Leadership

Enhancing the Lessons of Experience

Tenth Edition

Richard L. Hughes
Robert C. Ginnett
Gordon J. Curphy

LEADERSHIP: ENHANCING THE LESSONS OF EXPERIENCE, TENTH EDITION

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Gordy Curphy is a managing partner at Curphy Leadership Solutions and has been running his own consulting business since 2002. As a leadership consultant Gordy has worked with numerous *Fortune* 500 firms to deliver more than 2,500 executive assessments, 150 executive coaching programs, 200 team engagements, and 150 leadership training programs. He has also played a critical role in helping organizations formulate winning strategies, drive major change initiatives, and improve business results. Gordy has published numerous books and articles and presented extensively on such topics as business, community, school, military, and team leadership; the role of personality and intelligence in leadership; building high-performing teams; leading virtual teams; teams at the top; managerial incompetence; followership; on-boarding; succession planning; and employee engagement. Prior to starting his own firm Gordy spent a year as the vice president of institutional leadership at the Blandin Foundation, eight years as a vice president and general manager at Personnel Decisions International, and six years as a professor at the U.S. Air Force Academy. He has a BS from the U.S. Air Force Academy and a PhD in industrial and organizational psychology from the University of Minnesota.

Foreword

The first edition of this popular, widely used textbook was published in 1993, and the authors have continually upgraded it with each new edition including this one.

In a sense, no new foreword is needed; many principles of leadership are timeless. For example, references to Shakespeare and Machiavelli need no updating. However, the authors have refreshed examples and anecdotes, and they have kept up with the contemporary research and writing of leadership experts. Unfortunately, many of the reasons why leaders fail have also proved timeless. Flawed strategies, indecisiveness, arrogance, the naked pursuit of power, inept followers, the inability to build teams, and societal changes have resulted in corrupt governments, lost wars, failed businesses, repressive regimes around the globe, and sexual discrimination and/or harassment. These occurrences remind us that leadership can be used for selfless or selfish reasons, and it is up to those in charge to decide why they choose to lead.

Such examples keep this book fresh and relevant; but the earlier foreword, reprinted here, still captures the tone, spirit, and achievements of these authors' work.

Often the only difference between chaos and a smoothly functioning operation is leadership; this book is about that difference.

The authors are psychologists; therefore, the book has a distinctly psychological tone. You, as a reader, are going to be asked to think about leadership the way psychologists do. There is much here about psychological tests and surveys, about studies done in psychological laboratories, and about psychological analyses of good (and poor) leadership. You will often run across common psychological concepts in these pages, such as personality, values, attitudes, perceptions, and self-esteem, plus some not-so-common "jargon-y" phrases like double-loop learning, expectancy theory, and perceived inequity. This is not the same kind of book that would be written by coaches, sales managers, economists, political scientists, or generals.

Be not dismayed. Because these authors are also teachers with a good eye and ear for what students find interesting, they write clearly and cleanly, and they have also included a host of entertaining, stimulating snapshots of leadership: quotes, anecdotal highlights, and personal glimpses from a wide range of intriguing people, each offered as an illustration of some scholarly point.

Also, because the authors are, or have been at one time or another, together or singly, not only psychologists and teachers but also children, students, Boy Scouts, parents, professors (at the U.S. Air Force Academy), Air Force officers, pilots, church members, athletes, administrators, insatiable readers, and convivial raconteurs, their stories and examples are drawn from a wide range of personal sources, and their anecdotes ring true.

As psychologists and scholars, they have reviewed here a wide range of psychological studies, other scientific inquiries, personal reflections of leaders, and philosophic writings on the topic of leadership. In distilling this material, they have drawn many practical conclusions useful for current and potential leaders. There are suggestions here for goal setting, for running meetings, for negotiating, for managing conflict within groups, and for handling your own personal stress, to mention just a few.

All leaders, no matter what their age and station, can find some useful tips here, ranging over subjects such as body language, keeping a journal, and how to relax under tension.

In several ways the authors have tried to help you, the reader, feel what it would be like "to be in charge." For example, they have posed quandaries such as the following: You are in a leadership position with a budget provided by an outside funding source. You believe strongly in, say, Topic A, and have taken a strong, visible public stance on that topic. The head of your funding source takes you aside and says, "We disagree with your stance on Topic A. Please tone down your public statements, or we will have to take another look at your budget for next year."

What would you do? Quit? Speak up and lose your budget? Tone down your public statements and feel dishonest? There's no easy answer, and it's not an unusual situation for a leader to be in. Sooner or later, all leaders have to confront just how much outside interference they will tolerate in order to be able to carry out programs they believe in.

The authors emphasize the value of experience in leadership development, a conclusion I thoroughly agree with. Virtually every leader who makes it to the top of whatever pyramid he or she happens to be climbing does so by building on earlier experiences. The successful leaders are those who learn from these earlier experiences, by reflecting on and analyzing them to help solve larger future challenges. In this vein, let me make a suggestion. Actually, let me assign you some homework. (I know, I know, this is a peculiar approach in a book foreword; but stay with me—I have a point.)

Your Assignment: To gain some useful leadership experience, persuade eight people to do some notable activity together for at least two hours that they would not otherwise do without your intervention. Your only restriction is that you cannot tell them why you are doing this.

It can be any eight people: friends, family, teammates, club members, neighbors, students, working colleagues. It can be any activity, except that it should be something more substantial than watching television, eating, going to a movie, or just sitting around talking. It could be a roller-skating party, an organized debate, a songfest, a long hike, a visit to a museum, or volunteer work such as picking up litter or visiting a nursing home. If you will take it upon yourself to make something happen in the world that would not have otherwise happened without you, you will be engaging in an act of leadership with all of its attendant barriers, burdens, and pleasures, and you will quickly learn the relevance of many of the topics that the authors discuss in this book. If you try the eight-person-two-hour experience first and read this book later, you will have a much better understanding of how complicated an act of leadership can be. You will learn about the difficulties of developing a vision ("Now that we are together, what are we going to do?"), of motivating others, of setting agendas and timetables, of securing resources, of the need for follow-through. You may even learn about "loneliness at the top." However, if you are successful, you will also experience the thrill that comes from successful leadership. One person *can* make a difference by enriching the lives of others, if only for a few hours. And for all of the frustrations and complexities of leadership, the tingling satisfaction that comes from success can become almost addictive. The capacity for making things happen can become its own motivation. With an early success, even if it is only with eight people for two hours, you may well be on your way to a leadership future.

The authors believe that leadership development involves reflecting on one's own experiences. Reading this book in the context of your own leadership experience can aid in that process. Their book is comprehensive, scholarly, stimulating, entertaining, and relevant for anyone who wishes to better understand the dynamics of leadership, and to improve her or his own personal performance.

David P. Campbell
Psychologist/Author

Preface

With each new edition, we have found ourselves both pleasantly surprised (as in "You mean there'll be another one?") and also momentarily uncertain just what new material on leadership we might add—all the while knowing that in this dynamic field, there is *always* new material to add. Illustrations from history and current leadership practice seem inexhaustible, and there is always new research that deepens both our conceptual understanding and appreciation of evolving trends in the field.

We continue in this tenth edition with the general approach we have followed for a number of preceding editions. The book's overall structure remains essentially the same, following our conceptualization of leadership as a process involving an interaction among leaders, followers, and situations. So once again **Part One** of our text looks at the nature of the leadership process itself as well as how a person *becomes* a better leader. **Part Two** is titled *Focus on the Leader*, with **Parts Three** and **Four** logically following as *Focus on the Followers* and *Focus on the Situation*. And also continuing the format of previous editions, there is a specific "skills chapter" in each of those parts addressing essential leadership competencies appropriate to each of those four broad areas.

As you would expect, this new edition brings research updates to virtually every chapter as well as updates to our *Highlights, Profiles in Leadership*, and *Mini-Case* features. Generally speaking, we have tried to make "one-for-one" trades on these features so as new material was added, less relevant or interesting material was eliminated. As a result, our new set of Highlights includes topics such as these (among others):

- Growth versus fixed mindsets
- The ethics of dropping atom bombs on Hiroshima and Nagasaki
- Lawrence Kohlberg's theory of moral development
- Moral challenges of leadership
- The dangers of hubris
- The relationship between humility and charisma
- Helicopter parenting and its impact on a person's leadership potential
- The accelerating rate of change in the world
- The Space Shuttle *Challenger* disaster
- The impact of the COVID-19 pandemic

Similarly, our *Profiles in Leadership* introduce new subjects as diverse as Harry Truman, Fred Rogers, U.S. Secretary of State Michael Pompeo, and 20th-century German theologian Dietrich Bonhoeffer (who was part of the plot to assassinate Adolf Hitler). New *Mini-Cases* include the examination of Army Lieutenant General Laura Yeager, the first woman to command a combat division in the U.S. Army; Carlsson Systems Ltd. (CSL); and the nuclear disaster at the Chernobyl power plant in the former Soviet Union.

The greatest *structural* change to the book (i.e., to the table of contents) pertains to a new approach to the subject matter covered in the ninth edition's Chapters 9 and 10. The subject matter per se remains essentially the same, but we believe it is treated more appropriately in three rather than just two chapters. Therefore, in this tenth edition **Chapter 9** is titled "Follower Motivation," **Chapter 10** is titled "Follower Satisfaction and Engagement," and **Chapter 11** is titled "Follower Performance, Effectiveness, and Potential." You will also see other changes to the content of certain chapters, including a *Highlight* on punishment in **Chapter 4**, "Power and Influence"; the subject matter seems more appropriate in that chapter than in the final chapter of the book, where it previously had been presented as a leadership skill. We also moved coverage of the Vroom and Yetton model of decision-making from the chapter on contingency theories of leadership to a skills chapter (**Chapter 8**). And there is also updated material on high-performing teams and geographically dispersed teams in **Chapter 12** ("Groups, Teams, and Their Leadership").

As always, we are indebted to the superb editorial staff at McGraw-Hill Education including Michael Ablassmeir, Director; Laura Hurst Spell, Associate Portfolio Manager; Melissa Leick, Senior Content Project Manager; Emily Windelborn, Assessment Content Project Manager; Alyson Platt, Copy Editor; Beth Blech, Designer; Sarah Blasco, Product Developer; Vinoth Prabhakaran, Vendor Customer Service Representative; and Lisa Granger, Marketing Manager.

We are also indebted to the experienced and insightful perspectives of the following scholars who provided helpful feedback to guide changes to the tenth and previous editions:

Douglas Lee Akins, North Central Texas College; Barbara Altman, Texas A&M; Lynn Becker, University of Central Florida; Audrey Blume, Wilmington University; Barry Boyd, Texas A&M University; Patricia Ann Castelli, Lawrence Technological University; Elizabeth Cooper, University of Rhode Island; Marian M. Extejt, Bridgewater State University; Cherly Furdge, North Central Texas College; Diane D. Galbraith, Slippery Rock University; Melissa K. Gibson, Edinboro University; Dr. Gerry Herbison, The American College of Financial Services; Cecil Douglas Johnson, Georgia Gwinnett College; Barbara Limbach, Chadron State College; Michael Monahan, Frostburg State University; Kevin O'Neill, State University of New York at Plattsburgh; Michelle Roach; Susan Pope, University of Akron; Dr. Eric Terry, Miami Dade College; Debra Touchton, Stetson University; Richard S. Voss, Troy University; and Belinda Johnson, White Morehouse College.

Finally, there is one small set of changes to this edition we want to mention. They are not remarkable in either their volume or particular insight; in truth, they represent literally last-minute changes. That is because it was only in our final stage of prepublication work that—like the rest of the world—we found ourselves in the midst of the coronavirus pandemic. And as we progressed through weeks and months of "sheltering at home," we found ourselves becoming increasingly mindful of questions like "How are our leaders responding to this crisis?" and "How might this change life—and leadership—in the future?" As this edition goes to press, we do not yet pretend to know the answers to these questions. But we do believe the enormity of the issues deserves at least some acknowledgment and thoughtful reflection in this text—however superficially we may do so now. Therefore, here and there as it was even *possible* in the process, we've added a Highlight or end-of-chapter questions and activities regarding the pandemic—and for that we appreciate the publisher's considerable flexibility.

And precisely because of the timing of these events, and somewhat in the same spirit and consciousness of the impact the pandemic is having on all our lives, we want to dedicate this edition to the first responders and medical personnel who so bravely, tirelessly, and selflessly are risking their lives to help us all.

Richard L. Hughes

Robert C. Ginnett

Gordon J. Curphy

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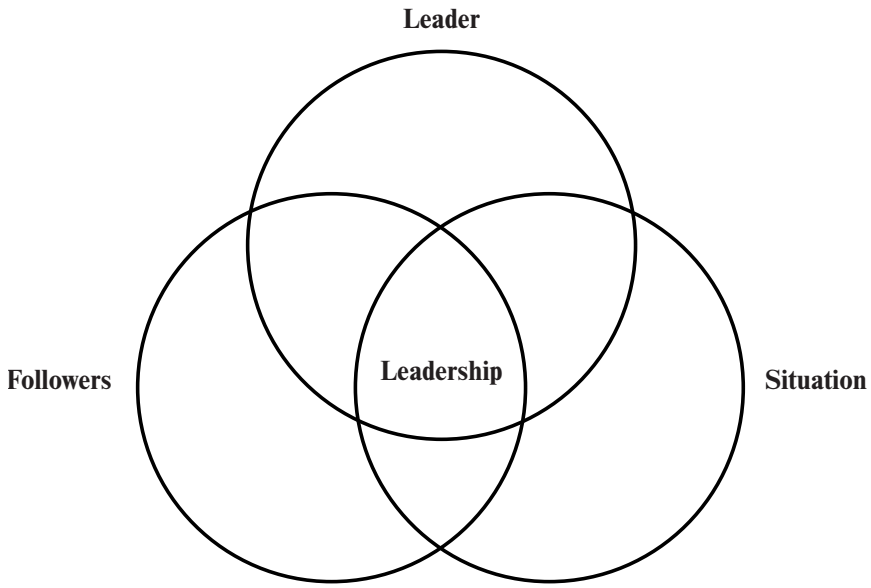
Part 1

Leadership Is a Process, Not a Position



If any single idea is central to this book, it is that leadership is a process, not a position. The entire first part of this book explores that idea. One is not a leader—except perhaps in name only—merely because one holds a title or position. Leadership involves something happening as a result of the interaction between a leader and followers.

In **Chapter 1** we define leadership and explore its relationship to concepts such as management and followership, and we also introduce the interactional framework. The interactional framework is based on the idea that leadership involves complex interactions between the leader, the followers, and the situations they are in. That framework provides the organizing principle for the rest of the book. **Chapter 2** looks at how we can become better leaders by profiting more fully from our experiences, which is not to say that either the study or the practice of leadership is simple. Part 1 concludes with a chapter focusing on basic leadership skills. There also will be a corresponding skills chapter at the conclusion of each of the other three parts in this book.

CHAPTER 1

What Do We Mean by Leadership?

Introduction

According to a poll by the Center for Public Leadership at Harvard Kennedy School, 70 percent of Americans believe our country is in desperate need of better leaders and faces national decline unless something changes.[1] And a 2013 Harris Poll showed that the percentage of people expressing even *some* confidence in governmental, corporate, and financial leadership has plummeted from about 90 percent to 60 percent since 1996.[2] Yet we also sometimes see stories of extraordinary leadership by otherwise ordinary people.

In the spring of 1972, an airplane flew across the Andes mountains carrying its crew and 40 passengers. Most of the passengers were members of an amateur Uruguayan rugby team en route to a game in Chile. The plane never arrived. It crashed in snow-covered mountains, breaking into several pieces on impact. The main part of the fuselage slid like a toboggan down a steep valley, coming to rest in waist-deep snow. Although a number of people died immediately or within a day of the impact, the picture for the 28 survivors was not much better. The fuselage offered little protection from the extreme cold, food supplies were scant, and a number of passengers had serious injuries from the crash. Over the next few days, several surviving passengers became psychotic and several others died from their injuries. The passengers who were relatively uninjured set out to do what they could to improve their chances of survival.

Several worked on "weatherproofing" the wreckage; others found ways to get water; and those with medical training took care of the injured. Although shaken by the crash, the survivors initially were confident they would be found. These feelings gradually gave way to despair as search and rescue teams failed to find the wreckage. With the passing of several weeks and no sign of rescue in sight, the remaining passengers decided to mount expeditions to determine the best way to escape. The most physically fit were chosen to go on the expeditions because the thin mountain air and the deep snow made the trips difficult. The results of the trips were both frustrating and demoralizing: The expedition members determined they were in the middle of the Andes mountains, and walking out to find help was believed to be impossible. Just when the survivors thought nothing worse could possibly happen, an avalanche hit the wreckage and killed several more of them.

The remaining survivors concluded they would not be rescued, and their only hope was for someone to leave the wreckage and find help. Three of the fittest passengers were chosen for the final expedition, and everyone else's work was directed toward improving the expedition's chances of success. The three expedition members were given more food and were exempted from routine survival activities; the rest spent most of their energies securing supplies for the trip. Two months after the plane crash, the expedition members set out on their final attempt to find help. After hiking for 10 days through some of the most rugged terrain in the world, the expedition stumbled across a group of Chilean peasants tending cattle. One of the expedition members stated, "I come from a plane that fell in the mountains. I am Uruguayan . . ." Eventually 14 other survivors were rescued.

When the full account of their survival became known, it was not without controversy. It had required extreme and unsettling measures: The survivors had lived only by eating the flesh of their deceased comrades. Nonetheless, their story is one of the most moving survival dramas of all time, magnificently told by Piers Paul Read in *Alive*.[3] It is a story of tragedy and courage, and it is a story of leadership.

> *Lives of great men all remind us We can make our lives sublime And, departing, leave behind us Footprints on the sands of time.*
>
> **Henry Wadsworth Longfellow, American poet**

Perhaps a story of survival in the Andes is so far removed from everyday experience that it does not seem to hold any relevant lessons about leadership for you personally. But consider some of the basic issues the Andes survivors faced: tension between individual and group goals, dealing with the different needs and personalities of group members, and keeping hope alive in the face of adversity. These issues are not so different from those facing many groups we're a part of. We can also look at the Andes experience for examples of the emergence of informal leaders in groups. Before the flight, a young man named Parrado was awkward and shy, a "second-stringer" both athletically and socially. Nonetheless, this unlikely hero became the best loved and most respected among the survivors for his courage, optimism, fairness, and emotional support. Persuasiveness in group decision-making also was an important part of leadership among the Andes survivors. During the difficult discussions preceding the agonizing decision to survive on the flesh of their deceased comrades, one of the rugby players made his reasoning clear: "I know that if my dead body could help you stay alive, then I would want you to use it. In fact, if I do die and you don't eat me, then I'll come back from wherever I am and give you a good kick in the ass."[4]

What Is Leadership?

> *The halls of fame are open wide and they are always full. Some go in by the door called "push" and some by the door called "pull."*
>
> **Stanley Baldwin, British prime minister in the 1930s**

The Andes story and the experiences of many other leaders we'll introduce to you in a series of profiles sprinkled throughout the chapters provide numerous examples of leadership. But just what *is* leadership? People who do research on leadership disagree more than you might think about what leadership really is. Most of this disagreement stems from the fact that **leadership** is a complex phenomenon involving the leader, the followers, and the situation. Some leadership researchers have focused on the personality, physical traits, or behaviors of the leader; others have studied the relationships between leaders and followers; still others have studied how aspects of the situation affect how leaders act. Some have extended the latter viewpoint so far as to suggest there is no such thing as leadership; they argue that organizational successes and failures are often falsely attributed to the leader, but the situation may have a much greater impact on how the organization functions than does any individual, including the leader.[5]

> *Remember the difference between a boss and a leader: a boss says, "Go!"—a leader says, "Let's go!"*
>
> **E. M. Kelly**

Perhaps the best way for you to begin to understand the complexities of leadership is to see some of the ways leadership has been defined. Leadership researchers have defined leadership in many different ways:

- The process by which an agent induces a subordinate to behave in a desired manner.[6]
- Directing and coordinating the work of group members.[7]
- An interpersonal relation in which others comply because they want to, not because they have to.[8]

- The process of influencing an organized group toward accomplishing its goals.[9]
- Actions that focus resources to create desirable opportunities.[10]
- Creating conditions for a team to be effective.[11]
- The ability to engage employees, the ability to build teams, and the ability to achieve results; the first two represent the how and the latter the what of leadership.[12]
- A complex form of social problem solving.[13]

As you can see, definitions of leadership differ in many ways, and these differences have resulted in various researchers exploring disparate aspects of leadership. For example, if we were to apply these definitions to the Andes survival scenario described earlier, some researchers would focus on the behaviors Parrado used to keep up the morale of the survivors. Researchers who define leadership as influencing an organized group toward accomplishing its goals would examine how Parrado managed to convince the group to stage and support the final expedition. One's definition of leadership might also influence just *who* is considered an appropriate leader for study. Thus each group of researchers might focus on a different aspect of leadership, and each would tell a different story regarding the leader, the followers, and the situation.

Although having many leadership definitions may seem confusing, it is important to understand that there is no single correct definition. The various definitions can help us appreciate the multitude of factors that affect leadership, as well as different perspectives from which to view it. For example, in the first definition just listed, the word *subordinate* seems to confine leadership to downward influence in hierarchical relationships; it seems to exclude informal leadership. The second definition emphasizes the directing and coordinating aspects of leadership, and thereby may deemphasize emotional aspects of leadership. The emphasis placed in the third definition on subordinates' "wanting to" comply with a leader's wishes seems to exclude any kind of coercion as a leadership tool. Further, it becomes problematic to identify ways in which a leader's actions are really leadership if subordinates voluntarily comply when a leader with considerable potential coercive power merely asks others to do something without explicitly threatening them. Similarly, a key reason behind using the phrase *desirable opportunities* in one of the definitions was precisely to distinguish between leadership and tyranny. And partly because there are many different definitions of leadership, there is also a wide range of individuals we consider leaders. In addition to the stories about leaders and leadership that we sprinkle throughout this book, we highlight several in each chapter in a series of Profiles in Leadership. The first of these is **Profiles in Leadership 1.1**, which highlights Sheikh Zayed, the founder of the United Arab Emirates.

> *"Future generations will be living in a world that is very different from that to which we are accustomed. It is essential that we prepare ourselves and our children for that new world."*
>
> **Sheikh Zayed bin Sultan Al Nahyan**

Sheikh Zayed bin Sultan Al Nahyan

PROFILES IN LEADERSHIP 1.1

Sheikh Zayed founded the United Arab Emirates (UAE) in 1971 and led it through arguably the world's greatest national transformation of the past 100 years. When he was born in 1918 the area was a desert dominated by warring Arab tribes, and its economy was based largely on fishing and pearl-diving. But consider the UAE today:

- The city of Dubai is one of the safest cities in the world, its airport is the busiest international airport in the world, and a new skyscraper is built every day.
- One of those buildings, the Burj Khalifa, is the tallest building in the world, and the Dubai Mall is the largest shopping center in the world.
- Women hold leadership roles throughout society including in business, government, and the military. Religious openness is evident in the major cities with Muslim mosques, Christian churches, Hindu temples, and even Jewish synagogues found throughout the major cities. It is the first country in the Arab region to enact a comprehensive law combating human trafficking.

So how did Zayed launch this amazing transformation? The story begins with the early life of the man himself. As a boy and young man, he traveled extensively throughout the region living alongside Bedouin tribesmen, learning about their way of life in the desert. That same thirst for learning prompted him to conduct extensive research into the ancient history of the region, leading to his discovery that 15,000 years ago the Arabian peninsula was originally covered by thick forests and only later transformed into a desert. But those ancient forests—transformed through eons into oil—still lay under the desert sand. He committed himself to returning the region to greenness.

One element of that quest became the planting of trees, and now more than a million trees are growing within the UAE. He established experimental agricultural stations across the country. He initiated projects of water distribution, conservation, and desalination. And he believed that the real resource of any nation is its people, and committed his considerable wealth, energy, and talents to make education for all citizens—men and women—a top national priority. The list of his transformations goes on: health care, wildlife conservation, and job rights, to name just a few.

This was a man who transformed a desert into a modern, thriving region still affirming the moderate Islamic values that his entire life embodied.

Mindful of the Profiles in Leadership running throughout the book, you might wonder (as we do) about just what kind of leaders *ought* to be profiled in these pages. Should we use illustrations featuring leaders who rose to the top in their respective organizations? Should we use illustrations featuring leaders who contributed significantly to enhancing the effectiveness of their organizations?

We suspect you answered yes to both questions. But there's the rub. You see, leaders who rise to the top in their organizations are not always the same as those who help make their organizations more effective. As it turns out, **successful managers** (i.e., those promoted quickly through the ranks) spend relatively more time than others in organizational socializing and politicking; and they spend relatively less time than the latter on traditional management responsibilities like planning and decision-making. Truly **effective managers**, however, make real contributions to their organization's performance.[14] This distinction is a critical one, even if quite thorny to untangle in leadership research.

A recent 10-year study of what separated the "best of the best" executives from all the rest in their organizations offers some valuable insights even for people at the very beginning of their careers (and this study was studying real effectiveness, not just success-at-schmoozing, as described in the preceding paragraph). These "best of the best" executives demonstrated expertise and across their careers excelled across all facets of their organization's functions—they knew the *whole* business, not just a piece of it. And they also knew and cared about the people they worked with. These top-performing leaders formed deep and trusting relationships with others, including superiors, peers, and direct reports. They're the kind of people others want working for them, and the kind others want to work for. By the way, relational failure with colleagues proved to be the quickest route to failure among the second-best executives.[15]

All considered, we find that defining leadership as "the process of influencing an organized group toward accomplishing its goals" is fairly comprehensive and helpful. Several implications of this definition are worth further examination.

Leadership Is Both a Science and an Art

Saying leadership is both a science and an art emphasizes the subject of leadership as a field of scholarly inquiry, as well as certain aspects of the practice of leadership. The scope of the science of leadership is reflected in the number of studies—approximately 8,000—cited in an authoritative reference work, *Bass & Stogdill's Handbook of Leadership: Theory, Research, and Managerial Applications.*[16] A review of leadership theory and research over the past 25 years notes the expanding breadth and complexity of scholarly thought about leadership in the preceding quarter century. For example, leadership involves dozens of different theoretical domains and a wide variety of methods for studying it.[17] And using an innovative methodology of "mapping" research trends over time, a 2019 review of the leadership research between 1990 and 2017 identified 200 demonstrably "landmark" studies that indicate significant areas of study in the evolution of the field.[18]

However, being an expert on leadership research is neither necessary nor sufficient for being a good leader. Some managers may be effective leaders without ever having taken a course or training program in leadership, and some scholars in the field of leadership may be relatively poor leaders themselves. What's more, new academic models of leadership consider the "locus" of leadership (where leadership emanates from) as not just coming from an *individual* leader (whether holding a formal position or not, as we'll explore later in this chapter) but also as emanating alternatively from groups or even from an entire organization.[19]

> *Any fool can keep a rule. God gave him a brain to know when to break the rule.*
>
> **General Willard W. Scott**

Nonetheless, knowing something about leadership research is relevant to leadership effectiveness. Scholarship may not be a prerequisite for leadership effectiveness, but understanding some of the major research findings can help individuals better analyze situations using a variety of perspectives. That, in turn, can tell leaders how to be more effective—presuming, of course, that they *believe* evidence from research is a valid basis for informing one's own leadership practice.[20]

Even so, because skills in analyzing and responding to situations vary greatly across leaders, leadership will always remain partly an art as well as a science. **Highlight 1.1** raises the question of whether leadership should be considered a true science or not.

Is the Study of Leadership a "Real" Science?

HIGHLIGHT 1.1

In this chapter we posit that leadership is both a science and an art. Most people, we think, accept the idea that some element of leadership is an art in the sense that it can't be completely prescribed or routinized into a set of rules to follow, that there is an inherent personal element to leadership. Perhaps even because of that, many people are skeptical about the idea that the study of leadership can be a "real" science like physics and chemistry. Even when acknowledging that thousands of empirical stud-

ies of leadership have been published, many still resist the idea that it is in any way analogous to the "hard" sciences.

It might interest you to know, then, that a lively debate is ongoing today among leadership scholars about whether leadership ought to model itself after physics. And the debate is about more than "physics envy." The debate is reminiscent of the early 20th century, when some of the great minds in psychology proposed that psychological theory should be based on formal and explicit mathematical models rather than armchair speculation. Today's debate about the field of leadership looks at the phenomena from a systems perspective and revolves around the extent to which there may be fundamental similarities between leadership and thermodynamics.

So are you willing to consider the possibility that the dynamics governing molecular bonding can also explain how human beings organize themselves to accomplish a shared objective?

Source: R. B. Kaiser, "Beyond Physics Envy? An Introduction to the Special Issue," *Consulting Psychology Journal: Practice & Research* 66 (2014), pp. 259–60.

Leadership Is Both Rational and Emotional

> *A democracy cannot follow a leader unless he is dramatized. A man to be a hero must not content himself with heroic virtues and anonymous action. He must talk and explain as he acts—drama.*
>
> **William Allen White, American writer and editor, *Emporia Gazette***

Leadership involves both the rational and emotional sides of human experience. Leadership includes actions and influences based on reason and logic as well as those based on inspiration and passion. We do not want to cultivate merely intellectualized leaders who respond with only logical predictability. Because people differ in their thoughts and feelings, hopes and dreams, needs and fears, goals and ambitions, and strengths and weaknesses, leadership situations can be complex. People are both rational and emotional, so leaders can use rational techniques and emotional appeals to influence followers, but they must also weigh the rational and emotional consequences of their actions.

A full appreciation of leadership involves looking at both of these sides of human nature. Good leadership is more than just calculation and planning, or following a checklist, even though rational analysis can enhance good leadership. Good leadership also involves touching others' feelings; emotions play an important role in leadership, too. Just one example of this is the civil rights movement of the 1960s, which was based on emotions as well as on principles. Dr. Martin Luther King Jr. inspired many people to action; he touched people's hearts as well as their minds.

Aroused feelings, however, can be used either positively or negatively, constructively or destructively. Some leaders have been able to inspire others to deeds of great purpose and courage. By contrast, as images of Adolf Hitler's mass rallies or present-day angry mobs attest, group frenzy can readily become group mindlessness. As another example, emotional appeals by the Reverend Jim Jones resulted in approximately 800 of his followers volitionally committing suicide.

The mere presence of a group (even without heightened emotional levels) can also cause people to act differently than when they are alone. For example, in airline cockpit crews, there are clear lines of authority from the captain down to the first officer (second in command) and so on. So strong are the norms surrounding the authority of the captain that some first officers will not take control of the airplane from the captain even in the event of impending disaster. Foushee reported a study wherein airline captains in simulator training intentionally feigned incapacitation so that the response of the rest of the crew could be observed.[21] The feigned incapacitations occurred at a predetermined point during the plane's final approach in landing, and the sim-

ulation involved conditions of poor weather and visibility. Approximately 25 percent of the first officers in these simulated flights allowed the plane to crash. For some reason, the first officers did not take control even when it was clear the captain was allowing the aircraft to deviate from the parameters of a safe approach. This example demonstrates how group dynamics can influence the behavior of group members even when emotional levels are *not* high. (Believe it or not, airline crews are so well trained that this is *not* an emotional situation.) In sum, it should be apparent that leadership involves followers' feelings and nonrational behavior as well as rational behavior. Leaders need to consider *both* the rational and the emotional consequences of their actions.

In fact, some scholars have suggested that the very idea of leadership may be rooted in our emotional needs. Belief in the potency of leadership, however—what has been called the **romance of leadership**—may be a cultural myth that has utility primarily insofar as it affects how people create meaning about causal events in complex social systems. Such a myth, for example, may be operating in the tendency of many people in the business world to automatically attribute a company's success or failure to its leadership. Rather than being a casual factor in a company's success, however, it might be the case that "leadership" is merely a romanticized notion—an obsession people want to and need to believe in.[22] Related to this may be a tendency to attribute a leader's success primarily if not entirely to that person's unique *individual* qualities. That idea is further explored in **Profiles in Leadership 1.2**.

Bill Gates's Head Start

PROFILES IN LEADERSHIP 1.2

Belief in an individual's potential to overcome great odds and achieve success through talent, strength, and perseverance is common in America, but usually there is more than meets the eye in such success stories. Malcolm Gladwell's best seller *Outliers* presents a fascinating exploration of how situational factors contribute to success in addition to the kinds of individual qualities we often assume are all-important. Have you ever thought, for example, that Bill Gates was able to create Microsoft because he's just brilliant and visionary?

Well, let's take for granted he *is* brilliant and visionary—there's plenty of evidence of that. The point here, however, is that's not always enough (and maybe it's *never* enough). Here are some of the things that placed Bill Gates, with all his intelligence and vision, at the right time in the right place:

- Gates was born to a wealthy family in Seattle that placed him in a private school for seventh grade. In 1968, his second year there, the school started a computer club—even before most *colleges* had computer clubs.
- In the 1960s, virtually everyone who was learning about computers used computer cards, a tedious and mind-numbing process. The computer at Gates's school, however, was linked to a mainframe in downtown Seattle. Thus in 1968, Bill Gates was practicing computer programming via time-sharing as an eighth grader; few others in the world then had such opportunity, whatever their age.
- Even at a wealthy private school like the one Gates attended, however, funds ran out to cover the high costs of buying time on a mainframe computer. Fortunately, at about the same time, a group called the Computer Center Corporation was formed at the University of Washington to lease computer

time. One of its founders, coincidentally a parent at Gates's own school, thought the school's computer club could get time on the computer in exchange for testing the company's new software programs. Gates then started a regular schedule of taking the bus after school to the company's offices, where he programmed long into the evening. During one seven-month period, Gates and his fellow computer club members averaged eight hours a day, seven days a week, of computer time.

- When Gates was a high school senior, another extraordinary opportunity presented itself. A major national company (TRW) needed programmers with specialized experience—exactly, as it turned out, the kind of experience the kids at Gates's school had been getting. Gates successfully lobbied his teachers to let him spend a spring doing this work in another part of the state for independent study credit.
- By the time Gates dropped out of Harvard after his sophomore year, he had accumulated more than *10,000 hours* of programming experience. It was, he's said, a better exposure to software development than anyone else at a young age could have had—and all because of a lucky series of events.

It appears that Gates's success is at least partly an example of the right person being in the right place at just the right time.

Source: Malcolm Gladwell, *Outliers: The Story of Success* (New York: Little, Brown and Company, 2008).

Leadership and Management

> *If you want some ham, you gotta go into the smokehouse.*
>
> **Huey Long, governor of Louisiana, 1928–1932**

In trying to answer the question "What is leadership?" it is natural to look at the relationship between leadership and management. To many people, the word **management** suggests words like *efficiency, planning, paperwork, procedures, regulations, control*, and *consistency*. Leadership is often more associated with words like *risk taking, dynamic, creativity, change*, and *vision*. Some people say leadership is fundamentally a value-choosing, and thus a value-laden, activity, whereas management is not. Leaders are thought to *do the right things*, whereas managers are thought to *do things right*.[23, 24] Here are some other distinctions between managers and leaders:[25]

- Managers administer; leaders innovate.
- Managers maintain; leaders develop.
- Managers control; leaders inspire.
- Managers have a short-term view; leaders, a long-term view.
- Managers ask how and when; leaders ask what and why.
- Managers imitate; leaders originate.
- Managers accept the status quo; leaders challenge it.

While acknowledging this general distinction between leadership and management is essentially accurate and even useful, however, it has had unintended negative effects: "Some leaders now see their job as just coming up with big and vague ideas, and they treat implementing them, or even engaging in conversation and planning about the details of them, as mere 'management' work that is beneath their station and stature."[26]

Zaleznik goes so far as to say these differences reflect fundamentally different personality types: Leaders and managers are basically different kinds of people.[27] He says some people are managers *by nature*; other people are leaders *by nature*. One is not better than the other; they are just different. Their differences, in fact, can be useful because organizations typically need both functions performed well. For example, consider again the U.S. civil rights movement in the 1960s. Dr. Martin Luther King Jr. gave life and direction to the civil rights movement in America. He gave dignity and hope of freer participation in national life to people who before had little reason to expect it. He inspired the world with his vision and eloquence, and he changed the way we live together. America is a different nation today because of him. Was Dr. Martin Luther King Jr. a leader? Of course. Was he a manager? Somehow that does not seem to fit, and the civil rights movement might have failed if it had not been for the managerial talents of his supporting staff. Leadership and management complement each other, and both are vital to organizational success.

With regard to the issue of leadership versus management, the authors of this book take a middle-of-the-road position. We think of leadership and management as closely related but distinguishable functions. Our view of the relationship is depicted in **Figure 1.1**, which shows leadership and management as two overlapping functions. Although some functions performed by leaders and managers may be unique, there is also an area of overlap. In reading **Highlight 1.2**, do you see more good management in the response to the 1906 San Francisco earthquake, more good leadership, or both? And in **Profiles in Leadership 1.3** you can read about leaders from two different eras in American history.

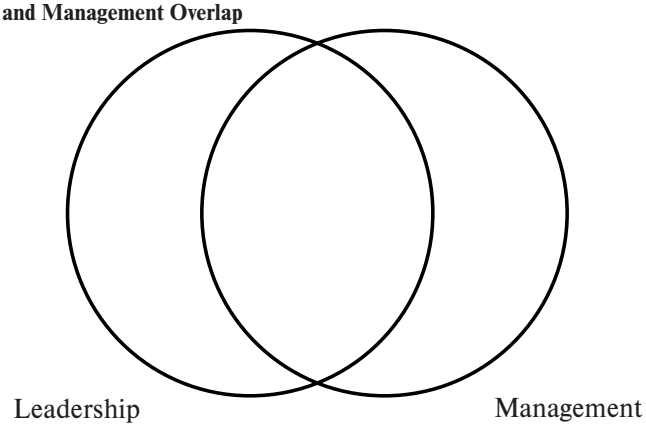
The Response of Leadership to a Natural Disaster

HIGHLIGHT 1.2

After terrible natural disasters occur, it is common for observers to comment about the adequacy or inadequacy of government responses to them. It may be instructive to compare the response of government agencies to a natural disaster that occurred more than a century ago: the San Francisco earthquake and fire of 1906.

While the precipitant disaster was the earthquake itself, much destruction resulted from the consequent fire, one disaster aggravating the impact of the others. Poles throughout the city fell, taking the high-tension wires they were car-

FIGURE 1.1 Leadership and Management Overlap



rying with them. Gas pipes broke; chimneys fell, dropping hot coals into thousands of gallons of gas spilled by broken fuel tanks; stoves and heaters in homes toppled over; and in moments fires erupted across the city. Because the earthquake's first tremors also broke water pipes throughout the city, fire hydrants everywhere suddenly went dry, making fighting the fires virtually impossible. In objective terms, the disaster is estimated to have killed as many as 3,000 people, rendered more than 200,000 homeless, and by some measures caused $195 billion in property loss as measured by today's dollars.

How did authorities respond to the crisis when there were far fewer agencies with presumed response plans to combat disasters, and when high-tech communication methods were unheard of? Consider these two examples:

- The ranking officer assigned to a U.S. Army post in San Francisco was away when the earthquake struck, so it was up to his deputy to help organize the army's and federal government's response. The deputy immediately cabled Washington, D.C., requesting tents, rations, and medicine. Secretary of War William Howard Taft, who would become the next U.S. president, responded by immediately dispatching 200,000 rations from Washington state. In a matter of days, every tent in the U.S. Army had been sent to San Francisco, and the longest hospital train in history was dispatched from Virginia.
- Perhaps the most impressive example of leadership initiative in the face of the 1906 disaster was that of the U.S. Post Office. It recovered its ability to function in short order without losing a single item that was being handled when the earthquake struck. And because the earthquake had effectively destroyed the city's telegraphic connection (telegrams inside the city were temporarily being delivered by the post office), a critical question arose: How could people struck by the disaster communicate with their families elsewhere? The city postmaster immediately announced that all citizens of San Francisco could use the post office to inform their families and loved ones of their condition and needs. He further stipulated that for outgoing private letters it would not matter whether the envelopes bore stamps. This was what was needed: Circumstances demanded that people be able to communicate with friends and family whether or not they could find or pay for stamps.

This should remind us that modern leadership is not necessarily better leadership, and that leadership in government is not always bureaucratic and can be both humane and innovative.

A Tale of Two Leaders

PROFILES IN LEADERSHIP 1.3

In 2015, the musical *Hamilton* opened on Broadway. It would go on to win a Pulitzer Prize and 11 Tony awards. It tells the story of Alexander Hamilton, a founding father whose singularly important role in our history has been largely forgotten.

If you are like most people—at least before *Hamilton* opened on Broadway—you probably knew very little about Alexander Hamilton's life. So consider just a few noteworthy pieces of his life story:

- He was born out of wedlock to a mixed-race couple in the West Indies in 1755. He served an apprenticeship in St. Croix with a trading company where his experience with seafaring traders and smugglers provided insight key to his later establishment of the U.S. Coast Guard and customs service.
- He attended college in the American colonies, and at the age of 22, served as George Washington's private secretary and as his unofficial chief-of-staff during the Revolutionary War. He was the main architect of the new American government following the Constitutional Convention of 1787.

Rather impressive accomplishments for someone you had not heard much about before the musical became popular. But Lin-Manuel Miranda became fascinated with the character when he read Ron Chernow's excellent biography of Hamilton. It inspired him to write the musical (both the script and the music) and to star in the title role.

And just as many Americans have become newly acquainted with Alexander Hamilton the leader, many have come to appreciate Lin-Manuel Miranda the leader as well. Among his accomplishments was his selection as one of *Time* magazine's 100 most influential people of 2016. In reflecting on the award and his own legacy, he told *Time* magazine, "We have this amount of time. It's the tiniest grain of sand of time we're allowed on this earth, and what do we leave behind? I think that question has gnawed at me as long as I've been conscious. That's something that Hamilton outright states in our show, and I think that's something I share with him."

Largely as a result of *Hamilton*'s success, Miranda is now estimated to earn $105,000 a week in royalties. But his now unquestioned success does not—in his own mind, at least—make *Hamilton* the turning point in his life. He still lives in the same predominantly Latino neighborhood of Washington Heights where he grew up and which inspired his first Broadway musical. In recalling that milestone, he recalls, "I think honestly the biggest leap [in my life] was the first production of *In The Heights*, because I went from being a substitute teacher to a Broadway composer. I'll never make a leap that big again in my life."

Sources: R. Chernow, *Alexander Hamilton* (New York: Penguin, 2004); J. McGregor, "How Hamilton's Lin-Manuel Miranda Makes Us Think about Legacy," *The Washington Post*, May 4, 2016; and "Miranda's Life as a Rich Man," *The Week*, November 15, 2019, p. 10.

Leadership Myths

Few things pose a greater obstacle to leadership development than certain unsubstantiated and self-limiting beliefs about leadership. Therefore, before we begin examining leadership and leadership development in more detail, we consider what they are not. Here we examine several beliefs (we call them myths) that stand in the way of fully understanding and developing leadership.

Myth: Good Leadership Is All Common Sense

At face value, this myth says one needs only common sense to be a good leader. It also implies, however, that most if not all of the studies of leadership reported in scholarly journals and books only confirm what anyone with common sense already knows.

The problem, of course, is with the ambiguous term *common sense*. It implies a common body of practical knowledge about life that virtually any reasonable person with moderate experience has acquired. A simple

experiment, however, may convince you that common sense may be less common than you think. Ask a few friends or acquaintances whether the old folk wisdom "Absence makes the heart grow fonder" is true or false. Most will say it is true. After that, ask a different group whether the old folk wisdom "Out of sight, out of mind" is true or false. Most of that group will answer true as well, even though the two proverbs are contradictory.

> *If you miss seven balls out of ten, you're batting three hundred and that's good enough for the Hall of Fame. You can't score if you keep the bat on your shoulder.*
>
> **Walter B. Wriston, chairman of Citicorp, 1970–1984**

A similar thing sometimes happens when people hear about the results of studies concerning human behavior. On hearing the results, people may say, "Who needed a study to learn that? I knew it all the time." However, several experiments showed that events were much more surprising when subjects had to guess the outcome of an experiment than when subjects were told the outcome.[28, 29] What seems obvious after you know the results and what you (or anyone else) would have predicted beforehand are not the same thing. Hindsight is always 20/20.

The point might become clearer with a specific example. Read the following paragraph:

> After World War II, the U.S. Army spent enormous sums of money on studies only to reach conclusions that, many believed, should have been apparent at the outset. One, for example, was that southern soldiers were better able to stand the climate in the hot South Sea islands than northern soldiers were.

This sounds reasonable, but there is a problem: The statement here is exactly contrary to the actual findings. Southerners were no better than northerners in adapting to tropical climates.[30] Common sense can often play tricks on us.

Put a little differently, one challenge of understanding leadership may be to know when common sense applies and when it does not. Do leaders need to act confidently? Of course. But they also need to be humble enough to recognize that others' views are useful, too. Do leaders need to persevere when times get tough? Yes. But they also need to recognize when times change and a new direction is called for. If leadership were nothing more than common sense, there should be few, if any, problems in the workplace. However, we venture to guess you have noticed more than a few problems between leaders and followers. Effective leadership must be something more than just common sense.

Myth: Leaders Are Born, Not Made

Some people believe that being a leader is either in one's genes or not; others believe that life experiences mold the individual and that no one is born a leader. Which view is right? In a sense, both and neither. Both views are right in that innate factors as well as formative experiences influence many sorts of behavior, including leadership. Yet both views are wrong to the extent they imply leadership is *either* innate *or* acquired; what matters more is how these factors *interact*. It does not seem useful, we believe, to think of the world as comprising two mutually exclusive types of people, leaders and nonleaders. It is more useful to address how each person can make the most of leadership opportunities he or she faces.

> *Never reveal all of yourself to other people; hold back something in reserve so that people are never quite sure if they really know you.*
>
> **Michael Korda, author, editor**

It may be easier to see the pointlessness of asking whether leaders are born or made by looking at an alternative question of far less popular interest: Are *college professors* born or made? Conceptually the issues are the same, and here too the answer is that every college professor is both born *and* made. It seems clear

enough that college professors are partly "born" because (among other factors) there is a genetic component to intelligence, and intelligence surely plays some part in becoming a college professor (well, at least a *minor* part!). But every college professor is also partly "made." One obvious way is that college professors must have advanced education in specialized fields; even with the right genes one could not become a college professor without certain requisite experiences. Becoming a college professor depends partly on what one is born with and partly on how that inheritance is shaped through experience. The same is true of leadership.

More specifically, research indicates that many cognitive abilities and personality traits are at least partly innate.[31] Thus natural talents or characteristics may offer certain advantages or disadvantages to a leader. Consider physical characteristics: A man's above-average height may increase others' tendency to think of him as a leader; it may also boost his own self-confidence. But it doesn't make him a leader. The same holds true for psychological characteristics that seem related to leadership. The stability of certain characteristics over long periods (for example, at school reunions people seem to have kept the same personalities we remember them as having years earlier) may reinforce the impression that our basic natures are fixed, but different environments nonetheless may nurture or suppress different leadership qualities.

Myth: The Only School You Learn Leadership from Is the School of Hard Knocks

> *Progress always involves risks. You can't steal second base and keep your foot on first.*
>
> **Frederick B. Wilcox**

Some people skeptically question whether leadership can develop through formal study, believing instead it can be acquired only through actual experience. It is a mistake, however, to think of formal study and learning from experience as mutually exclusive or antagonistic. In fact, they complement each other. Rather than ask whether leadership develops from formal study or from real-life experience, it is better to ask what kind of study will help students learn to discern critical lessons about leadership from their own experience. Approaching the issue in such a way recognizes the vital role of experience in leadership development, but it also admits that certain kinds of study and training can improve a person's ability to discern important lessons about leadership from experience. It can, in other words, accelerate the process of learning from experience.

We argue that one advantage of formally studying leadership is that formal study provides students with a variety of ways of examining a particular leadership situation. By studying the different ways researchers have defined and examined leadership, students can use these definitions and theories to better understand what is going on in any leadership situation. For example, earlier in this chapter we used different leadership definitions as a framework for describing or analyzing the situation facing Parrado and the survivors of the plane crash, and each definition focused on a different aspect of leadership. These frameworks can similarly be applied to better understand the experiences one has as both a leader and a follower. We think it is difficult for leaders, particularly novice leaders, to examine leadership situations from multiple perspectives; but we also believe developing this skill can help you become a better leader. Being able to analyze your experiences from multiple perspectives may be the greatest single contribution a formal course in leadership can give you. Maybe you can reflect on your own leadership over a cup of coffee in Starbucks as you read about the origins of that company in **Profiles in Leadership 1.4**.

Harry Truman Takes Charge

PROFILES IN LEADERSHIP 1.4

The first four months of Harry Truman's presidency might be the most important four months in American history in politically shaping today's world.

Truman assumed the presidency upon the death of Franklin Delano Roosevelt (FDR) in 1945, and Roosevelt was not an easy act to follow. FDR had served in the office longer than anyone before (or since) and was widely regarded as one of the greatest and most popular presidents in history. Truman, on the other hand, was described as the "prototypical ordinary man." He had no college degree and never had enough money to own a home. His only slightly tongue-in-cheek self-description is revealing: "My choice early in life was either to be a piano player in a whorehouse or a politician. And to tell the truth, there's hardly any difference."

He would recall the day of FDR's death—in 1945, during what would be the last year of WWII—as the day "the whole weight of the moon and the stars fell on me." When told by First Lady Eleanor Roosevelt of her husband's death, he immediately asked if there was anything he could do to help her. She answered, "Is there anything *we* can do for *you*? For you are the one in trouble now." He could not have known on that first day all that he would be facing, because there was much, even as vice president, that he had not been made privy to. Late on his first day as president, the Secretary of War told him about a project underway to develop a weapon of incomprehensible destructive power. It was called the Manhattan Project, and the weapon was the atom bomb. Only four months later, Truman would have to decide whether to use it to end the war. During the first four months of his presidency, he also oversaw the collapse of the Nazi empire, fire-bombings of Japanese cities that killed hundreds of thousands of people, and the creation of the United Nations. He is now regarded as among the greatest of American presidents of all time.

Source: A. J. Baime, *The Accidental President: Harry S. Truman and the Fourth Months That Changed the World* (Boston: Mariner Books, 2017).

The Interactional Framework for Analyzing Leadership

Perhaps the first researcher to formally recognize the importance of the leader, follower, and situation in the leadership process was Fred Fiedler.[32] Fiedler used these three components to develop his contingency model of leadership, a theory of leadership discussed in more detail in **Chapter 15**. Although we recognize Fiedler's contributions, we owe perhaps even more to Hollander's transactional approach to leadership.[33] We call our approach the **interactional framework**.

Several aspects of this derivative of Hollander's approach are worthy of additional comment. First, as shown in **Figure 1.2**, the framework depicts leadership as a function of three elements—the **leader**, the **followers**, and the **situation**. Second, a particular leadership scenario can be examined using each level of analysis separately. Although this is a useful way to understand the leadership process, we can understand the process even better if we also examine the **interactions** among the three elements, or lenses, represented by the overlapping areas in the figure. For example, we can better understand the leadership process if we not only look at the leaders and the followers but also examine how leaders and followers affect each other in the leadership

process. Similarly, we can examine the leader and the situation separately, but we can gain a better understanding of the leadership process by looking at how the situation can constrain or facilitate a leader's actions and how the leader can change different aspects of the situation to be more effective. Thus a final important aspect of the framework is that leadership is the result of a complex set of interactions among the leader, the followers, and the situation. These complex interactions may be why broad generalizations about leadership are problematic: Many factors influence the leadership process (see **Highlight 1.3**).

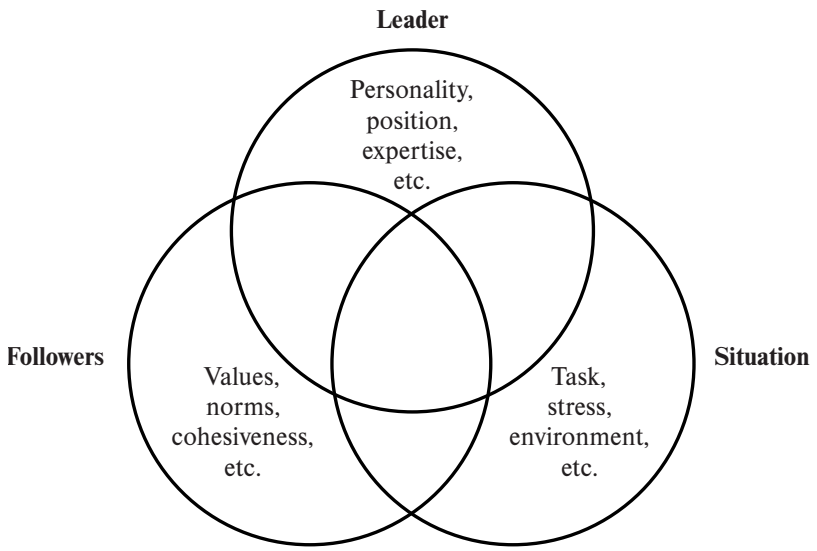
An example of one such complex interaction between leaders and followers is evident in what have been called in-groups and out-groups. Sometimes there is a high degree of mutual influence and attraction between the leader and a few subordinates. These subordinates belong to the **in-group** and can be distinguished by their high degree of loyalty, commitment, and trust felt toward the leader. Other subordinates belong to the **out-group**. Leaders have considerably more influence with in-group followers than with out-group followers. However, this greater degree of influence has a price. If leaders rely primarily on their formal authority to influence their followers (especially if they punish them), then leaders risk losing the high levels of loyalty and commitment followers feel toward them.[34]

The Leader

This element examines primarily what the leader brings *as an individual* to the leadership equation. This can include unique personal history, interests, character traits, and motivation.

Leaders are *not* all alike, but they tend to share many characteristics. Research has shown that leaders differ from their followers, and effective leaders differ from ineffective leaders, on various personality traits, cognitive abilities, skills, and values.[35, 36, 37, 38, 39, 40] Another way personality can affect leadership is through temperament, by which we mean whether a leader is generally calm or is instead prone to emotional outbursts. Leaders who have calm dispositions and do not attack or belittle others for bringing bad news are

FIGURE 1.2 An Interactional Framework for Analyzing Leadership



Source: Adapted from E. P. Hollander, *Leadership Dynamics: A Practical Guide to Effective Relationships* (New York: Free Press, 1978).

more likely to get complete and timely information from subordinates than are bosses who have explosive tempers and a reputation for killing the messenger.

Another important aspect of the leader is how he or she achieved leader status. Leaders who are appointed by superiors may have less credibility with subordinates and get less loyalty from them than leaders who are elected or emerge by consensus from the ranks of followers. Often emergent or elected officials are better able to influence a group toward goal achievement because of the power conferred on them by their followers. However, both elected and emergent leaders need to be sensitive to their constituencies if they wish to remain in power.

More generally, a leader's experience or history in a particular organization is usually important to her or his effectiveness. For example, leaders promoted from within an organization, by virtue of being familiar with its culture and policies, may be ready to "hit the ground running." In addition, leaders selected from within an organization are typically better known by others in the organization than are leaders selected from the outside. That is likely to affect, for better or worse, the latitude others in the organization are willing to give the leader; if the leader is widely respected for a history of accomplishment, she may be given more latitude than a newcomer whose track record is less well known. On the other hand, many people tend to give new leaders a fair chance to succeed, and newcomers to an organization often take time to learn the organization's informal rules, norms, and "ropes" before they make any radical or potentially controversial decisions.

A leader's legitimacy also may be affected by the extent to which followers participated in the leader's selection. When followers have had a say in the selection or election of a leader, they tend to have a heightened sense of psychological identification with her, but they also may have higher expectations and make more demands on her.[41] We also might wonder what kind of support a leader has from his own boss. If followers sense their boss has a lot of influence with the higher-ups, subordinates may be reluctant to take their complaints to higher levels. On the other hand, if the boss has little influence with higher-ups, subordinates may be more likely to make complaints at these levels.

> *I must follow the people. Am I not their leader?*
>
> **Benjamin Disraeli, 19th-century British prime minister**

The foregoing examples highlight the sorts of insights we can gain about leadership by focusing on the individual leader as a level of analysis. Even if we were to examine the individual leader completely, however, our understanding of the leadership process would be incomplete.

The Followers

> *The crowd will follow a leader who marches twenty steps in advance; but if he is a thousand steps in front of them, they do not see and do not follow him.*
>
> **Georg Brandes, Danish scholar**

Followers are a critical part of the leadership equation, but their role has not always been appreciated, at least in empirical research (but read **Highlight 1.3** to see how the role of followers has been recognized in literature). For a long time, in fact, "the common view of leadership was that leaders actively led and subordinates, later called followers, passively and obediently followed."[42] Over time, especially in the last century, social change shaped people's views of followers, and leadership theories gradually recognized the active and important role that followers play in the leadership process.[43] Today it seems natural to accept the important role followers play.

The *First* Band of Brothers

HIGHLIGHT 1.3

Perhaps you have seen or heard of the award-winning series *Band of Brothers* that followed a company of the famous 101st Airborne division during World War II, based on a book of the same title by Stephen Ambrose. You may not be aware that an earlier band of brothers was made famous by William Shakespeare in his play *Henry V*.

In one of the most famous speeches by any of Shakespeare's characters, the young Henry V tried to unify his followers when their daring expedition to conquer France was failing. French soldiers followed Henry's army along the rivers, daring them to cross over and engage the French in battle. Just before the battle of Agincourt, Henry's rousing words rallied his vastly outnumbered, weary, and tattered troops to victory. Few words of oratory have ever better bonded a leader with his followers than Henry's call for unity among "we few, we happy few, we band of brothers."

Hundreds of years later, Henry's speech is still a powerful illustration of a leader who emphasized the importance of his followers. Modern leadership concepts like vision, charisma, relationship orientation, and empowerment are readily evident in Henry's interactions with his followers. Here are the closing lines of Henry's famous speech:

From this day to the ending of the world,
But we in it shall be remembered–
We few, we happy few, we band of brothers;
For he today that sheds his blood with me
Shall be my brother; be he ne'er so vile,
This day shall gentle his condition;
And gentlemen in England now-a-bed
Shall think themselves accurs'd they were not here,
And hold their manhoods cheap whiles any speaks
That fought with us upon Saint Crispin's day.

Shakespeare's insights into the complexities of leadership should remind us that while modern research helps enlighten our understanding, it does not represent the only, and certainly not the most moving, perspective on leadership to which we should pay attention.

Source: S. E. Ambrose, *Band of Brothers* (New York: Simon & Schuster, 2001).

> *All men have some weak points, and the more vigorous and brilliant a person may be, the more strongly these weak points stand out. It is highly desirable, even essential, therefore, for the more influential members of a general's staff not to be too much like the general.*
>
> **Major General Hugo Baron von Freytag-Loringhoven, anti-Hitler conspirator**

One aspect of our text's definition of leadership is particularly worth noting in this regard: Leadership is a social influence process shared among *all* members of a group. Leadership is not restricted to the influence exerted by someone in a particular position or role; followers are part of the leadership process, too. In recent years both practitioners and scholars have emphasized the relatedness of leadership and **followership**. As Burns observed, the idea of "one-man leadership" is a contradiction in terms.[44]

Obvious as this point may seem, it is also clear that early leadership researchers paid relatively little attention to the roles followers play in the leadership process.[45, 46] However, we know that the followers' expectations, personality traits, maturity levels, levels of competence, and motivation affect the leadership process, too. **Highlight 1.4** describes a systematic approach to classifying different kinds of followers that has had a major impact on research.[47, 48, 49, 50]

Followership Styles

HIGHLIGHT 1.4

The concept of different styles of leadership is reasonably familiar, but the idea of different styles of followership is relatively new. The very word *follower* has a negative connotation to many, evoking ideas of people who behave like sheep and need to be told what to do. Robert Kelley, however, believes that followers, rather than representing the antithesis of leadership, are best viewed as collaborators with leaders in the work of organizations.

Kelley believes that different types of followers can be described in terms of two broad dimensions. One of them ranges from **independent, critical thinking** at one end to **dependent, uncritical thinking** on the other end. According to Kelley, the best followers think for themselves and offer constructive advice or even creative solutions. The worst followers need to be told what to do. Kelley's other dimension ranges from whether people are **active followers** or **passive followers** in the extent to which they are engaged in work. According to Kelley, the best followers are self-starters who take initiative for themselves, whereas the worst followers are passive, may even dodge responsibility, and need constant supervision.

Using these two dimensions, Kelley has suggested five basic styles of followership:

1. *Alienated followers* habitually point out all the negative aspects of the organization to others. While alienated followers may see themselves as mavericks who have a healthy skepticism of the organization, leaders often see them as cynical, negative, and adversarial.
2. *Conformist followers* are the "yes people" of organizations. While very active at doing the organization's work, they can be dangerous if their orders contradict societal standards of behavior or organizational policy. Often this style is the result of either the demanding and authoritarian style of the leader or the overly rigid structure of the organization.
3. *Pragmatist followers* are rarely committed to their group's work goals, but they have learned not to make waves. Because they do not like to stick out, pragmatists tend to be mediocre performers who can clog the arteries of many organizations. Because it can be difficult to discern just where they stand on issues, they present an ambiguous image with both positive and negative characteristics. In organizational settings, pragmatists may become experts in mastering the bureaucratic rules that can be used to protect them.
4. *Passive followers* display none of the characteristics of the exemplary follower (discussed next). They rely on the leader to do all the thinking. Furthermore, their work lacks enthusiasm. Lacking initiative and a sense of responsibility, passive followers require constant direction. Leaders may see them as lazy, incompetent, or even stupid. Sometimes, however, passive followers adopt this style to help them cope with a leader who expects followers to behave that way.
5. *Exemplary followers* present a consistent picture to both leaders and coworkers of being independent, innovative, and willing to stand up to superiors. They apply their talents for the benefit of the organization even when confronted with bureaucratic stumbling blocks or passive or pragmatist coworkers. Effective leaders appreciate the value of exemplary followers. When one of the authors was serving in a follower role in a staff position, he was introduced by his

leader to a conference as "my favorite subordinate because he's a loyal 'No-Man'."

Exemplary followers—high on both critical dimensions of followership—are essential to organizational success. Leaders, therefore, would be well advised to select people who have these characteristics and, perhaps even more important, *create the conditions that encourage these behaviors*.

Source: R. Kelley, *The Power of Followership* (New York: Doubleday Currency, 1992).

The nature of followers' motivation to do their work is also important. Workers who share a leader's goals and values, and who feel intrinsically rewarded for performing a job well, might be more likely to work extra hours on a time-critical project than those whose motivation is solely monetary.

Even the number of followers reporting to a leader can have significant implications. For example, a store manager with three clerks working for him can spend more time with each of them (or on other things) than can a manager responsible for eight clerks and a separate delivery service; chairing a task force with 5 members is a different leadership activity than chairing a task force with 18 members. Still other relevant variables include followers' trust in the leader and their degree of confidence that he or she is interested in their well-being. Another aspect of followers' relations to a leader is described in **Profiles in Leadership 1.5**.

Paul Revere

PROFILES IN LEADERSHIP 1.5

A fabled story of American history is that of Paul Revere's ride through the countryside surrounding Boston, warning towns that the British were coming, so that local militia could be ready to meet them. As a result, when the British did march toward Lexington on the following day, they faced unexpectedly fierce resistance. At Concord the British were beaten by a ragtag group of locals, and so began the American Revolutionary War.

It has been taken for granted by generations of Americans that the success of Paul Revere's ride lay in his heroism *and* in the self-evident importance of the news itself. A little-known fact, however, is that Paul Revere was not the only rider that night. A fellow revolutionary by the name of William Dawes had the same mission: to ride simultaneously through a separate set of towns surrounding Boston to warn them that the British were coming. He did so, carrying the news through just as many towns as Revere did. But his ride was not successful; those local militia leaders weren't aroused and did not rise up to confront the British. If they had been, Dawes would be as famous today as Paul Revere.

Why was Revere's ride successful when Dawes's ride was not? Paul Revere started a word-of-mouth epidemic, and Dawes did not, *because of differing kinds of relationships the two men had with others*. It wasn't, after all, the nature of the news itself that proved ultimately important so much as the nature of the men who carried it. Paul Revere was a gregarious and social person—what Malcolm Gladwell calls a *connector*. Gladwell writes that Revere was "a fisherman and a hunter, a cardplayer and a theater-lover, a frequenter of pubs and a successful businessman. He was active in the local Masonic Lodge and was a member of several select social clubs." He was a man with a knack for always being at the center of things. So when he began his ride that night, it was Revere's nature to stop and share the news with anyone he saw on the road,

and he would have known who the key players were in each town to notify.

Dawes was not by nature so gregarious as Revere, and he did not have Revere's extended social network. It's likely he *wouldn't* have known whom to share the news with in each town and whose doors to knock on. Dawes did notify some people, but not enough to create the kind of impact that Revere did. Another way of saying this is simply to note that the people Dawes notified didn't know *him* the way that Revere was known by those *he* notified.

It isn't just the information or the ideas you have as a leader that make a difference. It's also whom you know, and how many you know—and what they know about you.

Source: M. Gladwell, *The Tipping Point* (New York: Little, Brown and Company, 2002).

Never try to teach a pig to sing; it wastes your time and it annoys the pig.

Paul Dickson, baseball writer

I don't like it when you people force me to do things.

Orion Farrell, age 6

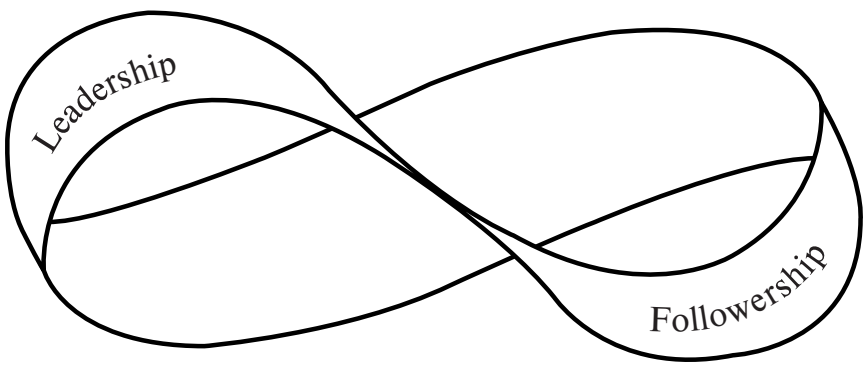
In the context of the interactional framework, the question "What is leadership?" cannot be separated from the question "What is followership?" There is no simple line dividing them; they merge. The relationship between leadership and followership can be represented by borrowing a concept from topographical mathematics: the Möbius strip. You are probably familiar with the curious properties of the Möbius strip: When a strip of paper is twisted and connected in the manner depicted in **Figure 1.3**, it has only one side. You can prove this to yourself by putting a pencil to any point on the strip and tracing continuously. Your pencil will cover the entire strip (that is, both "sides"), eventually returning to the point at which you started. To demonstrate the relevance of this curiosity to leadership, cut a strip of paper. On one side write *leadership*, and on the other side write *followership*. Then twist the strip and connect the two ends in the manner of the figure. You will have created a leadership/followership Möbius strip wherein the two concepts merge, just as leadership and followership can become indistinguishable in organizations.[51]

He who would eat the fruit must climb the tree.

Scottish proverb

This does not mean leadership and followership are the same thing. When top-level executives were asked to list qualities they most look for and admire in leaders and followers, the lists were similar but not identical.[52]

FIGURE 1.3 The Leadership/Followership Möbius Strip



Ideal leaders were characterized as honest, competent, forward-looking, and inspiring; ideal followers were described as honest, competent, independent, and cooperative. The differences could become critical in certain situations, as when a forward-looking and inspiring subordinate perceives a significant conflict between his own goals or ethics and those of his superiors. Such a situation could become a crisis for the individual and the organization, demanding a choice between leading and following.

> *If you act like an ass, don't get insulted if people ride you.*
>
> **Yiddish proverb**

As the complexity of the leadership process has become better understood, the importance placed on the leader–follower relationship itself has undergone dynamic change.[53, 54] One reason for this is an increasing pressure on all kinds of organizations to function with reduced resources. Reduced resources and company downsizing have reduced the number of managers and increased their span of control, which in turn leaves followers to pick up many of the functions traditionally performed by leaders. Another reason is a trend toward greater power sharing and decentralized authority in organizations, which create greater interdependence among organizational subunits and increase the need for collaboration among them. Furthermore, the nature of problems faced by many organizations is becoming so complex and the changes are becoming so rapid that more and more people are required to solve them.

These trends suggest several different ways in which followers can take on new leadership roles and responsibilities in the future. For one thing, followers can become much more proactive in their stance toward organizational problems. When facing the discrepancy between the way things are in an organization and the way they could or should be, followers can play an active and constructive role collaborating with leaders in solving problems. In general, making organizations better is a task that needs to be "owned" by followers as well as by leaders. With these changing roles for followers, it should not be surprising to find that qualities of good followership are statistically correlated with qualities typically associated with good leadership. One recent study found positive correlations between the followership qualities of active engagement and independent thinking and the leadership qualities of dominance, sociability, achievement orientation, and steadiness.[55]

In addition to helping solve organizational problems, followers can contribute to the leadership process by becoming skilled at "influencing upward." Because followers are often at the levels where many organizational problems occur, they can give leaders relevant information so that good solutions are implemented. Although it is true that some leaders need to become better listeners, it is also true that many followers need training in expressing ideas to superiors clearly and positively. Still another way followers can assume a greater share of the leadership challenge in the future is by staying flexible and open to opportunities. The future portends more change, not less, and followers who face change with positive anticipation and an openness to self-development will be particularly valued and rewarded.[56]

Among other things, this openness to change and self-development likely will include openness to reconsidering how we use the words *leader* and *followers*. Even when followers' importance in the leadership process was finally receiving the attention it deserved, early attention tended to focus on followership as a *role* (that is, a part that is played), often if not always designated by a term like *subordinate*. In contrast—to carry the theatrical analogy a bit further—the role of leader virtually always remained the "lead" role.

Recently, however, an alternative approach to understanding followership has been advanced. In contrast to the aforementioned **role approach** to understanding followership, the **constructionist approach** views leadership as combined acts of leading and following by different individuals, whatever their formal titles or positions in an organization may be.[57] In other words, leadership emerges from the intertwined acts of individuals in complex social interactions that may include times when "followers may be leading" and "leaders may be following." From the perspective of the constructionist approach, leadership is co-created through acts of leading and following, *whoever may be performing those acts*.

Thus, to an ever-increasing degree, leadership must be understood in terms of both leader variables and follower variables, as well as the interactions among them. But even that is not enough—we must also understand the particular situations in which leaders and followers find themselves.

The Situation

> *You've got to give loyalty down, if you want loyalty up.*
>
> **Donald T. Regan, former CEO and White House chief of staff**

The situation is the third critical part of the leadership equation. Even if we knew all we could know about a given leader and a given set of followers, leadership often makes sense only in the context of how the leader and followers interact in a particular situation.

This view of leadership as a complex interaction among leader, follower, and situational variables was not always taken for granted. To the contrary, most early research on leadership was based on the assumption that leadership is a general personal trait expressed independently of the situation in which the leadership is manifested. This view, commonly known as the **heroic theory**, has been largely discredited but for a long time represented the dominant way of conceptualizing leadership.[58]

In the 1950s and 1960s a different approach to conceptualizing leadership dominated research and scholarship. It involved the search for effective leader *behaviors* rather than the search for universal *traits* of leadership. That approach proved too narrow because it neglected important contextual, or situational, factors in which presumably effective or ineffective behaviors occur. Over time, the complexities of interactions among leader, follower, and situational variables increasingly have been the focus of leadership research.[59] (See **Chapters 6**, **7**, and **14** for more detailed discussions of leader attributes, leader behaviors, and formal theories of leadership that examine complex interdependencies between leader, follower, and situational variables.) Adding the situation to the mix of variables that make up leadership is complicated. The situation may be the most ambiguous aspect of the leadership framework; it can refer to anything from the specific task a group is engaged in to broad situational contexts such as the remote predicament of the Andes survivors. One facet of the complexity of the situation's role in leadership is examined in **Highlight 1.5**.

Decision-Making in a Complex World

HIGHLIGHT 1.5

Decision-making is a good example of how leaders need to behave differently in various situations. Until late in the 20th century, decision-making in government and business was largely based on an implicit assumption that the world was orderly and predictable enough for virtually all decision-making to involve a series of specifiable steps: assessing the facts of a situation, categorizing those facts, and then responding based on established practice. To put that more simply, decision-making required managers to *sense, categorize*, and *respond*.

The Situation	The Leader's Job
Simple: predictable and orderly; right answers exist.	Ensure that proper processes are in place, follow best practices, and communicate in clear and direct ways.
Complex: flux, unpredictability, ambiguity, many competing ideas, lots of unknowns.	Create environments and experiments that allow patterns to emerge; increase levels of interaction and communication; use methods that generate new ideas and ways of thinking among everyone.

That process is still effective in simple contexts characterized by stability and clear cause-and-effect relationships. Not all situations in the world, however, are so simple, and new approaches to decision-making are needed for situations that have the elements of what we might call complex systems: large numbers of interacting elements, nonlinear interactions among those elements by which small changes can produce huge effects, and interdependence among the elements so that the whole is more than the sum of its parts. The challenges of dealing with the threat of terrorism represent one example of the way complexity affects decision-making, but it's impacting how we think about decision-making in business as well as government. To describe this change succinctly, the decision-making process in complex contexts must change from sense, categorize, and respond to probe, sense, and respond.

In other words, making good decisions is about both *what* decisions one makes and understanding the role of the situation in affecting *how* one makes decisions.

Source: D. F. Snowden and M. E. Boone, "A Leader's Framework for Decision Making," *Harvard Business Review*, November 2007, pp. 69–76.

Illustrating the Interactional Framework: Women in Leadership Roles

Not long ago, if people were asked to name a leader they admired, most of the names on the resulting list could be characterized as "old white guys." Today the names on that same list would be considerably more heterogeneous. That change—which we certainly consider progress—represents a useful illustration of the power of using the interactional framework to understand the complexities of the leadership process.

A specific example is women in leadership roles, and in this section we examine the extent to which women have been taking on new leadership roles, whether there are differences in the effectiveness of men and women in leadership roles, and what explanations have been offered for differences between men and women in being selected for and succeeding in positions of leadership. This is an area of considerable academic research and popular polemics, as evident in many articles in the popular press that claim a distinct advantage for women in leadership roles.[60]

It is clear that women are taking on leadership roles in greater numbers than ever before. Yet the percentage of women in leadership positions has stayed relatively stable. For example, a report released in 2010 by the U.S. Government Accountability Office indicated that women represent an estimated 40 percent of managers in the U.S. workforce in 2007 compared with 39 percent in 2000.[61] The percentage of women in top executive positions is considerably less encouraging. A review of the 2019 S&P 500 list by the nonprofit organization

Catalyst shows that only 6 percent of CEOs in the United States were women.[62] Problems clearly still exist that constrain the opportunity for capable women to rise to the highest leadership roles in organizations. Many studies have considered this problem, a few of which we examine here.

One study reported that a higher percentage of women executives now receive on-the-job mentoring than men. The same study, however, found that the mentors of those women executives had less organizational influence and clout than did the mentors of their male counterparts. While such mentoring can still provide invaluable psychosocial support for personal and professional development, it does not seem sufficient to ensure promotion to higher level jobs (we explore mentoring in greater detail in **Chapter 2**).[63] Another study examined differences in the networking patterns of men and women. Compared to men, women's trust in each other tends to decrease when work situations become more professionally risky. Such a pattern of behavior could potentially become a kind of self-imposed promotion disadvantage by women on themselves.[64]

In a classic study of sex roles, Schein demonstrated how bias in sex-role stereotypes created problems for women moving up through managerial roles.[65, 66] Schein asked male and female middle managers to complete a survey in which they rated various items on a five-point scale in terms of how characteristic they were of men in general, women in general, or successful managers. Schein found a high correlation between the ways both male and female respondents perceived "males" and "managers," but no correlation between the ways the respondents perceived "females" and "managers." It was as though being a manager was defined by attributes thought of as masculine.

Furthermore, it does not appear that the situation has changed much over the past two decades. In 1990, management students in the United States, Germany, and Great Britain, for example, still perceived successful middle managers in terms of characteristics more commonly ascribed to men than to women.[67] A 2011 meta-analysis of studies of gender stereotyping continued to find strong evidence of a tendency for leadership to be viewed as culturally masculine. It involved sophisticated statistical analyses of the results of 40 separate studies similar to Schein's paradigm of *think manager-think male*; of 22 other studies that looked at gender stereotyping in an *agency-communion* paradigm; and of a third group of 7 studies that looked at stereotyping through the lens of occupational stereotyping. The study concluded that a strong masculine stereotype of leadership continues to exist in the workplace and that it will continue to challenge women for some time to come.[68]

Even more recently, a 2016 review of research noted the persistent tendency of gender stereotypes that women are seen as more communal (kind and nurturing) but less agentic (ambitious and dominant) than men. Since leadership is believed to require agency, women are seen as less well suited to the requirements of leadership than men. Furthermore, because women may outwardly display their emotions more than men, people infer that women are more apt to allow their decisions and actions to be "controlled" by their emotions; that is, they are seen as less rational and objective than men.[69] One area where views *do* seem to have changed over time involves women's perceptions of their own roles. In contrast to the earlier studies, women today see as much similarity between "female" and "manager" as between "male" and "manager."[70] To women, at least, being a woman and being a manager are not contradictory.

Believing that one can be both a woman and a manager or leader does not, however, necessarily insulate a woman from feeling unfairly scrutinized and judged by others. Through the impact of **stereotype threat**, the person's awareness of being judged by stereotypes can nonetheless have a deleterious impact on performance (see **Highlight 1.6**).

Stereotype Threat

HIGHLIGHT 1.6

One of the most important concepts in social psychology is a phenomenon known as stereotype threat, which refers to situations in which people feel themselves at risk of being judged by others holding negative stereotypes about them.

Numerous studies, for example, demonstrate how the performance of African American students on certain tests is affected by the ways a test is described to the students. When a test was described as a measure of intellectual ability, African American students typically score lower than other students. When the *same test* was described as nondiagnostic of ability, however, there were no differences between the groups; the black students did just as well as other students. The stereotype some people hold of the intellectual inferiority of black students can actually depress black student performance *when that stereotype is salient* (for example, when a test is described as a measure of intellectual ability). When the stereotype is not salient, however (when the same test was described as not indicative of intellectual ability), the black students performed much better on it.

Or consider this example: Some white college males were told that a golfing task measured "natural athletic ability" whereas other white male students were given the same task but told nothing about it. Those that were told it measured natural athletic ability performed significantly worse on it than the white males who were told nothing about it. It seems the idea that the task measured natural athletic ability created a threatening situation related to the widespread stereotype in this society that, compared to blacks, at least, white males have less natural athletic ability.

In a similar manner, stereotype threat can adversely impact the behavior and performance of women in leadership roles. For example, the gender stereotypes that "women take care" and "men take charge" would be most likely to become salient to women—and thus adversely impact their behavior—in situations rife with stereotypical displays of masculinity and competitiveness.

You can get a deeper and more comprehensive understanding of stereotype threat in Claude Steele's wonderful book *Whistling Vivaldi*.

Source: C. M. Steele, *Whistling Vivaldi: How Stereotypes Affect Us and What We Can Do* (New York: Norton, 2010).

In another study of the role of women in management, *Breaking the Glass Ceiling*,[71] researchers documented the lives and careers of 78 of the highest-level women in corporate America. A few years later the researchers followed up with a small sample of those women to discuss any changes that had taken place in their leadership paths. The researchers were struck by the fact that the women were much like the senior men they had worked with in other studies. Qualitatively, they had the same fears: They wanted the best for themselves and for their families. They wanted their companies to succeed. And not surprisingly, they still had a drive to succeed. In some cases (also true for the men), they were beginning to ask questions about life balance—was all the sacrifice and hard work worth it? Were 60-hour workweeks worth the cost to family and self?

More quantitatively, however, the researchers expected to find significant differences between the women who had broken the glass ceiling and the men who were already in leadership positions. After all, the popular literature and some social scientific literature had conditioned them to expect that there is a feminine versus a masculine style of leadership, the feminine style being an outgrowth of a consensus/team-oriented leadership approach. Women, in this view, are depicted as leaders who, when compared to men, are better listeners, more empathic, less analytical, more people oriented, and less aggressive in pursuit of goals.

In examining women in leadership positions, the researchers collected behavioral data, including ratings by both self and others, assessment center data, and their scores on the California Psychological Inventory. Contrary to the stereotypes and popular views, however, there were no statistically significant differences between men's and women's leadership styles. Women and men were equally analytical, people oriented, forceful, goal oriented, empathic, and skilled at listening. There were other differences between the men and women, however, beyond the question of leadership styles. The researchers did find (and these results must be interpreted cautiously because of the relatively small numbers involved) that women had significantly lower well-being scores, their commitment to the organizations they worked for was more guarded than that of their male counterparts, and the women were much more likely to be willing to take career risks associated with going to new or unfamiliar areas of the company where women had not been before.

Continued work with women in corporate leadership positions has both reinforced and clarified these findings. For example, the lower scores for women in general well-being may reflect the inadequacy of their support system for dealing with day-to-day issues of living. This is tied to the reality for many women that, in addition to having roles in their companies, they remain chief caregivers for their families. Further, there may be additional pressures of being visibly identified as proof that the organization has women at the top.

Other types of differences—particularly those around "people issues"—are still not evident. In fact, the hypothesis is that such supposed differences may hinder the opportunities for leadership development of women in the future. For example, turning around a business that is in trouble or starting a new business are two of the most exciting opportunities a developing leader has to test her leadership abilities. If we apply the "women are different" hypothesis, the type of leadership skills needed for successful completion of either of these assignments may leave women off the list of candidates. However, if we accept the hypothesis that women and men are more alike as leaders than they are different, women will be found in equal numbers on the candidate list.

That such exciting opportunities for leadership development may pose a double-edged sword for women, however, is suggested by a variant of the glass ceiling: the **glass cliff**. The glass cliff refers to the intriguing finding that female candidates for an executive position are *more* likely to be hired than equally qualified male candidates when an organization's performance is declining. At first that may seem like good news for women, but the picture is not quite so positive. When an organization's performance is declining, there is inherently an increased risk of failure. The increased likelihood of women being selected in those situations may actually reflect a greater willingness to put women in precarious positions.[72] It could also, of course, represent an increased willingness to take some chances when nothing else seems to be working. In any case, a recent review of the past decade's study of the glass cliff confirmed that it is a "robust and pervasive phenomenon and a significant feature of the organizational landscape for women who achieve high office."[73]

Research on women leaders from medium-sized, nontraditional organizations has shown that successful leaders don't all come from the same mold. Such women tended to be successful by drawing on their shared experience as women, rather than by adhering to the "rules of conduct" by which men in larger and more traditional organizations have been successful. Survey research by Judith Rosener identified several differences in how men and women described their leadership experiences.[74] Men tended to describe themselves in somewhat transactional terms, viewing leadership as an exchange with subordinates for services rendered. They influenced others primarily through their organizational position and authority. The women, by contrast, tended to describe themselves in transformational terms. They helped subordinates develop commitment to broader goals than their own self-interest, and they described their influence more in terms of personal characteristics like charisma and interpersonal skill than mere organizational position.

According to Rosener, such women leaders encouraged participation and shared power and information, but went far beyond what is commonly thought of as participative management. She called it **interactive leadership**. Their leadership self-descriptions reflected an approach based on enhancing others' self-worth and

believing that the best performance results when people are excited about their work and feel good about themselves.

How did this interactive leadership style develop? Rosener concluded it was due to these women's socialization experiences and career paths. As we have indicated, the social role expected of women has emphasized that they be cooperative, supportive, understanding, gentle, and service oriented. As they entered the business world, they still found themselves in roles emphasizing these same behaviors. They found themselves in staff, rather than line, positions, and in roles lacking formal authority over others so that they had to accomplish their work without reliance on formal power. What they had to do, in other words, was employ their socially acceptable behavioral repertoire to survive organizationally.

> *Neither shall you allege the example of the many as an excuse for doing wrong.*
>
> **Exodus 23.2**

What came easily to women turned out to be a survival tactic. Although leaders often begin their careers doing what comes naturally and what fits within the constraints of the job, they also develop their skills and styles over time. The women's use of interactive leadership has its roots in socialization, and the women interviewees believe that it benefits their organizations. Through the course of their careers, they have gained conviction that their style is effective. In fact, for some it was their own success that caused them to formulate their philosophies about what motivates people, how to make good decisions, and what it takes to maximize business performance. Some claim there is even a "female advantage" in leadership stemming from their more collaborative style. Nearly a half-century of research on the subject, however, does not support such a broad generalization.[75, 76] Many factors interact with gender in affecting ratings of leadership effectiveness, including context (for example, whether it is a business or educational situation) and raters (whether a leader is rating herself or himself, or others are rating the leader).

Rosener has called for organizations to expand their definitions of effective leadership—to create a *wider* band of acceptable behavior so that both men and women will be freer to lead in ways that take advantage of their true talents. We discuss stereotype-based "bands of acceptable behavior" further in **Highlight 1.7**.

The Narrow Band of Acceptable Behavior

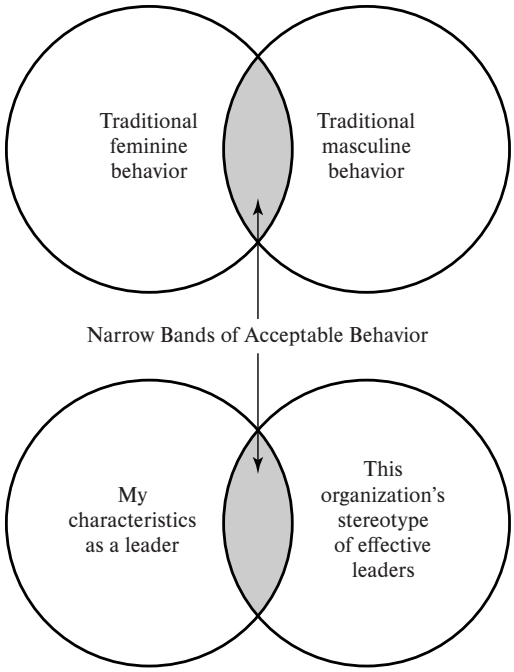
HIGHLIGHT 1.7

One of the most important factors that seems to impede the advance of women and other minorities into leadership roles is bias. A bias that might be labeled "the narrow band of acceptable behavior" is depicted below.

The characteristics and behaviors in the top right-hand circle are those associated with traditional masculine behavior, and the characteristics and behaviors in the top left-hand circle are those associated with traditional feminine behavior. The narrow band of overlap between the two circles can be thought of as a "hoop" women executives need to pass through.

The concept of a narrow band of acceptable behavior is not limited to women. It may be applied to any individual's deviation from organizationally defined standards (bottom circles). The more a person looks like, acts like, dresses like, and talks like other leaders in the organization, the wider the band of acceptable behavior (the greater the overlap of the two circles). The less one looks like, acts like, dresses like, and talks like other leaders in the organization (some aspects of which, such as gender and race, are beyond a person's control), the nar-

rower the band of acceptable behavior. One implication of this view is that an individual who differs in obvious ways from the prototypical image of a leader (as with gender) has less "wiggle room" available; it's as though there are already one or two strikes against that person. It's like walking a tightrope.



Source: Adapted from A. M. Morrison, R. P. White, and E. Van Velsor, *Breaking the Glass Ceiling* (Reading, MA: Addison-Wesley, 1987).

Aside from questions of possible gender differences in leadership style or leadership effectiveness, there does seem to be a rise in the number of women in leadership positions. This shift is due to several factors.[77]

The first of these is that *women themselves have changed*. That's evident in the ways women's aspirations and attitudes have become more similar to those of men over time. This is illustrated in findings about the career aspirations of female university students;[78] in women's self-reports of traits such as assertiveness, dominance, and masculinity;[79, 80] and in the value that women place on characteristics of work such as freedom, challenge, leadership, prestige, and power.[81] The second factor is that *leadership roles have changed*, particularly with regard to a trend toward less stereotypically masculine characterizations of leadership. Third, *organizational practices have changed*. A large part of this can be attributed to legislation prohibiting gender-based discrimination at work, as well as changes in organizational norms that put a higher priority on results than on an "old boy" network. Finally, the *culture has changed*. This is evident, for example, in the symbolic message often intended by appointment of women to important leadership positions, one representing a departure from past practices and signaling commitment to progressive change.

It also may be evident in evidence-based arguments that women in leadership roles help an organization's bottom line. "Research points to the same conclusion: gender diversity in leadership is good for business (as is diversity in general, for that matter). It's better for financial performance. It inspires more innovation. Yes, it has societal benefit, but it also provides a company with competitive advantage and is considered a key enabler of growth. A recent Credit Suisse report, for example, found that companies where women made up at least 15 percent of senior managers had more than 50 percent higher profitability than those where female representation was less than 10 percent."[82]

Even with these factors contributing to the rise of women in leadership positions, however, those at the top still represent a formidable challenge, as evident in **Highlight 1.8**.

Why Are Women Still Not Reaching the Top?

HIGHLIGHT 1.8

In the business world, women still lag behind men in selection to top positions. Rob Kaiser and Wanda Wallace suggest the explanation may be a bit like the imaginary family scenario described here. Say Dad proposes that the whole family take a vacation to Disney World:

> Mom does all the research and planning: which resort to stay in, when to go to what park, which meal reservations to make, which rides to go on in what order and when to get the fast passes, what clothes to pack from shorts and swimsuits to sweatshirts and parkas, and all the little things it takes to make the vacation a success. In getting it all arranged, Mom got a little stressed out and short-tempered—she may have even hollered at the kids. But everyone had a blast. And they all agreed: Dad had a great idea to go to Disney.

Perhaps you are wondering what this scenario has to do with women executives making it to the top in the workplace? Kaiser and Wallace see a similar pattern playing out both in the preceding scenario and in the careers of many women executives with whom they work.

High-potential women may be rewarded early in their careers for minding the details and getting results. They may show strong command of the technical aspects of their jobs with a nose-to-the-grindstone focus on accomplishing objectives. Almost by default this may lead to perceptions that their strength is not *strategic* in nature. They write,

> We believe that the main reason women are not making it to the top is not because they are too feminine or because they are not sufficiently masculine. It is because they come on a bit too strong and get themselves boxed in carving out a niche by executing someone else's agenda. They get stuck in the technical expert, implementer role and are seen as not strategic enough to lead the entire enterprise.

Source: R. Kaiser and W. T. Wallace, "Changing the Narrative on Why Women Aren't Reaching the Top," *Talent Quarterly* 3 (2014), pp. 15–20.

There Is No Simple Recipe for Effective Leadership

To fill the gaps between leadership research and practice, this book critically reviews major findings about the nature of leadership and provides practical advice for improving leadership. As our first step in that journey, **Chapter 2** describes how leadership develops through experience. The remainder of the book uses the leader–follower–situation interaction model as a framework for organizing and discussing various theories and research findings related to leadership. In this study, it will become clear that although there is no simple recipe for effective leadership, there *are* many different paths to effective leadership.

> *Little things affect little minds.*
>
> **Benjamin Disraeli, British prime minister, 1874–1880**

As noted previously, it is important to understand how the three domains of leadership interact—how the leader, the followers, and the situation are all part of the leadership process. Understanding their interaction is necessary before you can draw valid conclusions from the leadership you observe around you. When you

see a leader's behavior (even when it may appear obviously effective or ineffective to you), you should not automatically conclude something good or bad about the leader, or what is the right way or wrong way for leaders to act. You need to think about the effectiveness of that behavior in *that* context with *those* followers. Even seemingly "obvious" qualities of effective leadership like self-confidence have their limits, as illustrated in **Highlight 1.9**.

Can Self-Confidence Be a Bad Thing? The Dangers of Hubristic Leadership

Highlight 1.9

Greek mythology is a rich source of cautionary tales of leadership excess. One is the story of Daedalus and his son Icarus. Daedalus made wings of feathers and wax with which he believed he and his son might escape their imprisonment on the island of Crete. But Icarus believed the wings gave him a God-like power of flight, and he ignored his father's warnings about flying too high. Feeling ever more extraordinary and confident, Icarus flew higher and higher until the sun's rays melted the wax on the wings and Icarus fell into the sea and drowned.

The story of Icarus is a story of hubris. The Cambridge English Dictionary defines hubris as an extreme and unreasonable feeling of pride and confidence in yourself. **Hubristic leaders** ignore the advice and criticism of others, almost drunk with their power and unconditional positive self-regard. Ken Lay, the disgraced former CEO of Enron, was a modern-day Icarus whose own excessive hubris cost 20,000 employees their jobs and investors billions of dollars. He built a financial house of cards by ignoring professional, ethical, and legal codes. And to the end, he refused to accept any responsibility for the sad and costly corporate debacle.

So what characterizes hubristic leaders? Warning signs that someone is a hubristic leader include:

- A propensity to see their world primarily as an arena in which they can exercise power and seek glory
- A predisposition to take actions likely to cast the individual in a good light
- A disproportionate concern with image and presentation
- Excessive confidence in their own judgment and contempt for the advice or criticism of others
- Exaggerated beliefs about oneself and what they can personally achieve bordering on a sense of omnipotence
- Restlessness, recklessness, and impulsiveness

Hubristic leaders are not quite the same thing as narcissistic leaders, though they overlap somewhat in certain characteristic behaviors and associated dangers. The most important differentiation is that narcissism is a *characteristic personality trait*, and thus an enduring condition. Narcissists believe they deserve praise and admiration because they are—and always will be—unique and special. Hubris, however, is not a personality trait but a *transitory condition* that develops in the wake of recent successes and acquisition of power. "Narcissists are intoxicated with themselves, whilst hubrists are intoxicated with power and success."

Source: R. E. Sadler-Smith, G. Graham, V. Akstinaite, and T. Wray, "Hubristic Leadership: Understanding the Hazard and Mitigating the Risks," *Organizational Dynamics* 48, no. 2 (2019), pp. 8–18.

As obvious as this advice sounds, we often ignore it. Too frequently we look at just the leader's behavior and conclude that he or she is a good leader or a bad leader apart from the context. For example, suppose you observe a leader soliciting advice from subordinates. Obviously it seems unreasonable to conclude that good leaders always ask for advice or that leaders who do not frequently ask for advice are not good leaders. The appropriateness of seeking input from subordinates depends on many factors, such as the nature of the problem or the subordinates' familiarity with the problem. Perhaps the subordinates have a lot more experience with this particular problem, and soliciting their input is the correct action to take in this situation.

Consider another example. Suppose you hear that a leader did not approve a subordinate's request to take time off to attend to family matters. Was this bad leadership because the leader did not appear to be taking care of her people? Was it good leadership because she did not let personal matters interfere with the mission? Again, you cannot make an intelligent decision about the leader's actions by looking at the behavior itself. You must always assess leadership in the context of the leader, the followers, and the situation.

The following statements about leaders, followers, and the situation make these points a bit more systematically:

- A leader may need to respond to various followers differently in the same situation.
- A leader may need to respond to the same follower differently in different situations.
- Followers may respond to various leaders quite differently.
- Followers may respond to each other differently with different leaders.
- Two leaders may have different perceptions of the same followers or situations.

All of these points lead to one conclusion: The right behavior in one situation is not necessarily the right behavior in another situation. It does *not* follow, however, that any behavior is appropriate in any situation. Although we may not be able to agree on the one best behavior in a given situation, we often can agree on some clearly inappropriate behaviors. Saying that the right behavior for a leader depends on the situation is not the same thing as saying it does not matter what the leader does. It merely recognizes the complexity among leaders, followers, and situations. This recognition is a helpful first step in drawing meaningful lessons about leadership from experience.

Summary

This chapter defined leadership as the process of influencing an organized group toward achieving its goals. It also looked at the idea that leadership is both a science and an art. Because leadership is an immature science, researchers are still struggling to identify the important questions in leadership, and we are far from finding conclusive answers to these questions. Even individuals with extensive knowledge of leadership research may be poor leaders. Knowing what to do is not the same as knowing when, where, and how to do it. The art of leadership concerns the skill of understanding leadership situations and influencing others to accomplish group goals. Formal leadership education may give individuals the skills needed to better understand leadership situations, and mentorships and experience may give individuals the skills needed to better influence others. Leaders must also weigh both rational and emotional considerations when attempting to influence others. Leadership sometimes can be accomplished through relatively rational, explicit, rule-based methods of assessing situations and determining actions.

Nevertheless, the emotional side of human nature must also be acknowledged. Leaders are often most effective when they affect people at both the emotional level and the rational level. The idea of leadership as

a whole-person process can also be applied to the distinction often made between leaders and managers. Although leadership and management can be distinguished as separate functions, there is considerable overlap between them in practice.

Leadership is a process in which leaders and followers interact dynamically in a particular situation or environment. Leadership is a broader concept than that of leaders, and the study of leadership must involve more than just the study of leaders as individuals. The study of leadership must also include two other areas: the followers and the situation. In addition, the interactive nature of these three domains has become increasingly important in recent years and can help us to better understand the changing nature of leader–follower relationships and the increasing complexity of situations leaders and followers face. Because of this complexity, now, more than ever before, effective leadership cannot be boiled down to a simple recipe. It is still true, however, that good leadership makes a difference, and it can be enhanced through greater awareness of the important factors influencing the leadership process.

Key Terms

leadership
successful managers
effective managers
romance of leadership
management
interactional framework
leader
followers
situation
interactions
in-group
out-group
followership
independent, critical thinking
dependent, uncritical thinking
active followers
passive followers
role approach
consructionist approach
heroic theory
stereotype threat
glass cliff
interactive leadership
hubristic leaders

Questions

1. We say leadership involves influencing organized groups toward goals. Do you see any disadvantages to restricting the definition to organized groups?
2. How would you define *leadership*?
3. Are some people the "leader type" and others not the "leader type"? If so, what in your judgment distinguishes them?
4. Identify several "common-sense" notions about leadership that, to you, are self-evident.
5. Does every successful leader have a valid theory of leadership?
6. Would you consider it a greater compliment for someone to call you a good manager or a good leader? Why? Do you believe you can be both?
7. Do you believe leadership can be studied scientifically? Why or why not?
8. To the extent that leadership is an art, what methods come to mind for improving one's "art of leadership"?

9. According to the interactional framework, effective leader behavior depends on many variables. It follows that there is no simple prescription for effective leader behavior. Does this mean effective leadership is merely a matter of opinion or subjective preference?
10. Generally leaders get most of the credit for a group's or an organization's success. Do you believe this is warranted or fair?
11. What characteristics of leaders, followers, and situations could you add to those listed in **Figure 1.2**?

Activities

1. Describe the best leader you have personally known or a favorite leader from history, a novel, or a movie.
2. In this activity you will explore connotations of the words *leadership* and *management*. Divide yourselves into small groups and have each group brainstorm different word associations to the terms *leader* and *leadership* or *manager* and *management*. In addition, each group should discuss whether they would prefer to work for a manager or for a leader, and why. Then the whole group should discuss similarities and differences among the respective perceptions and feelings about the two concepts.

Minicase

Laura Yeager Assumes Command of an Army Infantry Division

In June 2019, two-star Major General Laura Yeager became the first woman in American history to assume command of a U.S. Army infantry division, a force of more than 10,000 soldiers. Let's look first a bit more closely at Yeager herself and then at the related question (which already may have just crossed your mind) of *whether* women should be commanding combat forces.

Though Yeager is the daughter of a retired general, she did not enter the military with such a lofty aspiration herself; she said she joined the army to make money for college. "I walked by one of those recruiting posters and said, 'I can do that.'" She recalls that her father was more surprised than anyone else at her decision. That decision allowed her to complete her college education at California State University Long Beach and then enter active-duty service in 1986 after her commissioning as a second lieutenant from the university's ROTC program (Reserve Officer Training Corps). She completed military helicopter training in 1989 and then served as a Black Hawk helicopter pilot for aeromedical evacuation.

Becoming a mother, however, altered her career trajectory. She left active duty after eight years when her first son was born, but she eventually returned to a military career. She served in a combat aviation unit in Iraq in 2011 and was promoted to brigadier general in 2016. In taking command of the 40th Infantry Division, she now leads a combat unit with a rich history. The division was founded in 1917, and its soldiers have fought in World War I, World War II, and the Korean War. In more recent years, its soldiers have served in Kosovo, Afghanistan, Iraq, and other hot spots around the world. But given her new unit's rich history, you still may be wondering should a woman even *serve* in a combat unit let alone *command* it?

The historic milestone of Yeager becoming the first woman to command an American combat division came nearly a quarter century *after* a government-financed study determined that "the integration of women into the armed forces did not degrade readiness, cohesion and morale, despite dire warnings that all three would suffer." And there have been many other milestones *between* that report and now, including that of three women in 2015 who graduated from U.S. Army Ranger School facing identical standards for evaluation as the men in the school (of 19 who entered the grueling Ranger training). Today, at least a dozen women have graduated from Ranger training.

To this day, the integration of women into combat roles continues to be the official policy of the U.S. Department of Defense, but that doesn't mean it is easy. Among other things, the military services face an uphill battle to recruit women who are interested and able to serve in combat roles. And not entirely surprisingly, the various services are approaching the challenge in their own unique ways because of their own unique service identities. The Navy and Air Force, for example, face somewhat different situations than the Army and Marine Corps since their service members (Navy and USAF) tend to be further removed from direct combat. Nonetheless, women pilots now fly fighters in combat operations.

1. Do you think there may have been inappropriate political influences contributing to Yeager's selection to command the 40th Infantry Division?
2. Do you think her "command style" is fundamentally any different from the men who have commanded the division in the past?
3. Do you believe women have served effectively in combat situations at any time throughout history?
4. Do you think others in the division might experience any particular challenges because their commander is a woman?

Sources: J. Bacon, "Meet Brig. Gen. Laura Yeager, First Woman to Lead Army Infantry Division," *USA Today*, June 9, 2019; and "Laura Yeager, General," *The Economist*, July 6, 2019, pp. 20–21, www.economist.com/united-states/2019/07/06/laura-yeager-general.

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