survey Research Center started leadership studies under the direction of Rensis Likert, who gave special attention to the impact of leaders' behaviors on worker motivation and the performance of groups.<sup>11</sup> The Michigan studies identified two similar dimensions of leadership behavior:

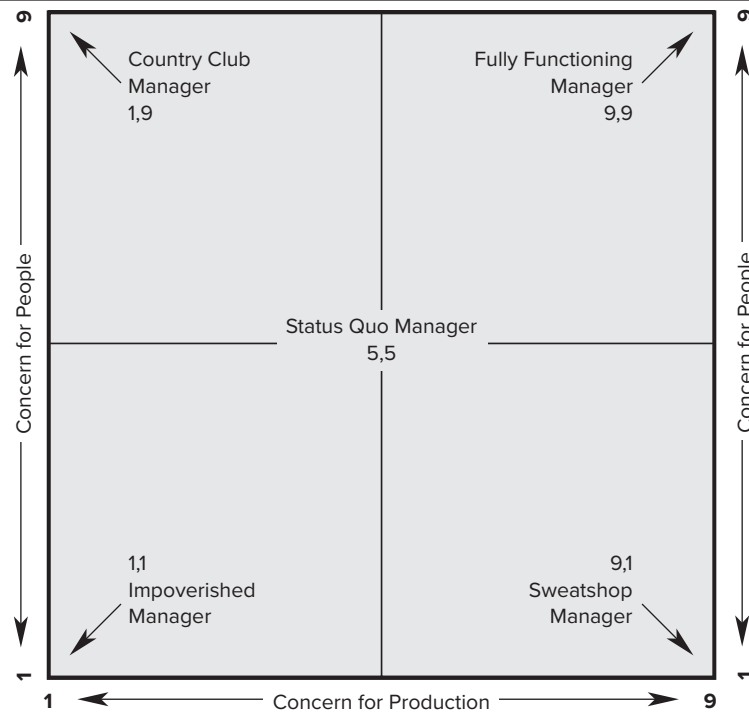
1. *Job-centered*—same as initiating structure.
2. *Employee-centered*—same as showing consideration.

In 1964, Robert Blake and Jane Mouton developed a managerial grid reflecting the Ohio and Michigan dimensions of initiating structure (job-centered) and showing consideration (employee-centered).<sup>12</sup> This model identifies the ideal leader as having *a high concern for production and a high concern for people*. It has been used extensively in organizational development and leadership consulting throughout the world. See Figure 2-2.

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

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

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



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

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

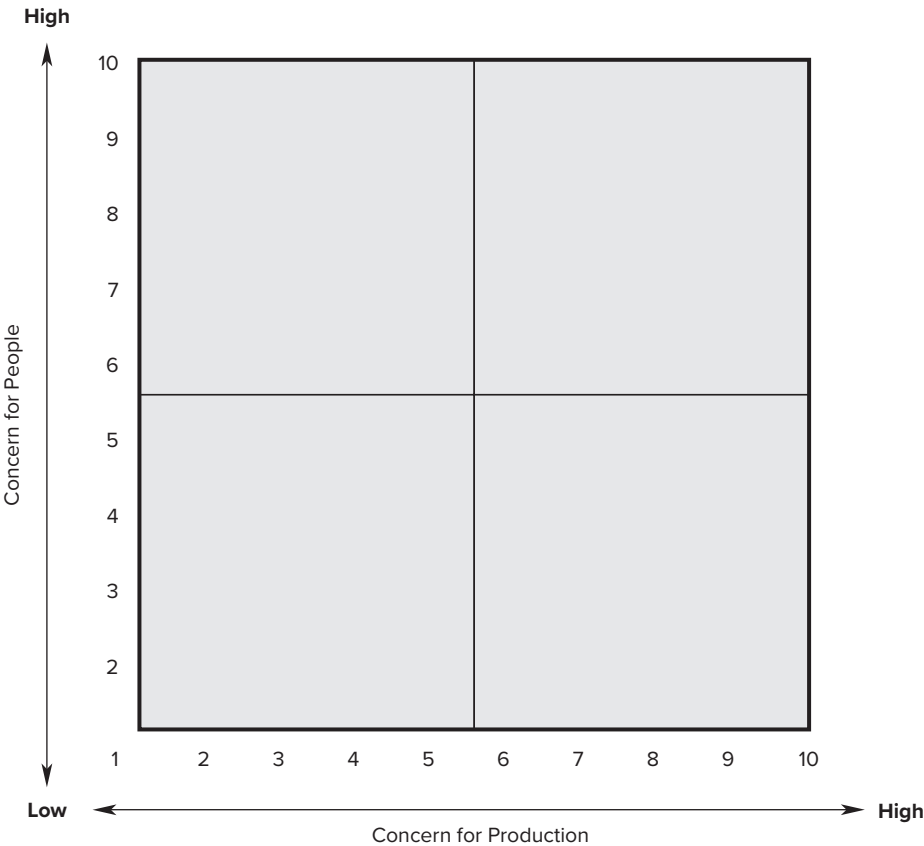
1. *The Paternalistic Manager*—uses high concern for production (9,1) combined with use of rewards (1,9) in exchange for compliance and loyalty.
2. *The Opportunistic Manager*—uses whichever style will best promote his or her advancement (1,9 to please subordinates; 5,5 in interactions with peers; and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

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



**Exercise 2–2**  
**Two Dimensions**  
**of Leadership**

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



**Scoring and Interpretation:**

The higher the score on both axes, the higher the expectation for overall leadership effectiveness. To find the overall score, multiply the scores for the two dimensions. The best possible score is 100 (10 × 10). Meta-analysis of leader behavior and performance effectiveness shows the ideal leader is a caring leader who focuses on job tasks and results and is simultaneously concerned with the welfare of employees.<sup>13</sup>

## Behavior Theory Applied

In *Shackleton's Way: Leadership Lessons from the Great Antarctic Explorer*, Margot Morrell presents a detailed account of Ernest Shackleton's Endurance expedition and the leadership lessons to be learned from it. The book is based on primary sources—on the actual comments of the men who were led by Shackleton. She uses diaries, letters, and interviews to understand Shackleton's leadership behavior. Morrell believes that even today we can look to his behaviors as a source of inspiration and education. The four cornerstones of Shackleton's leadership behavior are leading by example, communicating a vision, keeping up morale, and maintaining a positive attitude. Morrell concludes from her research of Shackleton and leadership: "If you look closely at any successful leader, you will find [he or she is] executing on these four points."<sup>14</sup>

## Leadership Contingency Theory

Research shows that both leadership traits and leadership behavior are important for leadership effectiveness, supporting the practice of *selecting* leaders with an emphasis on traits and *training* leaders with an emphasis on behavior.<sup>15</sup> Both the trait theory and the behavior theory of leadership were attempts to identify the one best leader and the one best style for all situations. By the late 1960s, it had become apparent that there is no such universal answer.

The oldest model of a contingency approach to leadership was developed by Fred Fiedler and his associates in the 1950s.<sup>16</sup> Leadership **contingency theory** holds that the most appropriate leadership qualities and actions vary from situation to situation. Effectiveness depends on leader, follower, and situational factors. Forces in the leader include personal values, feelings of security, and confidence in subordinates. Forces in the follower include knowledge and experience, readiness to assume responsibility, and interest in the task or problem. Forces in the situation include organizational structure, the type of information needed to solve a problem, and the amount of time available to make a decision.<sup>17</sup>

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

In the past 60 years, more than 65 classification systems have been developed to define the dimensions of leadership, and more than 15,000 books and articles have been written about the elements that contribute to leadership effectiveness. The usual conclusion is that the answer depends on leader, follower, and situational variables. A leader in a bank and a leader on the farm will need different interests, values, and skills. Experienced followers and new followers will have different leadership needs. Situational factors include the job being performed, the culture of the workplace, and the urgency of the task. In his book *Behave*, Robert Sapolsky reports that in scenarios concerning war, both Western and East Asian subjects prefer leaders with older, more masculine faces; during peacetime, younger, more feminine faces are preferred; in scenarios requiring cooperation between groups, leaders with intelligent-looking faces are preferred.<sup>18</sup>

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

A modern example of matching the qualities of the leader, the characteristics of followers, and the nature of the situation is Nelson Mandela, the first Black president of South Africa.<sup>19</sup> A negative example, but one of historic significance, is that of Adolf Hitler, the German people, and the period 1919 to 1945:

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

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

Hitler had many personal weaknesses, but as one who sensed the character and direction of the group, he became the embodiment of power. No doubt his strength came through his claiming for himself what actually was the condition and achievement of many.<sup>20</sup>

It is clear that destructive results can be traced to a toxic triangle of leader, follower, and situational factors. Destructive leaders with charisma, narcissism, and an ideology of hate can enlist susceptible followers with bad values, unmet needs, and ambition in a conducive situation of instability, perceived opportunity, and lack of checks and control. The outcome can be disastrous.<sup>21</sup> Ultimately, the leader, the followers, and the situation must match for either good or bad leadership to take place. One without the other two, and two without the third, will abort the leadership process.<sup>22</sup>

## Case Study:

### *Mr. Black, Ms. Blue, and Mr. White*

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

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

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

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

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

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

## Questions

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

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

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

W. McLarney and W. Berliner, *Management Training*, 5th ed. (Homewood, IL: Richard D. Irwin, Inc., 1972), pp. 34–35. Copyright ©1972 by McGraw-Hill Education. All rights reserved. Used with permission.

## Transformational Leadership

Some people have an extraordinary ability to inspire others and bring forth loyalty. A person who has such a personality is said to have charisma. The German sociologist Max Weber explains in his *Theory of Social and Economic Organization*: The term “charisma” applies to a certain quality that causes one to be set apart from ordinary people and to be treated as endowed with superhuman, or at least exceptional, powers or qualities. In this sense, charisma is a gift or power of leadership.<sup>23</sup>

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

Charismatic leaders also demonstrate specific types of behaviors: (1) They are role models for the beliefs and values they want their followers to adopt. For example, Gandhi advocated nonviolence and was a role model of civil disobedience. (2) They demonstrate ability that elicits the respect of followers. Leaders in art, science, religion, business, government, and social service influence followers through their personal competence. (3) They have ideological goals with moral overtones. Martin Luther and Martin Luther King both employed this type of charismatic behavior. (4) They communicate high expectations for their followers and show confidence in their ability to meet those expectations. Military history is replete with examples of charismatic war leaders. (5) Charismatic leaders ignite the motives of their followers to take action. Motives and tasks fall broadly into three areas—power, achievement, and affiliation.<sup>24</sup>

The psychologist David McClelland describes the nature of charismatic leadership:

We set out to find exactly, by experiment, what kinds of thoughts the members of an audience had when exposed to a charismatic leader. They were apparently strengthened and uplifted by the experience; they felt more powerful, rather than less powerful or submissive. This suggests that the traditional way of explaining the influence of leaders has not been entirely correct. The leader does not cause followers to submit and go along by intimidation and force. In fact, the leader is influential by strengthening and inspiring the audience. The personality of the leader arouses confidence in followers, and the followers feel better able to accomplish whatever goals they share with the leader.<sup>25</sup>

A crisis can create “charisma-hungry” followers who are looking for a leader to alleviate or resolve their dilemma. Some charismatic leaders may create crises to increase followers’ acceptance of their vision, the range of actions they can take, and followers’ level of effort.<sup>26</sup> In every walk of life, an individual with charisma may emerge. When this happens, the person is recognized as a leader. See, for example, the account by Willie Davis, all-pro lineman for the Green Bay Packers, which shows how Vince Lombardi exercised tremendous influence in the field of sports because of his charismatic personality. Men played their hearts out for Lombardi. Their goal was to please him, to be equal to their understanding of his values and goals.

## He Made Me Feel Important

*Willie Davis*

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

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

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

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

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

J. Kramer, J., ed. *Lombardi* (New York: Crowell, 1976), 158, 160, 162.

Lombardi's values and goals were clear. He told his players: "Winning is not a sometime thing; it's an all the time thing. . . There is no room for second place. . . You've got to play with your heart, with every fiber of your body. . . I firmly believe that any man's finest hour. . . is that moment when he has worked his heart out in a good cause and lies exhausted on the field of battle – victorious."

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

- First, he *cared*. No one was more committed to achieving the goal and winning the game.
- Second, he *worked hard*. No one worked harder and more diligently to prepare.

- Third, he *knew the right answers*. He knew the game of football, he knew the teams, and he had a plan to succeed.
- Fourth, he *believed*. He believed in himself and his players, and that made them believers as well.
- Fifth, he *kept the bar high*. He had uncompromising standards that raised the pride of his team as they rose to the challenge.
- Sixth, he *knew people*. He knew how to motivate each of his players, each in his own way.

Since **Vince Lombardi** died in 1970, he has been lionized as the greatest NFL head coach ever, due to his charismatic personality and the success of his teams.

In his book *Leadership*, political sociologist James MacGregor Burns states that the term *charisma* has taken on a number of different but overlapping meanings: leaders' magical qualities; an emotional bond between the leader and the led; dependence on a powerful figure by the masses; assumptions that a leader is omniscient and virtuous; and simply popular support for a leader that verges on love.<sup>27</sup> Burns states that charismatic leadership often involves conflict and struggle, and this may help explain the violent ends to such transformational leaders as **Abraham Lincoln**, **Joan of Arc**, and **Jesus Christ**.<sup>28</sup>

The term **transformational leadership** can be used to describe the leadership of individuals such as Vince Lombardi. These leaders use optimism, charm, intelligence, and a myriad of other personal qualities to raise aspirations and transform individuals and organizations into new levels of high performance.<sup>29</sup> WWII radar expert R.V. Jones describes the transformational political leader Winston Churchill: "I had the feeling of being recharged by contact with a source of living power. Here was strength, resolution, humor, readiness to listen, to ask the searching question and, when convinced, to act."<sup>30</sup>

Although transformational leadership was first discussed by J. V. Downton in 1973, its emergence as an important theory of leadership can be traced to Burns, who distinguished two kinds of leadership: *transformational* and *transactional*. Transactional leaders focus on exchanges between leaders and followers. An example is a manager who exchanges pay and promotion for work performed. In contrast, transformational leaders focus on the potentialities of the relationship between the leader and followers. This leader taps the motives of followers to better reach the goals of both. Burns uses **Gandhi** as an example of transformational leadership because not only did he raise the hopes and demands of millions of his people but in the process was also changed himself. In a similar way, Abraham Lincoln was transformational in American history, serving as a father figure to many people in his day. Indeed, his name, Abraham, literally means "father."<sup>31</sup>

In contrast to transactional leaders, who emphasize exchanging one thing for another, such as jobs for votes and rewards for favors, transformational leaders engage the full person of the follower. The result is elevation of the potential of followers and achievement beyond previous expectations.<sup>32</sup> Research shows that transformational leadership has a positive effect on performance. Employees with transformational leaders have higher levels of motivation, job performance, and organizational commitment.<sup>33</sup> It is important to note that transformational leadership can occur at all levels of an organization, and transformational leaders can emerge in both formal and informal roles.<sup>34</sup>

An ideal example of a transformational leader is **Saint Teresa**, whose humanitarian work with India's sick and poor and founding of the Missionaries of Charity is known throughout the world. Her mission was to care for the hungry, the naked, the homeless, the crippled, the blind, the lepers, all those people who feel unwanted, unloved, uncared for throughout society, people who have become a burden to the society and are shunned by everyone.<sup>35</sup>





# Leadership Qualities, Characteristics of Followers, and Situational Factors

If you want to silence a room of people, ask this question: Why would anyone want to be led by you? Certain qualities belong potentially to everyone, but leaders possess these qualities to an exceptional degree. The following is a discussion of 10 qualities that mark a leader and help influence the leadership process—vision, ability, enthusiasm, stability, concern for others, self-confidence, persistence, vitality, charisma, and integrity.<sup>36</sup>

■ **Vision.** *The first requirement for a leader is a strong sense of purpose.* A vision of what could and should be is a basic force that enables the leader to recognize what must be done and to do it. Vision inspires others and causes the leader to accept the duties of leadership, whether pleasant or unpleasant. A sense of vision is especially powerful when it embodies a common cause—overcoming tyranny, stamping out hunger, or improving the human condition.<sup>37</sup>

Native Americans believe that the leader should look to the seventh generation when making decisions today, and this will ensure that a vision is sound and just. Antoine de Saint-Exupéry once commented on the imaginative nature of vision: “A rock pile ceases to be a rock pile the moment a single man contemplates it, bearing within him the image of a cathedral.”<sup>38</sup>

Examples of leadership vision and its power can be seen in computer pioneer Steve Jobs, who foresaw a computer on every desktop and in every home, and in business entrepreneur Bill Gates, who asked the optimistic and compelling question, Where do you want to go today? Jobs of Apple and Gates of Microsoft have altered business and society in irreversible ways.

If you are the leader of a work group or an organization, you should ask, Do I have a plan? What is my vision of what this department or organization should be?

■ **Ability.** *The leader must know the job—or invite loss of respect.* Job knowledge includes ability in a science, art, technology, trade, or profession. It helps if the leader has done the job before and done it well. Employees seldom respect the individual who constantly must rely on others when making decisions, giving guidance, or solving problems. Although employees usually show a great deal of patience with a new leader, they will lose faith in someone who fails to gain an understanding of the job within a reasonable period of time. Job knowledge helps the leader make good decisions and discover ways to improve efficiency. Also, the leader must keep job knowledge current. Failure to keep up leads to lack of confidence and loss of employee support. Finally, a leader must have a keen mind to understand information, formulate strategies, and make correct decisions.<sup>39</sup> Leaders should ask, How competent am I? Am I current in my field? Do I set an example and serve as a resource for my employees because I keep job knowledge current? Mentally, are my perceptions accurate, is my memory good, are my judgments sound?

■ **Enthusiasm.** *Genuine enthusiasm is an important trait of a good leader.* Enthusiasm is a form of persuasiveness that causes others to become interested and willing to accept

what the leader is attempting to accomplish. Enthusiasm is the display of sincere interest in the task to be done. The word *enthusiasm* comes from the Greek word meaning “God within.” Enthusiasm, like other human emotions—laughter, joy, happiness—is contagious. Enthusiasm shown by a leader generates enthusiasm in followers. As Harry Truman observed: “The successful man has enthusiasm. Good work is never done in cold blood; heat is needed to forge anything. Every great achievement is the story of a flaming heart.”<sup>40</sup> **If you are a leader, you must ask, Do I care personally and deeply about what I am doing? Do I show this to my employees? Does my enthusiasm ignite others to take action?**

■ **Stability.** *The leader must understand her or his own world and how it relates to the world of others.* One cannot solve the equation of others when preoccupied with the equation of self. Empathy for employees cannot be developed if the leader is emotionally involved with personal problems. Problems with alcohol or drugs, problems with money, and problems with relationships are fertile fields for emotional instability. A display of emotional instability places the leader in a precarious position with regard to employees, because they will question the leader’s objectivity and judgment. Leaving personal problems at home allows the leader to think more clearly and to perform more effectively on the job. One can see the consequences of loss of stability with examples ranging from the fall of Alexander the Great to the fall of Captain Queeg in *The Caine Mutiny*. **The leader must ask, Do I possess objectivity? Do I convey stability to my employees? Do they trust that personal problems will not interfere with my judgment?**

■ **Concern for others.** *At the heart of caring leadership is concern for others.* The leader must not look down on others or treat them as machines—replaceable and interchangeable. The leader must be sincerely and deeply concerned about the welfare of people. The character of caring stands in clear contrast to the character of bullying. The caring leader never tears down, belittles, or diminishes people. The leader must also possess humility and selflessness to the extent that, whenever possible, others’ interests are considered first. Personal comfort and advancement are subordinate to the welfare of others. Concern for others requires patience and listening, and the result is trust, the bedrock of loyalty. Loyalty to followers generates loyalty to the leader; and when tasks become truly difficult, loyalty carries the day. **Leaders must question, Do I truly care about my employees as people, or do I view them more as tools to meet my goals? Do I ever demean people, or do I always lift them up? If I value my employees, do they know it?**

■ **Self-confidence.** *Confidence in one’s ability gives the leader inner strength to overcome difficult tasks.* If leaders lack self-confidence, people may question their authority and may even disobey orders. Researchers at the Center for Creative Leadership have found that successful leaders remain calm and confident even during intense situations. By demonstrating grace under pressure, they inspire those around them to stay calm and act intelligently. According to football quarterback Roger Staubach, the key to self-confidence is how hard the leader works: Confidence comes from hours, days, weeks, and years of preparation and dedication. When I’m in the last two minutes of a December playoff game, I’m drawing confidence from windsprints I did the previous March. It’s just a circle: work and confidence.

In her book *Presence*, Harvard professor Amy Cuddy explains how body language can communicate and even create self-confidence. Facial expression and physical posture not only influence body chemistry and can make one feel more confident, a leader’s self-assurance can generate strength and confidence in others.<sup>41</sup>

A sign of self-confidence is for the leader to remain calm under pressure. Actor and director Clint Eastwood explains: “If you start yelling, . . . you give the impression of insecurity and that becomes infectious. It bleeds down into the actors, and they become nervous; then it bleeds down into the crew, and they become nervous, and you don’t get much accomplished that way. You have to set a tone and just demand a certain amount of tranquility.”<sup>42</sup>

**A leader must ask, What is my self-confidence level? Do I show confidence in my actions? Have I done the homework and preparation needed to build self-confidence?**

■ **Persistence.** *The leader must have drive and determination to stick with difficult tasks until they are completed.* According to Niccolò Machiavelli, “There is nothing more difficult to take in hand, more perilous to conduct, or more uncertain in its success, than to take the lead in the introduction of a new order of things.”<sup>43</sup> Israeli prime minister Golda Meir referred to the quality of persistence when she advised that things do not just occur in one’s life. She encouraged people to *believe*, be *persistent*, and *struggle* to overcome life’s obstacles.<sup>44</sup>

Abraham Lincoln identified resolution to succeed to be the most important leadership quality. In a speech to Congress June 20, 1848, Lincoln said, “Determine that the thing can and shall be done, and then we shall find the way.” Leaders from Walt Disney to Ray Kroc, founder of McDonald’s, have shown the importance of persistence for business success, and military leaders from Ulysses Grant to George Patton have proved its importance on the battlefield. However, no better example exists to show the importance of fierce resolve as a leadership quality than that of Winston Churchill. Historians agree that this leader, with his bulldog will, was a towering figure of the 20th century and a determining element in the success of the Allied nations in defeating the Axis powers in World War II. In the face of impossible odds and seemingly certain defeat, Churchill rallied his people. Simply, he would not give in; he would not give up.<sup>45</sup>

**If you are the leader, ask, Do I have self-drive and unflagging persistence to overcome adversity even when others lose their strength and their will?**

■ **Vitality.** *Even if the spirit is willing, strength and stamina are needed to fulfill the tasks of leadership.* Effective leaders are typically described as electric, vigorous, active, and full of life, no matter how old they are or if they are physically disabled. Consider Franklin Roosevelt, who had polio, and Helen Keller, who was blind and deaf. It is interesting to note that at one point in recent history, the American president Ronald Reagan, the Roman Catholic pope John Paul II, and the Ayatollah Khomeini of Iran were all over 70 years of age—and more vital than many people half their age. At all ages, leaders require tremendous energy and stamina to deal with the demands they face and achieve success. Vitality is measured by the ability to withstand fatigue, stress, and hardship. The caring leader must have health and vigor to pursue his or her goals. Physical checkups and physical fitness are commonsense acts.

**Leaders must ask, Am I fit for the tasks of leadership? Do I have sufficient energy? Am I doing everything I can to keep physically strong?**

■ **Charisma.** *Charisma is a special personal quality that generates others’ interest and causes them to follow.* Napoleon makes the point that great leaders are optimists and merchants of hope.<sup>46</sup> Optimism, a sense of adventure, and commitment to a cause are traits found in charismatic leaders. These are qualities that unleash the potential of others and bring forth their energies. *Charisma* is a Greek word that means “divinely inspired gift.” The result is admiration, enthusiasm, and the loyalty of followers. Charismatic leaders in history include Julius Caesar, Charlemagne, and Elizabeth I. Author Jay Conger colorfully concludes: “Charismatic leaders are meaning makers. They pick and choose from the rough materials of reality and construct pictures of great possibilities. Their persuasion then is of the subtlest kind, for they interpret reality to offer us images of the future that are irresistible.”

**As a leader, ask yourself, Do I possess a positive outlook and commitment in my demeanor that transforms followers to new levels of performance as well as personal loyalty to me?**

■ **Integrity.** *The most important quality of leadership is integrity, understood as honesty, strength of character, and courage.*<sup>47</sup> Without integrity there is no trust, the number one element in the leader–follower equation. Integrity leads to trust, and trust leads to respect, loyalty, and ultimately action. It is trust coming from integrity that is needed for leading people from the boardroom, to the shop floor, to the battlefield.<sup>48</sup> A model of integrity was George Washington, about whom it was written

Endowed by nature with a sound judgment, and an accurate discriminating mind, he was guided by an unvarying sense of moral right, which would tolerate the employment only of those means that would bear the most rigid examination, by a fairness of intention which neither sought nor required disguise, and by a purity of virtue which was not only untainted but unsuspected.<sup>49</sup>

In *The British Are Coming*, Rick Atkinson identifies the Continental Army as the indispensable force of the American Revolution. The Army's indispensable leader was George Washington, who led with probity, a sense of purpose greater than self, and personal integrity.

Washington's abilities, his determination, and even his image all furthered his achievements, but his greatest legacy was his integrity. He was respected by everyone. He refused ostentatious titles, insisting that in a republican country, he should be called simply "Mr. President." When Washington died in 1799, Americans mourned the loss of the man known as "the father of his country."<sup>50</sup>

**As a leader, ask, Do my people trust me? Do they know that I seek the truth and that I am true to my word? Do they see that I possess strength of character and the courage of my convictions?**

How do you rate on the 10 qualities of leadership: vision, ability, enthusiasm, stability, concern for others, self-confidence, persistence, vitality, charisma, and integrity? Do you have the qualities that inspire others to follow? Exercise 3-1 will help you evaluate yourself (or a leader you know).

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**Exercise 3–1**  
**Ten Leadership**  
**Qualities—How Do**  
**You Rate?**

Evaluate yourself (or a leader you know) on the following leadership qualities by circling a number from 1 to 10 (1 is low; 10 is high).

1. **Vision:** a sense of what could and should be done

1      2      3      4      5      6      7      8      9      10

2. **Ability:** job knowledge and expertise to achieve results

1      2      3      4      5      6      7      8      9      10

3. **Enthusiasm:** personal commitment that invigorates and motivates people

1      2      3      4      5      6      7      8      9      10

4. **Stability:** emotional adjustment and objectivity

1      2      3      4      5      6      7      8      9      10

5. **Concern for others:** service to followers and interest in their welfare

1      2      3      4      5      6      7      8      9      10

6. **Self-confidence:** inner strength that comes from preparation and competence

1      2      3      4      5      6      7      8      9      10

7. **Persistence:** determination to see tough tasks through to completion

1      2      3      4      5      6      7      8      9      10

8. **Vitality:** strength and stamina

1      2      3      4      5      6      7      8      9      10

9. **Charisma:** magnetic ability to attract people and cause them to follow

1      2      3      4      5      6      7      8      9      10

10. **Integrity:** honesty, strength of character, and courage that generates trust

1      2      3      4      5      6      7      8      9      10

*Scoring and Interpretation:*

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

Score	Evaluation
100–90	Excellent; exceptional
89–80	High; very good
79–70	Average; needs improvement
69–60	Low; much work needed
59 and below	Deficient; poor

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## Winston Churchill— Leadership Example

In *The Storm of War*, a definitive account of World War II, historian Andrew Roberts explains the victory of the Allied forces over the Axis powers traced to five main factors: (1) the ferocity of the Russian soldier fighting on his own soil; (2) the American arsenal of armaments from industrial might; (3) the acquiescence of the German Army to Hitler's three errors—fighting England and Russia in a two-front war, declaring war on the United States too soon (before Japan bombed Pearl Harbor), perpetuating the holocaust on the Jewish people; (4) U.S. President Harry Truman's decision to use the atomic bomb; and (5) the remarkable leadership of Winston Churchill, whose determination “never to give in” proved to be stronger than the German Reich.

During the 1930s, Churchill had visited Hitler's Germany and saw for himself the potential for evil there. Once in power, his personal courage and superb speeches inspired the English people. Churchill's honor, defiance, and will make him acclaimed by many to be the greatest Briton who ever lived. One can see the importance of leadership persistence in determining the course and conclusion of the greatest conflict in history—a world war that spanned the globe and claimed the lives of over 50 million people.

After the Parliament elected him and the King ordained him as Prime Minister to protect England and Western civilization, Churchill said:

I was in profound relief. At last I had authority to give direction over the whole scene. I felt as if I were walking with destiny, and that all my past life had been but a preparation for this hour and for this trial. I thought I knew a good deal about it all, and I was sure I should not fail.

I have, myself, full confidence that if all do their duty, if nothing is neglected, and if the best arrangements are made, as they are being made, we shall prove ourselves once again able to defend our Island home, to ride out the storm of war, and to outlive the menace of tyranny, if necessary for years, if necessary alone. —Winston Churchill, House of Commons, 4 June 1940<sup>51</sup>

In his diary, King George VI noted Churchill's determined nature: “When Winston has made up his mind about something, nothing will stop him. Personal feelings are nothing to him, though he has a very sentimental side. He looks to one goal and one goal only: winning the war. No half measures.” About himself, Churchill said, “I have a tendency against which I should perhaps, be on my guard, to swim against the stream.” Churchill possessed the determination of an English bulldog.

Churchill was no bland product of spin doctors, but a thoroughly original and unique individual. He was a cigar-smoking, brandy-drinking, book-writing, speech-making, and fearless leader. He had experienced the extremes of glory and defeat, admiration and discouragement, and political exile when the shadow of Nazi Germany rose over Europe. Britain was in despair, but Churchill was prepared and ready to command. He offered the British people not a need to please, but ‘blood, sweat, and tears,’ and the will to survive.

Churchill believed a leader must be both visible and knowledgeable. Nothing anyone could say, not even the King, would stop Churchill from going on the Annex roof during air raids, while wearing his steel helmet, siren suit, and Royal Air Force great coat; smoking a cigar; and watching intently as explosions and fires lit up the battered city. Whereas Hitler never once visited a bomb-site—driving past such scenes with the curtains of his Mercedes-Benz drawn—Churchill went constantly to the East End during the Blitz to boost morale and know the truth of England's peril.

Churchill thought a leader must *speak*—and short and old words are the best. In contrast with Hitler who virtually stopped making broadcasts once the war started going badly, Churchill spoke with repetition, resolve and force: “We shall fight. . . we shall fight. . . we shall fight.”

Churchill seemed born to be a war leader. He understood that the power he had been given as Prime Minister was to protect the English people, regardless of personal feelings. If England was saved, nobody would care. If England lost, there would be nobody to care. Churchill said, “You ask what is our aim? I can answer in one word: It is victory, victory at all costs, victory in spite of all terror, victory, however long and hard the road may be; for without victory, there is no survival. Come then, let us go forward together with united strength.”



Churchill coined a term for persevering through adversity to achieve final victory—*keep buggering on*. He used a “fable of the frogs” to show the value of this simple strategy:

There lived two frogs, an optimist and a pessimist. One evening they were jumping over some grass and detected the wonderful smell of fresh milk emanating from a nearby dairy. The frogs were tempted and jumped into the dairy through an open window. They miscalculated and flopped into a large jar of milk. What to do? . . . The pessimist looked around and, seeing that the walls of the jar were high and sheer and that it was not possible to climb up, fell into despair. He turned on his back, folded his legs and sank to the bottom. The optimist did not want to perish so disgracefully. He also saw the high and sheer walls, but decided to flounder while he could. All night long he swam, beat the milk energetically with his legs, and displayed various forms of activity. . . . By the time morning came, the optimistic frog had, quite unawares, churned a big knob of butter out of the milk and thereby saved his life. The same thing will happen to the British Empire.<sup>52</sup>

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## “Negative” Leadership

There are some leaders who are not interested in doing good work, or not doing work in a good way. A special issue of the *Leadership Quarterly* focuses on destructive leadership, often referred to as the “dark side” of leadership. A dark triad of negative traits includes: (1) narcissism, consisting of a self-centered perspective, feelings of superiority, and obsession with personal power and glory; (2) Machiavellianism, consisting of manipulation, a cynical view of human nature, and putting self interest over moral behavior; and (3) psychopathology, consisting of low concern for others, impulsive behavior, and lack of remorse or guilt.<sup>53</sup>

A search of the Internet for “the dark side of leadership” shows images of Adolf Hitler, Jim Jones, and other notorious leaders. Negative leadership can occur in virtually all social settings. Employees with a negative, or “dark side,” leader are plagued by such questions as “Is my boss fair and honest?” “Can I trust him to support me?” “Does she see me as a competitor who needs to be neutralized?” “Will she reward or punish me if I make improvement suggestions?” More than 50 percent of employees say they have reported to a negative or destructive leader at some time in their career.<sup>54</sup>

Destructive leaders have a toxic effect on their workers and their organizations.<sup>55</sup> A toxic leader can be self-serving, abusive, and dangerous, especially when threatened. Like crossing an alpha gorilla with his band or a mother bear with her cubs, the result can be decisive and savage action toward the perceived transgressor. It’s a situation that can be destructive, causing workers to suffer from high stress, low morale, and even health consequences.<sup>56</sup>

Narcissism is a particularly destructive leadership quality. This is a “dark side” leadership pattern with three telltale signs: (1) Narcissists boast how great they are, while customers and co-workers know there is little truth behind the gloating. (2) Narcissists seek to be the stars of the show by putting their needs for attention before the well-being of others. (3) Narcissists blame others for their failures, refusing to apologize even when their mistakes are obvious. The narcissistic leader sabotages company success. In *The Art of Being*, Erich Fromm explains: “The narcissistic person has built an invisible wall around himself. He is everything, the world is nothing. Or rather: He is the world.”<sup>57</sup>

Researcher Barbara Kellerman states valuable insights can be gained by examining qualities of poor leaders. Her analysis has uncovered six negative behaviors or flaws:

1. **Incompetence.** The leader lacks will or skill (or both) to sustain effective action.
2. **Rigidity.** The leader is closed-minded to new ideas, new information, or changing times.
3. **Intemperance.** The leader lacks self-control in personal habits and conduct.
4. **Callousness.** The leader is uncaring and unkind, discounting the needs of others.

5. **Corruption.** The leader puts self-interest ahead of public interest and is willing to lie, cheat, or steal.
6. **Cruelty.** The leader commits atrocities inflicting physical and/or emotional pain on others.<sup>58</sup>

Negative leadership behaviors reduce people's morale, performance, and health. Incivility shuts people down. Employees withdraw commitment and contribute less. Insensitivity and disrespect can sabotage employee support in crucial situations. Employees may fail to share important information and withhold effort and resources.

**Incivility** may occur out of ignorance, not intention. A boss may be clueless that people think he's a jerk. Mocking people, blaming others, and a whole range of insensitive habits (such as texting and e-mailing during meetings, surfing the Internet during conference calls, and walking away when people are talking) destroy relationships and the support of employees. In contrast, civility elicits warmth and commitment. Simple acts such as being considerate, listening and smiling, and thanking others can have a huge impact on a leader's success. Given the importance of civility, in every interaction with employees leaders should ask, Is my behavior lifting people up, or is my behavior shutting them down?<sup>59</sup>

In *Off the Track: Why and How Successful Executives Get Derailed*, Morgan McCall and Michael Lombardo report that derailed leaders use a bullying style that is intimidating and abrasive; are viewed as being cold, aloof, and arrogant; betray personal trust; are viewed as self-centered, overly ambitious, and thinking of the next job; have specific business performance problems; overmanage; and are unable to delegate or build a team.<sup>60</sup>

There are consistent findings across studies of leadership promotion (success) and leadership derailment (failure). One finding is that both promoted and derailed leaders are smart and ambitious and have good technical expertise. A second finding is that derailed leaders exhibit one or more behavioral patterns not evident in leaders who succeed. The following are five derailment patterns:

1. Failure to meet performance objectives.
2. Inability to build and lead a team.
3. Inability to build positive relations with co-workers.
4. Inability to adapt to changing bosses, followers, and situations.
5. Inadequate preparation for promotion.

Most derailed leaders have more than one derailment pattern. The most serious derailment pattern is the failure to meet performance objectives.<sup>61</sup> To personalize the subject, consider individuals you have known who have failed or derailed as leaders as the result of negative behaviors or flaws. What were the consequences?

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## Characteristics of Followers

The word *follower* is rooted in the Old German word *follaziohan*, which means "to help, serve, and assist." Two characteristics of followers that influence the leadership process are **respect for authority** and **interpersonal trust**. People who respect authority figures and have a trusting nature are led more easily than people who disregard authorities and are suspicious of others. (Exercise 3-2 evaluates susceptibility to follow, based on the trust you have in others.)

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**Exercise 3–2**  
**Interpersonal Trust**  
**Scale<sup>62</sup>**

The following is a survey of a number of work and social issues. Respond to each item on the basis of your own experience and judgment in dealing with people. Many views are represented in this survey. You may find yourself agreeing strongly with some of the statements, disagreeing with others, and perhaps being undecided about others. Whether you agree or disagree with any statement, you can be sure that many people feel the same as you do. Circle the response that shows the extent to which you agree or disagree with each statement.

1. The best way to handle people is to tell them what they want to hear.
  - a. Strongly disagree
  - b. Disagree
  - c. Undecided
  - d. Agree
  - e. Strongly agree
2. It is hard to get ahead without cutting corners here and there.
  - a. Strongly disagree
  - b. Disagree
  - c. Undecided
  - d. Agree
  - e. Strongly agree
3. Anyone who completely trusts someone else is asking for trouble.
  - a. Strongly disagree
  - b. Disagree
  - c. Undecided
  - d. Agree
  - e. Strongly agree
4. When you ask someone to do something for you, it is best to give the real reasons for the request rather than giving reasons that might carry more weight.
  - a. Strongly disagree
  - b. Disagree
  - c. Undecided
  - d. Agree
  - e. Strongly agree
5. It is safest to assume that all people have a vicious streak and that it will come out when they are given a chance to use it.
  - a. Strongly disagree
  - b. Disagree
  - c. Undecided
  - d. Agree
  - e. Strongly agree
6. One should take action only when sure it is morally right.
  - a. Strongly disagree
  - b. Disagree
  - c. Undecided
  - d. Agree
  - e. Strongly agree