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Fourth Edition

INTRODUCTION TO **LEADERSHIP**

The **Fourth Edition** of Peter G. Northouse's bestselling **Introduction to Leadership: Concepts and Practice** provides readers with a clear overview of the complexities of practicing leadership and concrete strategies for becoming better leaders. The text is organized around key leader responsibilities such as creating a vision, establishing a constructive climate, listening to outgroup members, and overcoming obstacles. Three interactive components in every chapter—self-assessment questionnaires, observational exercises, and reflection and action worksheets—get readers actively involved in applying leadership concepts to their own lives. Grounded in leadership theory and the latest research, the fully updated, highly practical Fourth Edition includes a new chapter on how leaders can embrace diversity and inclusion, as well as new material on the dark side of leadership and a new ethical leadership style questionnaire.

NEW AND KEY FEATURES

- A new chapter on **Embracing Diversity and Inclusion** explores the nature of diversity and provides an inclusion framework so leaders can overcome barriers and create inclusive climates.

- An updated and expanded chapter on **Engaging Strengths** explores how leaders identify and leverage their own strengths as well as the strengths of their followers.

- **Interactive Leadership Assessments** (available exclusively in the interactive eBook) provide students with an analysis of their questionnaire score with suggestions for improving their leadership abilities.

- **Observational Exercises** allow readers to examine leader behaviors of others in real-world scenarios.

- **Reflection and Action Worksheets** encourage students to reflect on their own leadership styles and create an action plan for improving their leadership skills.

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INTRODUCTION TO LEADERSHIP

Concepts and Practice

PETER G. NORTHOUSE

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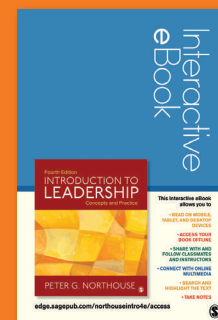# *help you do both!*

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Concepts and Practice

Fourth Edition

Peter G. Northouse
Western Michigan University

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Printed in the United States of America

This book is printed on acid-free paper.

Brief Contents

Detailed Contents

Preface

Leadership is a salient topic today. Given the volatility of global events and our national political climate, it is even more important now than it was when the third edition of this book was published. The public remains fascinated by who leaders are and what leaders do. People want to know what accounts for good leadership and how to become good leaders. Despite this strong interest in leadership, there are very few books that clearly describe the complexities of practicing leadership. I have written *Introduction to Leadership: Concepts and Practice* to fill this void.

Each chapter describes a fundamental principle of leadership and how it relates in practice to becoming an effective leader. These fundamentals are illustrated through examples, profiles of effective leaders, and case studies. The text comprises 13 chapters: **Chapter 1, "Understanding Leadership,"** analyzes how different definitions of leadership have an impact on the practice of leadership. **Chapter 2, "Recognizing Your Traits,"** examines leadership traits found to be important in social science research and explores the leadership traits of a select group of historical and contemporary leaders. **Chapter 3, "Engaging Strengths,"** discusses the emerging field of strengths-based leadership, looking at how several assessment tools can help one to recognize his or her own strengths and those of others and then put those strengths to work as an effective leader. **Chapter 4, "Understanding Philosophy and Styles,"** explores how a person's view of people, work, and human nature forms a personal philosophy of leadership and how this relates to three commonly observed styles of leadership: authoritarian, democratic, and laissez-faire. **Chapter 5, "Attending to Tasks and Relationships,"** describes how leaders can integrate and optimize task and relationship behaviors in their leadership role. **Chapter 6, "Developing Leadership Skills,"** considers three types of leadership skills: administrative, interpersonal, and conceptual. **Chapter 7, "Creating a Vision,"** explores the characteristics of a vision and how a vision is expressed and implemented. **Chapter 8, "Establishing a Constructive Climate,"** focuses on how important it is for leaders who are running groups or organizations to

provide structure, clarify norms, build cohesiveness, and promote standards of excellence. **Chapter 9, "Embracing Diversity and Inclusion,"** discusses the importance of inclusive leadership and the barriers that can be encountered when trying to embrace diversity and inclusion. **Chapter 10, "Listening to Out-Group Members,"** explores the nature of out-groups, their impact, and ways leaders should respond to out-group members. **Chapter 11, "Managing Conflict,"** addresses the question of how we can manage conflict and produce positive change. **Chapter 12, "Addressing Ethics in Leadership,"** explores six factors that are related directly to ethical leadership: character, actions, goals, honesty, power, and values. Finally, **Chapter 13, "Overcoming Obstacles,"** addresses seven obstacles that subordinates may face and how a leader can help to overcome these.

NEW TO THIS EDITION

This edition retains the chapters of the previous edition but has been expanded and enhanced in several ways:

- First and foremost, it includes a new chapter on **diversity and inclusion** that examines the nature of diversity and inclusion, provides a model of inclusive behavior, describes communication practices to improve inclusion, and identifies barriers to effective inclusive leadership.
- Second, this edition **premieres the Ethical Leadership Style Questionnaire**, a self-assessment instrument that allows readers to learn what their ethical leadership behaviors tend to be. The questionnaire in this book is an abridged edition of a longer, more comprehensive assessment available to readers online.
- Third, several chapters include a look at the **dark side of leadership** in terms of the approaches explored in the book.
- Fourth, **new case studies, examples, and research** are integrated throughout the book.
- Fifth, this edition includes new "**Ask the Author" videos** that show Peter Northouse answering student questions.

SPECIAL FEATURES

Introduction to Leadership: Concepts and Practice is designed to help the reader understand how to become a better leader. While the book is grounded in

leadership theory, it describes the basics of leadership in an understandable and user-friendly way. Each chapter focuses on a fundamental aspect of leadership, discusses how it can be applied in real leadership situations, and provides a relevant profile of a leader.

Perhaps the most notable features of this book are the four applied activities included in every chapter, which allow the reader to explore leadership concepts and real-world applications:

- **Case studies** illustrate the leadership concepts discussed in the chapter. At the end of each case, thought-provoking questions help the reader analyze the case using ideas presented in the chapter.
- **Self-assessment questionnaires** help the reader determine his or her own leadership style and preferences. Students may want to complete this questionnaire before reading the chapter's content. By completing the questionnaire first, the reader will be more aware of how the chapter's content specifically applies to his or her leadership tendencies.
- **Observational exercises** guide the reader in examining behaviors of leaders from his or her life experiences.
- **Reflection and action worksheets** stimulate the reader to reflect on his or her leadership style and identify actions to take to become more effective.

AUDIENCE

A practice-oriented book, *Introduction to Leadership: Concepts and Practice* is written in a user-friendly style appropriate for introductory leadership courses across disciplines. Specifically, it is well suited for programs in leadership studies and leadership courses in schools of agriculture, allied health, business, management, communication, education, engineering, military science, public administration, nursing, political science, social work, and religion. In addition, this book is appropriate for programs in continuing education, corporate training, executive development, in-service training, and government training. It is also useful for student extracurricular activities.

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SAGE coursepacks include, for each chapter:

- A diverse range of test items with **pretests, posttests**, and **test banks** built on Bloom's Taxonomy and AACSB standards, available with **ExamView** test generation
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- **Sample course syllabi** with suggested models for structuring a leadership course
- **Lecture notes** that summarize key concepts for each chapter
- Ideas for **class activities** that can be used in class to reinforce active learning
- **Web exercises** that direct students to useful websites to complete creative activities and reinforce learning
- **Suggested films** to facilitate showing examples of leadership in action
- **Case notes** that include case summaries, analyses, and sample answers to case questions
- **The Reflection and Action Worksheets** and **Observational Exercises** from the text in downloadable Word document format for more flexibility in using these resources
- **Tables and figures** from the textbook

SAGE edge for students at **edge.sagepub.com/northouseintro4e** enhances learning in an easy-to-use environment that offers, for each chapter, learning objectives, action plans to track progress, mobile-friendly flashcards and practice quizzes, SAGE Premium Video featuring author Peter G. Northouse, additional multimedia resources, and selected SAGE journal articles to strengthen learning.

Interactive eBook

An interactive eBook version of the text is available for students to provide a contemporary, multimedia-integrated presentation for learning. In addition to a fully electronic textbook, students can link directly to "Ask the Author" video, audio, additional enrichment readings from SAGE journals titles, and other relevant resources, bringing the subject matter to life in a way a traditional print text cannot.

The interactive eBook features exclusive **Interactive Leadership Assessments** to help students strengthen their leadership abilities by providing them with individualized feedback based on their responses to each questionnaire. After completing each questionnaire, a student using the interactive eBook will receive an in-depth analysis of her or his scores as well as personalized, pragmatic suggestions for further developing her or his leadership.

You can find the eBook icons in the print and electronic versions of the text. Below is a guide to the icons:

"Ask the Author" video icon	ASK THE AUTHOR
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ACKNOWLEDGMENTS

I would like to express my appreciation to many individuals who directly or indirectly played a role in the development of this book. First, I would like to thank the many people at SAGE Publications, in particular my editor, Maggie Stanley, who along with her leadership team (Liz Thornton, Lauren Holmes, Neda Dallal, Katie Ancheta, Ashlee Blunk, Georgia Mclaughlin, and Gail Buschman) has competently guided this revision from the beginning review

phase through the production phase. In addition, I would like to thank copy editor Melinda Masson and production editor Libby Larson. In their own unique ways, each of these people made valuable contributions that enhanced the overall quality of the book. Collectively, they are an extraordinary team that demonstrates the very highest standards of excellence in all that they do.

For their thoughtful and constructive feedback on this latest edition, I would like to thank the following reviewers:

Jens Beyer, *Hochschule Anhalt Standort Bernburg*

Carl Blencke, *University of Central Florida*

Roger Clark, *NWN Corporation*

Dan Cunningham, *McDaniel College*

D. Keith Gurley, *University of Alabama at Birmingham*

Sat Ananda Hayden, *University of Southern Mississippi*

Sharon Kabes, *Southwest Minnesota State University*

Lorin Leone, *Independence University*

Douglas Micklich, *Illinois State University*

Bryan Patterson, *Johnson C. Smith University, Northeastern University*

Robert W. Robertson, *Independence University*

Lou L. Sabina, *Stetson University*

Stephanie Schnurr, *University of Warwick*

Douglas Threet, *Foothill College*

Simone Wesner, *Birkbeck, University of London*

Paula White, *Independence University*

Cecilia Williams, *Independence University*

For comprehensive reviews of past editions, I would like to thank the following reviewers:

Maureen Baldwin, *Saint Ambrose University*

Barry L. Boyd, *Texas A&M University*

Susan Bramlett Epps, *East Tennessee State University*

Linda L. Brennan, *Mercer University*

Shannon Brown, *Benedictine University*

Lisa Burgoon, *University of Illinois at Urbana-Champaign*

Tom Butkiewicz, *University of Redlands*

Patricia Cane, *Klamath Community College*

Stephen C. Carlson, *Piedmont College*

Melissa K. Carsten, *Winthrop University*

James R. "Chip" Coldren Jr., *Governors State University*

Barbara Collins, *Cabrini College*

Stacey A. Cook, *College of Marin*

Ronald J. Cugno, *Nova Southeastern University*

Greg Czyszczon, *James Madison University*

Douglas Davenport, *Truman State University*

Edward Desmarais, *Salem State College*

Marco Dowell, *California State University, Dominguez Hills*

Tiffany Erk, *Ivy Tech Community College of Indiana*

Leon Fraser, *Rutgers Business School*

Jim Fullerton, *Idaho State University*

Jennifer Garcia, *Saint Leo University*

Don Green, *Lincoln Christian University*

Francesca Grippa, *Northeastern University*

Yael Hellman, *Woodbury University*

Vanessa Hill, *University of Louisiana at Lafayette*

Martha A. Hunt, *NHTI—Concord's Community College*

Jean Gabriel Jolivet, *Southwestern College*

Ruth Klein, *Le Moyne College*

Renee Kosiarek, *North Central College*

Robert Larison, *Eastern Oregon University*

Hammink for his assistance in the construction and scoring of the Ethical Leadership Style Questionnaire and James Ludema for his support.

For their outstanding work in developing creative resources for this edition, I am grateful to Isolde Anderson of Hope College, Matthew Creasy of the University of Delaware, Jeff Paul of the University of Tulsa, Lou Sabina of Stetson University, Andrea Smith-Hunter of Siena College, and Douglas Threet of Foothill College.

Finally, I wish to thank Marie Lee for her thorough editing and commitment and Laurel Northouse for her editorial insights and extraordinary support. It takes a lot of dedicated people to write a book, and I feel fortunate to have those people in my life.

About the Author

Peter G. Northouse, PhD, is Professor Emeritus of Communication in the School of Communication at Western Michigan University. In addition to publications in professional journals, he is the author of *Leadership: Theory and Practice* (now in its seventh edition) and coauthor of *Health Communication: Strategies for Health Professionals* (now in its third edition) and *Leadership Case Studies in Education*. His scholarly and curricular interests include models of leadership, leadership assessment, ethical leadership, and leadership and group dynamics. For more than 30 years, he has taught undergraduate and graduate courses in leadership, interpersonal communication, and organizational communication on both the undergraduate and graduate levels. Currently, he is a consultant and lecturer on trends in leadership research, leadership development, and leadership education. He holds a doctorate in speech communication from the University of Denver, and master's and bachelor's degrees in communication education from Michigan State University.

Understanding Leadership

INTRODUCTION

This book is about *what it takes to be a leader.* Everyone, at some time in life, is asked to be a leader, whether to lead a classroom discussion, coach a children's soccer team, or direct a fund-raising campaign. Many situations require leadership. A leader may have a high profile (e.g., an elected public official) or a low profile (e.g., a volunteer leader in Big Brothers Big Sisters), but in every situation there are leadership demands placed on the individual who is the leader. Being a leader is challenging, exciting, and rewarding, and carries with it many responsibilities. This chapter discusses different ways of looking at leadership and their impacts on what it means to be a leader.

ASK THE
AUTHOR

What is Leadership?

LEADERSHIP EXPLAINED

At the outset, it is important to address a basic question: *What is leadership?* Scholars who study leadership have struggled with this question for many decades and have written a great deal about the nature of leadership (Antonakis, Cianciolo, & Sternberg, 2004; Bass, 1990; Conger & Riggio, 2007). (See Box 1.1.)

Leadership Basics

In leadership literature, more than 100 different definitions of leadership have been identified (Rost, 1991). Despite these many definitions, a number of concepts are recognized by most people as accurately reflecting what it is to be a leader.

"Leadership Is a Trait"

First, leadership is thought of as a *trait.* A **trait** is a distinguishing quality of an individual, which is often inherited. Defining leadership as a trait means that each individual brings to the table certain qualities that influence the way he or she leads. Some leaders are confident, some are decisive, and still others are outgoing and sociable. Saying that leadership is a trait places a great deal of emphasis on the leader and on the leader's special gifts. It follows the often-expressed belief "leaders are born, not made." Some argue that focusing on traits makes leadership an elitist enterprise because it implies that only a few people with special talents will lead. Although there may be some truth to this argument, it can also be argued that all of us are born with a wide array of unique traits and that many of these traits can have a positive impact on our leadership. It also may be possible to modify or change some traits.

Through the years, researchers have identified a multitude of traits that are associated with leadership. In Chapter 2 we will discuss some key leadership traits, and in Chapter 3 we will explain how strength-based leadership is a variation of trait leadership. Although there are many important leadership traits, what is most important for leaders is having the required traits that a particular situation demands. For example, a chaotic emergency room at a hospital requires a leader who is insightful and decisive and can bring calm to the situation. Conversely, a high school classroom in which students are bored demands a teacher who is inspiring and creative. Effective leadership results when the leader engages the right traits in the right place at the right time.

"Leadership Is an Ability"

In addition to being thought of as a trait, leadership is conceptualized as an ability. A person who has leadership **ability** is *able* to be a leader—that is, has the capacity to lead. While the term *ability* frequently refers to a natural capacity, ability can be acquired. For example, some people are naturally good at public speaking, while others rehearse to become comfortable speaking in public. Similarly, some people have the natural physical ability to excel in a sport, while others develop their athletic capacity through

BOX 1.1   The Evolution of Leadership

Leadership has long intrigued humankind and has been the topic of extensive literature for centuries. The earliest writings include philosophies of leadership such as Machiavelli's *The Prince* (1531/2005) and biographies of great leaders. With the development of the social sciences during the 20th century, inquiry into leadership became prolific. Studies on leadership have emerged from every discipline "that has had some interest in the subject of leadership: anthropology, business administration, educational administration, history, military science, nursing administration, organizational behavior, philosophy, political science, public administration, psychology, sociology, and theology" (Rost, 1991, p. 45).

As a result, there are many different leadership approaches and theories. While the words are often used interchangeably, approaches and theories are different conceptually. An **approach** is a general way of thinking about a phenomenon, not necessarily based on empirical research. A **theory** usually includes a set of hypotheses, principles, or laws that explain a given phenomenon. Theories are more refined and can provide a predictive framework in analyzing the phenomenon. For example, the spiritual leadership approach is a conceptualization of leadership that does not yet have a body of empirical research to validate it, while contingency leadership theory has a refined set of propositions based on the results of multiple research studies.

Not unlike fashion, approaches to leadership have evolved, changed focus and direction, and built upon one another during the past century.

To understand this evolution, a brief historical view can be helpful:

Trait Approach

The early **trait approach** theories were called **"Great Man" theories** because they focused on identifying the innate qualities and characteristics possessed by great social, political, and military leaders such as Catherine the Great, Mohandas Gandhi, Abraham Lincoln, Moses, and Joan of Arc. Studies of leadership traits were especially strong from 1900 to the early 1940s and enjoyed a renewed emphasis beginning in the 1970s as researchers began to examine visionary and charismatic leadership. In the 1980s, researchers linked leadership to the **"Big Five" personality factors** while interest in **emotional intelligence** as a trait gained favor in the 1990s. (For a discussion of *emotional intelligence* as a leadership skill, see Chapter 6, pages 126–127.)

Behavior Approach

In the late 1930s, leadership research began to focus on behavior—what leaders do and how they act. Groundbreaking studies by researchers at The Ohio State University and the University of Michigan in the 1940s and 1950s analyzed how leaders acted in small group situations. **Behavior approach** theories hit their heyday in the early 1960s with Blake and Moulton's (1964) work exploring how managers use **task** and **relationship behaviors** in the organizational setting.

Situational Approach

The premise of this approach is that different situations demand different kinds of leadership.

(Continued)

(Continued)

Serious examination of **situational approach** theories began in the late 1960s by Hersey and Blanchard (1969) and Reddin (1967). Situational approaches continued to be refined and revised from the 1970s through the 1990s (Vecchio, 1987). One of these, **path–goal theory**, examines how leaders use employee motivation to enhance performance and satisfaction. Another approach, **contingency theory**, focuses on the match between the leader's style and specific situational variables.

Relational Approach

In the 1990s, researchers began examining the nature of relations between leaders and followers. This research ultimately evolved into the **leader–member exchange (LMX) theory**. LMX theory predicts that high-quality relations generate more positive leader outcomes than low-quality relations. Research in the **relational approach** to leadership continues to generate moderate interest today.

"New Leadership" Approach

When these approaches began appearing in the mid-1980s—three decades ago—they were, and continue to be, called "new leadership" approaches (Bryman, 1992). Beginning with the work of Bass (1985, 1990), leadership studies generated visionary or charismatic leadership theories. From these approaches developed **transformational leadership theory**, which describes leadership as a process that changes people and organizations.

Emerging Leadership Approaches

A diverse range of approaches to leadership is emerging during the 21st century:

- **Adaptive leadership** examines how leaders help people address problems, face challenges, and adapt to change. Adaptive leadership stresses that the leaders don't solve the problems, but rather encourage others to do the problem solving and adapt to change.
- **Authentic leadership** is an approach that looks at the authenticity of leaders and their leadership and is currently enjoying strong interest.
- **Spiritual leadership** considers how leaders use values, a sense of "calling," and membership to motivate followers.
- **Servant leadership** emphasizes the "caring principle" with leaders as "servants" who focus on their followers' needs in order to help these followers become more autonomous, knowledgeable, and like servants themselves.
- **Gender-based studies**, which have gained much momentum as women continue to become more dominant in the workforce, especially on a global level, view how one's gender affects and differentiates one's leadership.

The historical timeline in Figure 1.1 is not intended to represent these approaches as separate and distinct eras, only to disappear from the picture when a new theory appears. Instead, many of these theories occur concurrently, building upon one another. Even when a certain approach's period of popularity has waned, the theory continues to influence further study and the development of new leadership approaches.

FIGURE 1.1   Development of Leadership Theories Through History
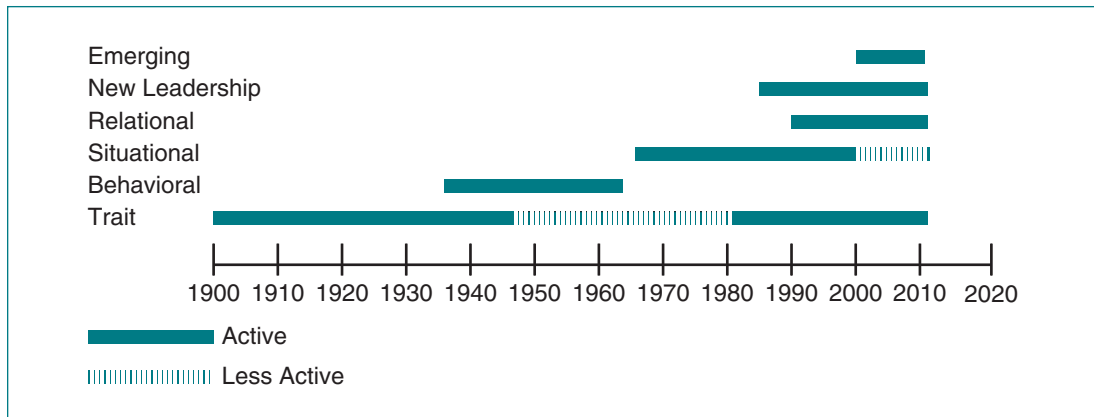
Source: Adapted from Antonakis, J., Cianciolo, A. T., & Sternberg, R. J. (Eds.). (2004). *The nature of leadership.* Thousand Oaks, CA: Sage, p. 7.

exercise and practice. In leadership, some people have the natural ability to lead, while others develop their leadership abilities through hard work and practice.

An example of leadership as ability is the legendary University of California at Los Angeles basketball coach John Wooden, whose teams won seven consecutive National Collegiate Athletic Association titles. Described first as a teacher and then as a coach, Wooden implemented four laws of learning into his coaching: explanation, demonstration, imitation, and repetition. His goal was to teach players how to do the right thing instinctively under great pressure. Less visible or well known, but also an example of leadership as ability, is the unheralded but highly effective restaurant manager who, through years of experience and learning, is able to create a successful, award-winning restaurant. In both of these examples, it is the individuals' abilities that create outstanding leadership.

▶

Key Theories

"Leadership Is a Skill"

Third, leadership is a *skill.* Conceptualized as a **skill**, leadership is a *competency* developed to accomplish a task effectively. Skilled leaders are competent people who know the means and methods for carrying out their responsibilities. For example, a skilled leader in a fund-raising campaign knows every step and procedure in the fund-raising process and is able to use this knowledge to run an effective campaign. In short,

skilled leaders are competent—they know what they need to do, and they know how to do it.

Describing leadership as a skill makes leadership available to everyone because skills are competencies that people can learn or develop. Even without natural leadership ability, people can improve their leadership with practice, instruction, and feedback from others. Viewed as a skill, leadership can be studied and learned. If you are capable of learning from experience, you can acquire leadership.

"Leadership Is a Behavior"

Leadership Behaviors

Leadership is also a *behavior*. It is *what leaders do* when they are in a leadership role. The behavioral dimension is concerned with how leaders act toward others in various situations. Unlike traits, abilities, and skills, leadership behaviors are observable. When someone leads, we see that person's leadership behavior.

Research on leadership has shown that leaders engage primarily in two kinds of general behaviors: task behaviors and process behaviors. **Task behaviors** are used by leaders to get the job done (e.g., a leader prepares an agenda for a meeting). **Process behaviors** are used by leaders to help people feel comfortable with other group members and at ease in the situations in which they find themselves (e.g., a leader helps individuals in a group to feel included). Since leadership requires both task and process behaviors, the challenge for leaders is to know the best way to combine them in their efforts to reach a goal.

"Leadership Is a Relationship"

Leadership and Change

Another, and a somewhat unusual, way to think about leadership is as a *relationship*. From this perspective, leadership is centered on the communication between leaders and followers rather than on the unique qualities of the leader. Thought of as a relationship, leadership becomes a process of collaboration that occurs between leaders and followers (Rost, 1991). A leader affects and is affected by followers, and both leader and followers are affected in turn by the situation that surrounds them. This approach emphasizes that leadership is not a linear one-way event, but rather an interactive event. In traditional leadership, authority is often top down; in the interactive type of leadership, authority and influence are shared. When leadership is defined in

this manner, it becomes available to everyone. It is not restricted to the formally designated leader in a group.

Thinking of leadership as a relationship suggests that leaders must include followers and their interests in the process of leadership. A leader needs to be fully aware of the followers and the followers' interests, ideas, positions, attitudes, and motivations. In addition, this approach has an ethical overtone because it stresses the need for leaders to work with followers to achieve their mutual purposes. Stressing mutuality lessens the possibility that leaders might act toward followers in ways that are forced or unethical. It also increases the possibility that leaders and followers will work together toward a common good (Rost, 1991).

"Leadership Is an Influence Process"

A final way of thinking about leadership is as an influence process. This is the perspective that will be emphasized in this book.

> ***Leadership*** *is a process whereby an individual influences a group of individuals to achieve a common goal.*

Defining leadership as an influence process means that it is not a trait or an ability that resides in the leader, but rather an interactive event that occurs between the leader and the followers. Influence is central to the process of leadership because leaders affect followers. Leaders direct their energies toward influencing individuals to achieve something together. Stressing common goals gives leadership an ethical dimension because it lessens the possibility that leaders might act toward followers in ways that use coercion or are unethical.

Finally, in explaining what leadership is, it is important to make a distinction between leadership and management. In discussing what leadership is and can be, the concepts of leadership and management sometimes overlap. Both leadership and management involve influence, but leadership is about seeking constructive change, and management is about establishing order. For example, it is often said that "managers are people who do things right, and leaders are people who do the right thing." Since both leaders and managers are engaged in influencing people toward goal accomplishment, our discussion in this book will treat the roles of managers and leaders similarly and not emphasize the differences between them.

Leadership Development

GLOBAL LEADERSHIP ATTRIBUTES

Universal Leadership Attributes

We probably all wonder at the differences in leadership around the world. Why do some countries gravitate toward the distributed leadership of a democracy, while others seem content with the hierarchical leadership of a monarchy or dictatorship? The definition and concepts of leadership outlined in this chapter are from an American perspective. If you were to travel to nations across the world, you would no doubt encounter different views of leadership specific to those ethnic and political cultures.

In 2004, Robert House led a group of 160 researchers in an ambitious study to increase our understanding of the impact culture has on leadership effectiveness. The GLOBE (Global Leadership and Organizational Behavior Effectiveness) studies drew on the input of 17,000 people in 62 countries in determining how leadership varies across the world. Among the many findings generated by the GLOBE studies was the identification of positive and negative leadership characteristics that are universally accepted worldwide (see Table 1.1).

TABLE 1.1   Universal Leadership Attributes

Positive Leader Attributes		
Trustworthy	Just	Honest
Foresighted	Plans ahead	Encouraging
Positive	Dynamic	Motivator
Builds confidence	Motivational	Dependable
Intelligent	Decisive	Effective bargainer
Win-win problem solver	Communicative	Informed
Administratively skilled	Coordinator	Team builder
Excellence oriented		
Negative Leader Attributes		
Loner	Asocial	Noncooperative
Irritable	Nonexplicit	Egocentric
Ruthless	Dictatorial	

Source: Adapted from House, R. J., Hanges, P. J., Javidan, M., Dorfman, P. W., & Gupta, V. (Eds.). (2004). *Culture, leadership, and organizations: The GLOBE study of 62 societies.* Thousand Oaks, CA: Sage, pp. 677–678. Reprinted with permission.

THE DARK SIDE OF LEADERSHIP

Those same characteristics and behaviors that distinguish leadership can also be used by leaders in nonpositive ways (Conger, 1990). The

dark side of leadership is the destructive side of leadership where a leader uses his or her influence or power for personal ends. Lipman-Blumen (2005) suggests that such leaders are "toxic," where their leadership leaves their followers worse off than they found them, often violating the basic human rights of others and playing to their followers' basest fears. Dark leadership is able to thrive when three conditions exist, according to Padilla, Hogan, and Kaiser (2007): a destructive leader, susceptible followers, and a conducive environment. Destructive leaders will prevail when the checks and balances of an organization are weak and the rules of the institution are ineffective. While many cite Adolf Hitler as the prime example of the dark side of leadership, there are many current examples in the world today from the regime of Bashar al-Assad in Syria, whose leadership has led to violent civil war that has left hundreds of thousands dead, to religious extremist groups, such as ISIS and al-Qaeda, who use their followers to engage in mass murder of innocents.

The meaning of leadership is complex and includes many dimensions. For some people, leadership is a *trait* or an *ability*, for others it is a *skill* or a *behavior*, and for still others it is a *relationship* or a *process.* In reality, leadership probably includes components of all of these dimensions. Each dimension explains a facet of leadership.

In considering these various definitions of leadership and based on the results of your Conceptualizing Leadership Questionnaire (page 14), which dimension seems closest to how you think of leadership? How would you define leadership? Answers to these questions are important because *how you think* about leadership will strongly influence *how you practice* leadership.

There is a strong demand for effective leadership in society today. This demand exists at the local and community levels, as well as at the national level, in this country and abroad. People feel the need for leadership in all aspects of their lives. They want leaders in their personal lives, at school, in the work setting, and even in their spiritual lives. Everywhere you turn, people are expressing a need for strong leadership.

When people ask for leadership in a particular situation, it is not always clear exactly what they want. For the most part, however, they want effective leadership. Effective leadership is intended influence that creates change for the greater good. Leadership uses positive means to achieve positive outcomes. Furthermore, people want leaders who listen to and understand their needs and who can relate to their circumstances. The challenge for each of us is to be prepared to lead when we are asked to be the leader.

The Dark Side
of Leadership

Destructive
Leadership

LEADERSHIP SNAPSHOT

Indra Nooyi, CEO, PepsiCo

Mark Wilson/Staff/Getty Images News/Getty Images

The daughter of a conservative, middle-class family in southern India, Indra Nooyi didn't seem destined to one day run one of the world's largest snack food and beverage companies. But Nooyi does just that as the CEO and president of PepsiCo, making her one of the top female executives in the United States and probably the highest-ranking woman of Indian heritage in corporate America.

Nooyi, who grew up in Madras (now Chennai), India, admits she always pushed social conventions. She played on an all-girls cricket team and was a guitarist in a rock band at a time when it was deemed inappropriate for Indian girls to do such things. Despite graduating from college with bachelor's degrees in chemistry, math, and physics from Madras Christian College in 1974 and a master of business administration from the Indian Institute of Management Calcutta, Nooyi was reportedly remembered for being only a "mediocre student" (Pandey, 2006).

Nooyi's first job after college was for Tootal, a British textile company in India, but she was hired away as a brand manager for Johnson & Johnson to oversee the company's Stayfree account in India. It was a job that would have challenged the most seasoned marketing executive because, at the time, advertising women's feminine products was not allowed in her country (Murray, 2004).

By 1978, Nooyi felt she needed more preparation for the business world and applied to and was accepted to the Yale School of Management in the United States. To her surprise, her parents agreed to let her go, although it would essentially make her an unmarriageable commodity in her culture. She received financial aid from Yale, but still struggled to make ends meet, working as an overnight receptionist. She didn't have the money to buy a business suit, so she wore her traditional sari to work and later in job interviews, choosing to be herself rather than adhere to expected cultural norms.

Nooyi did not earn an MBA from Yale, choosing instead to get a master's degree in public and private management. Her first jobs after graduation were for the prestigious Boston Consulting Group and Motorola. In 1990, she joined ASEA Brown Boveri (ABB), a Swiss-Swedish industrial conglomerate. Her success in directing ABB's North American operations caught the attention of PepsiCo CEO Wayne Calloway who wooed her away to become his company's chief strategist.

Nooyi quickly left her mark at PepsiCo. She was the chief deal maker for two of PepsiCo's

most important acquisitions: the Tropicana orange juice brand in 1998 and Quaker Oats in 2001. The Quaker Oats deal added a huge range of cereals and snack foods to the PepsiCo empire. Nooyi also helped the company acquire beverage maker SoBe, beating out a competing offer from Coca-Cola. Her deal-making talents elevated her to the job of PepsiCo's chief financial officer in 2000, and a year later she was given the title of president.

Nooyi's vision for PepsiCo—that "for any part of the day, we will have a little snack for you" (Byrnes, 2001)—has been implemented through development of new products and acquisitions. The company now sells a wide range of foods and beverages from Cap'n Crunch and Doritos to Mountain Dew and Gatorade. The company's 18 brands are sold in 200 countries, and it employs 198,000 people worldwide.

But the strategist in Nooyi has also foreseen the effect that growing lifestyle diseases such as obesity could have on her company. Again, she has chosen to follow an unconventional path, looking to create healthier products in an industry dominated by salt, fat, and sugar. She invested heavily in the creation of a research and development lab that took five years to complete, drawing criticism from stockholders and industry analysts. So far, the investment has had some success: PepsiCo introduced a "mid-calorie" cola, Pepsi True, which has 30% less sugar and uses stevia extract instead of artificial sweeteners, and has created potato chips that taste just as salty as the original but have less sodium. The company has also introduced a new line of craft sodas called Stubborn Soda, which contain natural flavors and sugarcane instead of high-fructose corn syrup.

SUMMARY

All of us at some time in our lives will be asked to show leadership. When you are asked to be the leader, it will be both demanding and rewarding. How you approach leadership is strongly influenced by your definitions of and beliefs about leadership. Through the years, writers have defined leadership in a multitude of ways. It is a complex, multidimensional process that is often conceptualized in a variety of ways by different people. Some of the most common ways of looking at leadership are as a trait, as an ability, as a skill, as a behavior, as a relationship, and as a process. The way you think about leadership will influence the way you practice leadership.

GLOSSARY TERMS

ability   2

adaptive leadership   4

approach   3

authentic leadership   4

behavior approach   3

"Big Five" personality factors   3

contingency theory   4

dark side of leadership   9

emotional intelligence   3

gender-based studies   4

"Great Man" theories   3

leader–member exchange (LMX)
   theory   4

leadership   7

path–goal theory   4

process behaviors   6

relational approach   4

relationship behaviors   3

servant leadership   4

situational approach   4

skill   5

spiritual leadership   4

task behaviors   3, 6

theory   3

trait   2

trait approach   3

transformational leadership
   theory   4

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1.1 CASE STUDY

King of the Hill

Denny Hill's career as a high school swimming coach didn't start out well. The seniors on his team quit in the first season because he required them to come to all the workouts. The team only won three meets the whole season. That was 40 years ago. Since that time, the high school chemistry teacher's success as a swimming coach has been extraordinary; his winnings include more than 900 boys' and girls' dual meets and a phenomenal 31 state titles.

Denny is noted for creating a team effort out of what is usually considered an individual sport. He begins every season with a team sleepover, followed by "Hell Week," a two-week grueling regimen in which team members swim at least 5 miles a workout and 10 miles a day. He acknowledges this is a bonding experience for the swimmers, regardless of their skill, because they are "all in the same boat."

Denny passes the mantle of leadership onto his team members. Seniors are expected to be mature leaders who inform the freshmen of the team goals and expectations. Juniors are to be role models, while sophomores serve as quiet leaders who are still learning but have a foundation in the team culture. Even the freshmen members have a job: They are required to pay attention to the coaches and other team members as they learn the team's culture and what's expected.

Denny holds a 20-minute team meeting each Monday where every member has the opportunity to present a rose or a complaint to anyone on the team including the coaches. He is tough on swimmers and makes them work, but when they need support he is always there to put an arm around them. Denny also uses humor, often making jokes that help take the edge off long, hard workouts.

And despite his teams' successes, Denny isn't about winning; he's more about preparing to win—telling his swimmers that by preparing to win, everything takes care of itself. When you do win, he says, you've done it the right way.

QUESTIONS

1. What leadership *traits* account for Denny Hill's success?

2. How would you describe Denny Hill's leadership *abilities*?

3. Leadership includes administrative skills, interpersonal skills, and conceptual skills. How does Denny Hill stack up on these *skills*?

4. How does Denny Hill integrate task and relationship *behaviors* in his leadership?

5. From a relational perspective, how would you describe Denny Hill's leadership?

6. In what way does Denny Hill's coaching exemplify leadership as an influence process?

1.2 Conceptualizing Leadership Questionnaire

APPLICATION

Purpose

1. To identify how you view leadership
2. To explore your perceptions of different aspects of leadership

Directions

1. Consider for a moment your own impressions of the word *leadership*. Based on your experiences with leaders in your lifetime, what is leadership?
2. Using the scale below, indicate the extent to which you agree or disagree with the following statements about leadership.

Statement	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
1. When I think of leadership, I think of a person with special personality traits.	1	2	3	4	5
2. Much like playing the piano or tennis, leadership is a learned ability.	1	2	3	4	5
3. Leadership requires knowledge and know-how.	1	2	3	4	5
4. Leadership is about what people do rather than who they are.	1	2	3	4	5
5. Followers can influence the leadership process as much as leaders.	1	2	3	4	5
6. Leadership is about the process of influencing others.	1	2	3	4	5
7. Some people are born to be leaders.	1	2	3	4	5
8. Some people have the natural ability to be leaders.	1	2	3	4	5
9. The key to successful leadership is having the right skills.	1	2	3	4	5
10. Leadership is best described by what leaders do.	1	2	3	4	5
11. Leaders and followers share in the leadership process.	1	2	3	4	5
12. Leadership is a series of actions directed toward positive ends.	1	2	3	4	5
13. A person needs to have certain traits to be an effective leader.	1	2	3	4	5

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1.2 CONCEPTUALIZING LEADERSHIP QUESTIONNAIRE

(Continued)

	Statement	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
14.	Everyone has the capacity to be a leader.	1	2	3	4	5
15.	Effective leaders are competent in their roles.	1	2	3	4	5
16.	The essence of leadership is performing tasks and dealing with people.	1	2	3	4	5
17.	Leadership is about the common purposes of leaders and followers.	1	2	3	4	5
18.	Leadership does not rely on the leader alone but is a process involving the leader, followers, and the situation.	1	2	3	4	5
19.	People become great leaders because of their traits.	1	2	3	4	5
20.	People can develop the ability to lead.	1	2	3	4	5
21.	Effective leaders have competence and knowledge.	1	2	3	4	5
22.	Leadership is about how leaders work with people to accomplish goals.	1	2	3	4	5
23.	Effective leadership is best explained by the leader–follower relationship.	1	2	3	4	5
24.	Leaders influence and are influenced by followers.	1	2	3	4	5

Scoring

1. Sum scores on items 1, 7, 13, and 19 (trait emphasis)

2. Sum scores on items 2, 8, 14, and 20 (ability emphasis)

3. Sum scores on items 3, 9, 15, and 21 (skill emphasis)

4. Sum scores on items 4, 10, 16, and 22 (behavior emphasis)

5. Sum scores on items 5, 11, 17, and 23 (relationship emphasis)

6. Sum scores on items 6, 12, 18, and 24 (process emphasis)

APPLICATION

1.2 CONCEPTUALIZING LEADERSHIP QUESTIONNAIRE

(Continued)

APPLICATION

Total Scores

1. Trait emphasis: _____

2. Ability emphasis: _____

3. Skill emphasis: _____

4. Behavior emphasis: _____

5. Relationship emphasis: _____

6. Process emphasis: _____

Scoring Interpretation

The scores you received on this questionnaire provide information about how you define and view leadership. The emphasis you give to the various dimensions of leadership has implications for how you approach the leadership process. For example, if your highest score is for *trait emphasis*, it suggests that you emphasize the role of the leader and the leader's special gifts in the leadership process. However, if your highest score is for *relationship emphasis*, it indicates that you think leadership is centered on the communication between leaders and followers, rather than on the unique qualities of the leader. By comparing your scores, you can gain an understanding of the aspects of leadership that you find most important and least important. The way you think about leadership will influence how you practice leadership.

Improve Your Leadership Skills

If you have the interactive eBook version of this text, log in to access the interactive leadership assessment. After completing this chapter's questionnaire, you will receive individualized feedback and practical suggestions for further strengthening your leadership based on your responses in this questionnaire.

1.3 Observational Exercise

Defining Leadership

Purpose

1. To develop an understanding of the complexity of leadership
2. To become aware of the different ways people define leadership

Directions

1. In this exercise, select five people you know and interview them about leadership.
2. Ask each person to give you his or her definition of leadership, and to describe his or her personal beliefs about effective leadership.
3. Record each person's response on a separate sheet of paper.

    Person #1 (name) _____

    Person #2 (name) _____

    Person #3 (name) _____

    Person #4 (name) _____

    Person #5 (name) _____

Questions

1. What differences did you observe in how these people define leadership?

2. What seems to be the most common definition of leadership?

3. In what ways did people describe leadership differently from the definitions in Chapter 1, "Understanding Leadership"?

4. Of the people interviewed, whose definition comes closest to your own? Why?

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APPLICATION

1.4 REFLECTION AND ACTION WORKSHEET

Understanding Leadership

APPLICATION

Reflection

1. Each of us has our own unique way of thinking about leadership. What leaders or people have influenced you in your thinking about leadership? Discuss what leadership means to you and give your definition of leadership.

2. What do the scores you received on the Conceptualizing Leadership Questionnaire suggest about your perspective on leadership? Of the six dimensions on the questionnaire (trait, ability, skill, behavior, relationship, and process), which one is the most similar to your own perspective? Which one is least like your own perspective?

3. Do you think leadership is something everyone can learn to do, or do you think it is a natural ability reserved for a few? Explain your answer.

Action

1. Based on the interviews you conducted with others about leadership, how could you incorporate others' ideas about leadership into your own leadership?

2. Treating leadership as a relationship has ethical implications. How could adding the *relationship* approach to your leadership make you a better leader? Discuss.

3. Think about your own leadership. Identify one trait, ability, skill, or behavior that you could develop more fully to become a better leader.

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Recognizing Your Traits

INTRODUCTION

Why are some people leaders while others are not? What makes people become leaders? Do leaders have certain traits? These questions have been of interest for many years. It seems that all of us want to know what characteristics account for effective leadership. This chapter will address the traits that are important to leadership.

Since the early 20th century, hundreds of research studies have been conducted on the traits of leaders. These studies have produced an extensive list of ideal leadership traits (see Antonakis, Cianciolo, & Sternberg, 2004; Bass, 1990). The list of important leadership traits is long and includes such traits as diligence, trustworthiness, dependability, articulateness, sociability, open-mindedness, intelligence, confidence, self-assurance, and conscientiousness. Because the list is so extensive, it is difficult to identify specifically which traits are essential for leaders. In fact, nearly all of the traits are probably related to effective leadership.

What traits are important when you are asked to be a leader? To answer this question, two areas will be addressed in this chapter. First, a set of selected traits

that appear by all accounts to be strongly related to effective leadership in everyday life will be discussed. Second, the lives of several historical and contemporary leaders will be examined with a discussion of the traits that play a role in their leadership. Throughout this discussion, the unique ways that certain traits affect the leadership process in one way or another will be emphasized.

LEADERSHIP TRAITS EXPLAINED

Leadership Traits

From the beginning of the 20th century to the present day, researchers have focused a great deal of attention on the unique characteristics of successful leaders. Thousands of studies have been conducted to identify the traits of effective leaders. The results of these studies have produced a very long list of important leadership traits; each of these traits contributes to the leadership process.

For example, research studies by several investigators found the following traits to be important: achievement, persistence, insight, initiative, self-confidence, responsibility, cooperativeness, tolerance, influence, sociability, drive, motivation, integrity, confidence, cognitive ability, task knowledge, extroversion, conscientiousness, and openness (Judge, Bono, Ilies, & Gerhardt, 2002; Kirkpatrick & Locke, 1991; Stogdill, 1974). On the international level, House, Hanges, Javidan, Dorfman, and Gupta (2004), in a study of 17,000 managers in 62 different cultures, identified a list of 22 valued traits that were universally endorsed as characteristics of outstanding leadership in these countries. The list, which was outlined in Table 1.1 in Chapter 1, "Understanding Leadership," includes such attributes as being trustworthy, just, honest, encouraging, positive, dynamic, dependable, intelligent, decisive, communicative, informed, and a team builder. As these findings indicate, research studies on leadership traits have identified a wide array of important characteristics of leaders.

ASK THE
AUTHOR

Are There Certain
Traits a Leader Needs?

However, these research findings raise an important question: If there are so many important leadership traits, which *specific traits* do people need to be successful leaders? While the answer to this question is not crystal clear, the research points to *six key traits: intelligence, confidence, charisma, determination, sociability,* and *integrity.* In the following section, we will discuss each of these traits in turn.

Intelligence

Intelligence is an important trait related to effective leadership. Intelligence includes having good language skills, perceptual skills, and

reasoning ability. This combination of assets makes people good thinkers, and makes them better leaders.

While it is hard for a person to alter his or her IQ (intelligence quotient), there are certain ways for a person to improve intelligence in general. Intelligent leaders are well informed. They are aware of what is going on around them and understand the job that needs to be done. It is important for leaders to obtain information about what their leadership role entails and learn as much as possible about their work environment. This information will help leaders be more knowledgeable and insightful.

For example, a few years ago a friend, Chris, was asked to be the coach of his daughter's middle school soccer team even though he had never played soccer and knew next to nothing about how the game is played. Chris took the job and eventually was a great success, but not without a lot of effort. He spent many hours learning about soccer. He read how-to books, instructors' manuals, and coaching books. In addition, Chris subscribed to several soccer magazines. He talked to other coaches and learned everything he could about playing the game. By the time he had finished the first season, others considered Chris to be a very competent coach. He was smart and learned how to be a successful coach.

Regarding intelligence, few if any of us can expect to be another Albert Einstein. Most of us have average intelligence and know that there are limits to what we can do. Nevertheless, becoming more knowledgeable about our leadership positions gives us the information we need to become better leaders.

Confidence

Being confident is another important trait of an effective leader. Confident people feel self-assured and believe they can accomplish their goals. Rather than feeling uncertain, they feel strong and secure about their positions. They do not second-guess themselves, but rather move forward on projects with a clear vision. Confident leaders feel a sense of certainty and believe that they are doing the right thing. Clearly, **confidence** is a trait that has to do with feeling positive about oneself and one's ability to succeed.

If confidence is a central trait of successful leaders, how can you build your own confidence? First, confidence comes from *understanding* what is required of you. For example, when first learning to drive a car, a student's confidence is low because he or she does not know *what* to do. If an instructor explains the driving process and demonstrates how to drive, the student can gain confidence because he or she now has an understanding of how to drive. Awareness and understanding build confidence. Confidence can also come from having a mentor to show the way and provide constructive

Confidence

feedback. This mentor may be a boss, an experienced coworker, or a significant other from outside the organization. Because mentors act as role models and sounding boards, they provide essential help to learn the dynamics of leadership.

Confidence also comes from *practice.* This is important to point out, because practice is something everyone can do. Consider Michael Phelps, one of the most well-known athletes in the world today. Phelps is a very gifted swimmer, with 23 Olympic gold medals and the record for winning the most medals, 28, of any Olympic athlete in history. But Phelps also spends an enormous amount of time practicing. His workout regimen includes swimming six hours a day, six days a week. His excellent performance and confidence are a result of his practice, as well as his gifts.

In leadership, practice builds confidence because it provides assurance that an aspiring leader can do what needs to be done. Taking on leadership roles, even minor ones on committees or through volunteer activities, provides practice for being a leader. Building one leadership activity on another can increase confidence for more demanding leadership roles. Those who accept opportunities to practice their leadership will experience increased confidence in their leadership abilities.

Charisma

Charismatic Leadership

Of all the traits related to effective leadership, charisma gets the most attention. **Charisma** refers to a leader's special magnetic charm and appeal, and can have a huge effect on the leadership process. Charisma is a special personality characteristic that gives a leader the capacity to do extraordinary things. In particular, it gives the leader exceptional powers of influence. A good example of a charismatic leader is former president John F. Kennedy, who motivated the American people with his eloquent oratorical style (visit edge.sagepub.com/northouseintro4e to read one of his speeches). President Kennedy was a gifted, charismatic leader who had an enormous impact on others.

It is not unusual for many of us to feel challenged with regard to charisma because it is not a common personality trait. There are a few select people who are very charismatic, but most of us are not. Since charisma appears in short supply, the question arises: What do leaders do if they are not naturally charismatic?

Based on the writings of leadership scholars, several behaviors characterize charismatic leadership (Conger, 1999; House, 1976; Shamir, House, & Arthur, 1993). First, charismatic leaders serve as a *strong role model* for the values that they desire others to adopt. Mohandas Gandhi advocated nonviolence and was an exemplary role model of civil disobedience; his charisma

enabled him to influence others. Second, charismatic leaders *show competence* in every aspect of leadership, so others trust their decisions. Third, charismatic leaders *articulate clear goals* and *strong values.* Martin Luther King Jr.'s "I Have a Dream" speech is an example of this type of charismatic leadership. By articulating his dream, he was able to influence multitudes of people to follow his nonviolent practices. Fourth, charismatic leaders communicate *high expectations* for followers and *show confidence* in their abilities to meet these expectations. Finally, charismatic leaders are an *inspiration* to others. They can excite and motivate others to become involved in real change, as demonstrated by John F. Kennedy and Martin Luther King Jr.

Determination

Determination is another trait that characterizes effective leaders. Determined leaders are very focused and attentive to tasks. They know *where* they are going and *how* they intend to get there. Determination is the decision to get the job done; it includes characteristics such as initiative, persistence, and drive. People with determination are willing to assert themselves, they are proactive, and they have the capacity to persevere in the face of obstacles. Being determined includes showing dominance at times, especially in situations where others need direction.

Determination

We have all heard of determined people who have accomplished spectacular things—the person with cancer who runs a standard 26.2-mile marathon, the blind person who climbs Mount Everest, or the single mom with four kids who graduates from college. A good example of determined leadership is Nelson Mandela, who is featured in the Leadership Snapshot in this chapter. Mandela's single goal was to end apartheid in South Africa. Even though he was imprisoned for many years, he steadfastly held to his principles. He was committed to reaching his goal, and he never wavered from his vision. Mandela was focused and disciplined—a determined leader.

What distinguishes all of these leaders from other people is their determination to get the job done. Of all the traits discussed in this chapter, determination is probably the one trait that is easily acquired by those who lead. All it demands is perseverance. Staying focused on the task, clarifying the goals, articulating the vision, and encouraging others to stay the course are characteristics of determined leaders. Being determined takes discipline and the ability to endure, but having this trait will almost certainly enhance a person's leadership.

Sociability

Another important trait for leaders is **sociability**. Sociability refers to a leader's capacity to establish pleasant social relationships. People want sociable