



LEADERSHIP

Research Findings, Practice, and Skills

Andrew J. DuBrin

Eighth Edition

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Leadership

Research Findings, Practice, and Skills

Eighth Edition

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Rochester Institute of Technology



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To Rosie, Clare, Camila, Sofia, Eliana, Julian, Carson, and Owen

BRIEF

CONTENTS

CHAPTER 1	The Nature and Importance of Leadership	1
CHAPTER 2	Traits, Motives, and Characteristics of Leaders	35
CHAPTER 3	Charismatic and Transformational Leadership	72
CHAPTER 4	Leadership Behaviors, Attitudes, and Styles	108
CHAPTER 5	Contingency and Situational Leadership	145
CHAPTER 6	Leadership Ethics and Social Responsibility	178
CHAPTER 7	Power, Politics, and Leadership	209
CHAPTER 8	Influence Tactics of Leaders	247
CHAPTER 9	Developing Teamwork	277
CHAPTER 10	Motivation and Coaching Skills	309
CHAPTER 11	Creativity, Innovation, and Leadership	344
CHAPTER 12	Communication and Conflict Resolution Skills	380
CHAPTER 13	Strategic Leadership and Knowledge Management	418
CHAPTER 14	International and Culturally Diverse Aspects of Leadership	448
CHAPTER 15	Leadership Development and Succession	483
	Glossary	516
	Indexes	521

CONTENTS

PREFACE xix

CHAPTER 1

The Nature and Importance of Leadership 1

The Meaning of Leadership 2

Leadership as Shared Responsibility and Collaboration 4

Leadership as a Relationship 4

Leadership Versus Management 5

The Impact of Leadership on Organizational Performance 7

Research and Opinion: Leadership Does Make a Difference 7

Research and Opinion: Formal Leadership Does Not Make a Difference 8

Leadership Roles 10

Leadership Self-Assessment Quiz 1-1: Readiness for the Leadership Role 11

Leadership Skill-Building Exercise 1-1: My Leadership Role Analysis 15

Leader in Action: Rosalind Brewer, Top Executive at Sam's Club, Makes an Impact 16

The Satisfactions and Frustrations of Being a Leader 17

Satisfactions of Leaders 17

Dissatisfactions and Frustrations of Leaders 18

A Framework for Understanding Leadership 20

Skill Development in Leadership 22

Leadership Skill-Building Exercise 1-2: My Leadership Portfolio 23

Leadership Self-Assessment Quiz 1-2: The Leadership Experience Audit 24

Followership: Being an Effective Group Member 24

Types of Followers 25

Essential Qualities of Effective Followers 26

Collaboration Between Leaders and Followers 27

Summary • Key Terms • Guidelines for Action and Skill Development 27–28

Leadership Case Problem A: Elon Musk, Business Leader and Superhero 29

Leadership Case Problem B: Does Julia Share Too Much Responsibility? 31

Notes 32

CHAPTER 2 Traits, Motives, and Characteristics of Leaders 35

Personality Traits of Effective Leaders 37

General Personality Traits 37

Leadership Self-Assessment Quiz 2-1: How Self-Confident Are You? 39

Leadership Self-Assessment Quiz 2-2: Behaviors and Attitudes of a Trustworthy Leader 43

Leadership Skill-Building Exercise 2-1: Enthusiasm, Optimism, and Warmth on the Job 46

Task-Related Personality Traits 47

Leadership Self-Assessment Quiz 2-3: My Tendencies Toward Being a Proactive Personality 48

Leadership Motives 53

The Power Motive 54

The Drive and Achievement Motive 55

Tenacity and Resilience 55

Cognitive Factors and Leadership 56

Cognitive (or Analytical) Intelligence 56

Knowledge of the Business or Group Task 57

Creativity 57

Insight into People and Situations 58

Farsightedness and Conceptual Thinking 58

Leader in Action: Kevin A. Plank, Founder of Under Armour Inc. 59

Leadership Skill-Building Exercise 2-2: Group Feedback on Leadership Traits 60

The Influence of Heredity and Environment on Leadership 60

The Strengths and Limitations of the Trait Approach 62

Summary • Key Terms • Guidelines for Action and Skill Development 63–64

Leadership Case Problem A: Store Manager, Ensign Jimmy Badger 65

Leadership Case Problem B: Blunt Brittany 67

Leadership Skill-Building Exercise 2-3: My Leadership Portfolio 68

Leadership Skill-Building Exercise 2-4: Analyzing the Traits, Motives, and Characteristics of a Well-Known Leader 68

Notes 68

CHAPTER 3 Charismatic and Transformational Leadership 72

The Meanings of Charisma 73

Charisma: A Relationship Between the Leader, Group Members, and Other Stakeholders 74

The Effects of Charisma 75

Three Types of Charismatic Leaders 76

Characteristics of Charismatic Leaders 77

Leadership Self-Assessment Quiz 3-1: A Checklist of Behaviors and Attitudes Reflecting Charisma	80
The Vision Component of Charismatic Leadership	81
The Communication Style of Charismatic Leaders	83
<i>Leadership by Inspiration</i>	83
Leadership Skill-Building Exercise 3-1: Formulating a Vision	83
<i>Leadership by Storytelling</i>	84
<i>Extensive Use of Social Networking</i>	85
Leadership Skill-Building Exercise 3-2: Charismatic Leadership by Storytelling	85
The Development of Charisma	86
<i>Techniques for Developing Charisma</i>	87
Transformational Leadership	89
Leadership Self-Assessment Quiz 3-2: The Dual-Level Transformational Leadership (TFL) Scale	90
<i>How Transformations Take Place</i>	91
<i>Attributes of Transformational Leaders</i>	94
<i>The Impact of Transformational and Charismatic Leadership on Performance and Behavior</i>	95
Leader in Action: Mary Barra, CEO of GM	97
Concerns about Charismatic Leadership	98
<i>Challenges to the Validity of Charismatic Leadership</i>	98
<i>The Dark Side of Charismatic Leadership</i>	98
Summary • Key Terms • Guidelines for Action and Skill Development	99–101
Leadership Case Problem A: Tim Puts His Charisma Online	102
Leadership Case Problem B: Turnaround Ashley	103
Leadership Skill-Building Exercise 3-3: My Leadership Portfolio	104
Leadership Skill-Building Exercise 3-4: Finding Inspirational Messages on a Social Networking Site	104
Notes	104

CHAPTER 4

Leadership Behaviors, Attitudes, and Styles	108
The Classic Dimensions of Consideration and Initiating Structure	109
Task-Related Attitudes and Behaviors	112
Leadership Skill-Building Exercise 4-1: Feedback Skills	114
Relationship-Oriented Attitudes and Behaviors	115
Leadership Self-Assessment Quiz 4-1: Task-Oriented Attitudes and Behaviors	116
Leadership Skill-Building Exercise 4-2: Clarifying Your Interpersonal Work Values	119

360-Degree Feedback for Fine-Tuning a Leadership Approach	121
Leadership Skill-Building Exercise 4-3: Applying Relationship-Oriented and Task-Oriented Attitudes and Behaviors	122
Leadership Styles	124
<i>Participative Leadership</i>	125
<i>Autocratic Leadership</i>	126
Leader in Action: Craig Federighi, Senior Vice President, Software Engineering at Apple Inc.	127
<i>Leadership Grid™ Styles</i>	127
Leadership Self-Assessment Quiz 4-2: What Style of Leader Are You or Would You Be?	128
<i>Entrepreneurial Leadership</i>	131
Leadership Self-Assessment Quiz 4-3: Entrepreneurial Thinking and Behavior	132
<i>Gender Differences in Leadership Style</i>	134
Leadership Skill-Building Exercise 4-4: Entrepreneurial Leadership	134
<i>Selecting the Best Leadership Style</i>	136
Leadership Skill-Building Exercise 4-5: Contrasting Leadership Styles	137
Summary • Key Terms • Guidelines for Action and Skill Development	137–138
Leadership Case Problem A: Frank Won't Accept "We Can't" for an Answer	139
Leadership Case Problem B: Tricia and Her Facebook Friends and Twitter Followers	140
Leadership Skill-Building Exercise 4-6: My Leadership Portfolio	141
Leadership Skill-Building Exercise 4-7: The Entrepreneurial Leadership Style	142
Notes	142

CHAPTER 5 Contingency and Situational Leadership 145

Situational Influences on Effective Leadership Behavior	146
Fiedler's Contingency Theory of Leadership Effectiveness	148
<i>Measuring Leadership Style: The Least Preferred Coworker (LPC) Scale</i>	148
<i>Measuring the Leadership Situation</i>	149
<i>Overall Findings</i>	149
<i>Making the Situation More Favorable for the Leader</i>	150
<i>Evaluation of Fiedler's Contingency Theory</i>	151
The Path-Goal Theory of Leadership Effectiveness	151
<i>Matching the Leadership Style to the Situation</i>	153
<i>Steps Leaders Can Take to Influence Performance and Satisfaction</i>	154
Situational Leadership® II (SLII)	155

Leadership Self-Assessment Quiz 5-1: Measuring Your Situational Perspective	156
<i>Basics of SLII</i>	157
<i>Evaluation of SLII</i>	158
Leadership Skill-Building Exercise 5-1: Applying Situational Leadership II	159
The Normative Decision Model	159
<i>Decision-Making Styles</i>	160
<i>Contingency Factors and Application of the Model</i>	160
Leader–Member Exchange (LMX) and Contingency Theory	161
Leadership Self-Assessment Quiz 5-2: Quality of Leader–Member Relations	162
Leadership During a Crisis	163
Leadership Self-Assessment Quiz 5-3: Checklist for Crisis Leadership	164
Leader in Action: Sandra E. Peterson, Group Worldwide Chairman of the Johnson & Johnson Consumer Health Unit	169
Evidence-Based Leadership for the Contingency and Situational Approach	169
Summary • Key Terms • Guidelines for Action and Skill Development	170–172
Leadership Case Problem A: Supervisory Styles at the Red Rascal	173
Leadership Case Problem B: Metal Recycling Executive Attempts to Salvage Martha Stewart Living	174
Leadership Skill-Building Exercise 5-2: My Leadership Portfolio	175
Leadership Skill-Building Exercise 5-3: Crisis Leadership	175
Notes	175

CHAPTER 6

Leadership Ethics and Social Responsibility	178
Principles and Practices of Ethical and Moral Leadership	179
Leadership Self-Assessment Quiz 6-1: The Leadership Ethics Quiz	180
<i>Four Ethical Leadership Behaviors</i>	181
<i>Factors Contributing to Ethical Differences</i>	182
Leadership Self-Assessment Quiz 6-2: The Air Force Character Attributes Checklist	185
<i>The Ethical Mind for Leaders</i>	186
Guidelines for Evaluating the Ethics of a Decision	187
Leadership Skill-Building Exercise 6-1: Should “Dinosaur Power” Be Placed on the Market?	188
A Sampling of Unethical Leadership Behaviors	188
Leadership, Social Responsibility, and Creating an Ethical Organizational Culture	190
<i>Providing Strategic Leadership of Ethics and Social Responsibility</i>	191
<i>Creating a Pleasant Workplace</i>	191

Helping Build a Sustainable Environment 192

Leader in Action: Leadership at Coca-Cola and Nestlé Waters Protects Freshwater Supplies 194

Leadership Skill-Building Exercise 6-2: Conducting an Environmental Audit 195

Engaging in Social Entrepreneurship 195

Engaging in Philanthropy 196

Working with Suppliers to Improve Working Conditions 196

Establishing Written Codes of Ethical Conduct 197

Developing Formal Mechanisms for Dealing with Ethical Problems 197

Accepting Whistleblowers 198

Providing Training in Ethics and Social Responsibility 198

Placing Company Interests over Personal Interests 199

Leadership Skill-Building Exercise 6-3: Getting More Bang for the Buck with Layoffs 199

Ethical and Socially Responsible Behavior and Organizational Performance 200

Summary • Key Terms • Guidelines for Action and Skill Development 201–202

Leadership Case Problem A: Are Drivers or Smartphones to Blame? 203

Leadership Case Problem B: Let's Go Green 204

Leadership Skill-Building Exercise 6-4: My Leadership Portfolio 205

Leadership Skill-Building Exercise 6-5: Company Policy for Employee Recycling of Electronic Products 206

Notes 206

CHAPTER 7 Power, Politics, and Leadership 209

Sources and Types of Power 211

Position Power 211

Personal Power 212

Power Stemming from Ownership 212

Manager Assessment Quiz 7-1: Rating a Manager's Power 213

Power Stemming from Dependencies 214

Power Derived from Capitalizing on Opportunity 215

Power Stemming from Managing Critical Problems 215

Power Stemming from Being Close to Power 215

Power and Self-Serving Behavior 216

Tactics for Becoming an Empowering Leader 216

The Nature of Empowerment 217

Empowering Practices 218

Leadership Self-Assessment Quiz 7-1: Empowering Attitudes and Beliefs 219

Effective Delegation and Empowerment 222

Leadership Skill-Building Exercise 7-1: Conducting an Empowerment Session	223
Factors that Contribute to Organizational Politics	223
<i>Pyramid-Shaped Organization Structure</i>	224
<i>Subjective Standards of Performance</i>	224
<i>Environmental Uncertainty and Turbulence</i>	224
<i>Emotional Insecurity</i>	225
<i>Machiavellian Tendencies</i>	225
<i>Encouraging Admiration from Subordinates</i>	225
Political Tactics and Strategies	225
<i>Ethical Political Tactics and Strategies</i>	226
Leadership Self-Assessment Quiz 7-2: The Positive Organizational Politics Questionnaire	227
Leadership Skill-Building Exercise 7-2: Paying Back Favors from Network Members	229
Leadership Skill-Building Exercise 7-3: Asking Advice Role Play	232
Leader in Action: Carol B. Tomé, the Home Depot CFO	235
Leadership Self-Assessment Quiz 7-3: The Blunder Quiz	236
<i>Unethical Political Tactics and Strategies</i>	236
Exercising Control over Dysfunctional Politics	238
Leadership Skill-Building Exercise 7-4: Controlling Office Politics	240
Summary • Key Terms • Guidelines for Action and Skill Development	240–241
Leadership Case Problem A: Ray, the Empowered Athletic Club Director	242
Leadership Case Problem B: Brenda the Tweeting Leader	243
Leadership Skill-Building Exercise 7-5: My Leadership Portfolio	244
Notes	244

CHAPTER 8

Influence Tactics of Leaders	247
A Model of Power and Influence	249
Description and Explanation of Influence Tactics	250
Leadership Self-Assessment Quiz 8-1: Survey of Influence Tactics	251
<i>Essentially Ethical and Honest Tactics</i>	252
Leader in Action: Doug Scott, Truck Group Marketing Manager at Ford Motor Company	258
<i>Essentially Neutral Influence Tactics</i>	258
Leadership Self-Assessment Quiz 8-2: Measure of Ingratiating Behavior in Organizational Settings (MIBOS)	260
<i>Essentially Dishonest and Unethical Tactics</i>	262
Leadership Skill-Building Exercise 8-1: Influence Tactics	264

Leadership Skill-Building Exercise 8-2: Identifying Influence Tactics 264
Leadership Influence for Organizational Change 265
Relative Effectiveness and Sequencing of Influence Tactics 266
 Relative Effectiveness of Influence Tactics 266
 Sequencing of Influence Tactics 268
Leadership Skill-Building Exercise 8-3: Applying Influence Tactics 268
Implicit Leadership Theories and Leadership Influence 269
Summary • Key Terms • Guidelines for Action and Skill Development 270–271
Leadership Case Problem A: Steve Tackles Mall World 272
Leadership Case Problem B: Maya the Manipulator 273
Leadership Skill-Building Exercise 8-4: My Leadership Portfolio 274
Leadership Skill-Building Exercise 8-5: A Leadership Essay 274
Notes 275

CHAPTER 9

Developing Teamwork 277
The Leader's Role in the Team-Based Organization 279
Leader Actions That Foster Teamwork 280
 Actions Leaders Can Take Using Their Own Resources 281
Leadership Skill-Building Exercise 9-1: Shelters for the Homeless 284
Leadership Self-Assessment Quiz 9-1: Team Player Attitudes 286
 Actions Generally Requiring Organization Structure or Policy 291
Leader in Action: Jerry Murrell, the CEO and Founder of Five Guys Rewards Teamwork 292
Offsite Training and Team Development 295
 Features of Outdoor and Offsite Training Programs 295
Leadership Skill-Building Exercise 9-2: The Team Leader Candidates 296
Leadership Skill-Building Exercise 9-3: Trust Me 296
 Evaluation of Outdoor Training for Team Development 297
The Leader–Member Exchange Model and Teamwork 298
 Different-Quality Relationships 298
 First Impressions 301
Summary • Key Terms • Guidelines for Action and Skill Development 302
Leadership Case Problem A: The Global Insurance Tag Team 303
Leadership Case Problem B: Ashley Wants to Boost Teamwork 304
Leadership Skill-Building Exercise 9-4: My Leadership Portfolio 305
Leadership Skill-Building Exercise 9-5: The Trust Fall 306
Notes 306

CHAPTER 10	Motivation and Coaching Skills	309
	Leadership Self-Assessment Quiz 10-1: How Meaningful Is My Work?	311
	Leadership and Employee Engagement	312
	<i>The Impact of Worker Engagement on Productivity</i>	312
	Leadership Skill-Building Exercise 10-1: Collecting Live Data on Worker Engagement	313
	<i>Meaningful Work for Employee Engagement</i>	313
	Expectancy Theory and Motivational Skills	314
	<i>Basic Components of Expectancy Theory</i>	315
	<i>Leadership Skills and Behaviors Associated with Expectancy Theory</i>	317
	Leadership Skill-Building Exercise 10-2: Estimating Valences for Applying Expectancy Theory	318
	Goal Theory	319
	<i>Basic Findings of Goal Theory</i>	320
	<i>The Importance of How Goals Are Attained and Other Concerns</i>	322
	Leadership Skill-Building Exercise 10-3: The Application of Goal Theory	323
	Using Recognition and Pride to Motivate Others	323
	Leadership Self-Assessment Quiz 10-2: How Much Do I Crave Recognition?	324
	<i>Appealing to the Recognition Need of Others</i>	325
	<i>Appealing to Pride</i>	326
	Coaching as an Approach to Motivation	327
	<i>Key Characteristics of Coaching</i>	327
	<i>Fallacies About Coaching</i>	328
	Leader in Action: Tammy the Kindly Coach	329
	Coaching Skills and Techniques	329
	Leadership Self-Assessment Quiz 10-3: Characteristics of an Effective Coach	333
	Executive Coaching and Leadership Effectiveness	333
	Leadership Skill-Building Exercise 10-4: Coaching for Improved Performance	334
	<i>Specific Forms of Assistance Provided by Executive Coaches</i>	334
	<i>Contributions of and Concerns About Executive Coaching</i>	335
	Summary • Key Terms • Guidelines for Action and Skill Development	336–338
	Leadership Case Problem A: We Need More Engagement Around Here	338
	Leadership Case Problem B: Tyler Faces a Feedback Challenge	340
	Leadership Skill-Building Exercise 10-5: My Leadership Portfolio	341
	Leadership Skill-Building Exercise 10-6: Position Paper on Motivation	341
	Notes	341

CHAPTER 11	Creativity, Innovation, and Leadership	344
	Steps in the Creative Process	346
	Characteristics of Creative Leaders	347
	<i>Knowledge</i>	348
	Leadership Self-Assessment Quiz 11-1: The Creative Personality Test	349
	<i>Cognitive Abilities</i>	350
	<i>Personality</i>	351
	<i>Passion for the Task and the Experience of Flow</i>	351
	Overcoming Traditional Thinking as a Creativity Strategy	352
	Organizational Methods to Enhance Creativity	353
	Leader in Action: Modern Business Examples of Thinking Outside the Box	354
	<i>Systematically Collecting Fresh Ideas</i>	354
	<i>Brainstorming</i>	356
	<i>Using the Pet-Peeve Technique</i>	356
	Leadership Skill-Building Exercise 11-1	357
	<i>The Morality of Enhancing Creativity</i>	358
	Self-Help Techniques to Enhance Creative Problem Solving	359
	<i>Practicing Creativity-Enhancing Activities</i>	359
	<i>Staying Alert to Opportunities</i>	360
	Leadership Skill-Building Exercise 11-2: The Multiple Uses Technique	360
	<i>Maintaining an Enthusiastic Attitude, Including Being Happy</i>	361
	<i>Maintaining and Using a Systematic Place for Recording Your Ideas</i>	361
	<i>Playing the Roles of Explorer, Artist, Judge, and Lawyer</i>	361
	<i>Engaging in Appropriate Physical Exercise</i>	362
	Establishing a Climate and Culture for Creative Thinking	363
	<i>Leadership Practices for Enhancing Creativity</i>	363
	Leadership Diagnostic Activity 11-1: Assessing the Climate for Creativity and Innovation	364
	<i>Methods of Managing Creative Workers</i>	367
	Leader in Action: Jack Dorsey, the Creative Leader and Cofounder of Twitter and Square	369
	Additional Leadership Practices That Enhance Innovation	370
	Summary • Key Terms • Guidelines for Action and Skill Development	372–373
	Leadership Case Problem A: The Rapid Cash Store Needs Ideas	374
	Leadership Case Problem B: “How Can We Encourage a Few Disrupters?”	375
	Leadership Skill-Building Exercise 11-3: My Leadership Portfolio	376
	Leadership Skill-Building Exercise 11-4: The Multimedia Presentation	377
	Notes	377

CHAPTER 12	Communication and Conflict Resolution Skills	380
	Communication Networks for Leaders	381
	Leadership Self-Assessment Quiz 12-1: A Self-Portrait of My Communication Effectiveness	382
	<i>Face-to-Face Communication Networks</i>	383
	<i>Social Media Networks</i>	384
	Inspirational and Powerful Communication	385
	<i>Speaking and Writing</i>	385
	<i>The Six Basic Principles of Persuasion</i>	391
	<i>Nonverbal Communication Including Videoconferencing and Telepresence</i>	392
	Leadership Skill-Building Exercise 12-1: Feedback on Verbal and Nonverbal Behavior	395
	Listening as a Leadership Skill	395
	<i>Show Respect</i>	396
	<i>Selective Listening to Problems</i>	396
	<i>Making the Rounds</i>	396
	Leadership Skill-Building Exercise 12-2: Leadership Listening	397
	Overcoming Cross-Cultural Communication Barriers	397
	Leadership Self-Assessment Quiz 12-2: Cross-Cultural Skills and Attitudes	397
	The Leader's Role in Resolving Conflict and Negotiating	402
	<i>Conflict Management Styles</i>	402
	Leader in Action: IBM CEO, Ginni Rometty, Expresses Anger at Total Workforce	403
	Leadership Self-Assessment Quiz 12-3: My Conflict Resolution Style	404
	<i>Resolving Conflict Between Two Group Members</i>	407
	<i>Negotiating and Bargaining</i>	408
	Leadership Skill-Building Exercise 12-3: Win–Win Bargaining	410
	Summary • Key Terms • Guidelines for Action and Skill Development	411–412
	Leadership Case Problem A: Margot, the Cross-Cultural Communicator	413
	Leadership Case Problem B: Sean Contemplates a Delicate Confrontation	414
	Leadership Skill-Building Exercise 12-4: My Leadership Portfolio	415
	Leadership Skill-Building Exercise 12-5: Evaluating the Communication Skills of an Organizational Leader	415
	Notes	416

CHAPTER 13 Strategic Leadership and Knowledge Management 418

The Nature of Strategic Leadership 419

High-Level Cognitive Activity of the Leader 420

Leadership Self-Assessment Quiz 13-1: Are You a Strategic Thinker? 421

Maintaining a Human and Emotional Aspect 422

Gathering Multiple Inputs to Formulate Strategy 423

Anticipating and Creating a Future 424

Revolutionary and Contrarian Thinking 424

Creating a Vision 425

Leadership Effectiveness and Strategy Implementation 426

Leader in Action: Ford CEO Alan Mulally Focuses on the Company and the Outside World 427

Leadership Skill-Building Exercise 13-1: Mapping Out a Future for an Organization 428

Conducting a SWOT Analysis 428

Internal Strengths 428

Internal Weaknesses 429

External Opportunities 429

External Threats 429

Leadership Skill-Building Exercise 13-2: Conducting a SWOT Analysis 430

A Sampling of Business Strategies Formulated by Leaders 430

Knowledge Management and the Learning Organization 434

Knowledge Management 435

Servant Leadership and the Creation of Knowledge 436

Leadership Self-Assessment Quiz 13-2: My Attitudes Toward Sharing Knowledge 437

The Learning Organization 437

Leadership Skill-Building Exercise 13-3: The Knowledge-Sharing Investigation Teams 438

Summary • Key Terms • Guidelines for Action and Skill

Development 441–442

Leadership Case Problem A: The Saratoga Supply Company Needs a Strategy 443

Leadership Case Problem B: “Superintendent Briggs Is Busy Creating Visions Today” 444

Leadership Skill-Building Exercise 13-4: My Leadership Portfolio 445

Leadership Skill-Building Exercise 13-5: Developing a Business Strategy for a Small Appliance Repair Chain 445

Notes 445

CHAPTER 14	International and Culturally Diverse Aspects of Leadership	448
	The Advantages of Managing for Diversity	450
	Leadership Skill-Building Exercise 14-1: Pinpointing a Diversity Advantage	452
	Cultural Factors Influencing Leadership Practice	453
	<i>Key Dimensions of Differences in Cultural Values</i>	453
	<i>Cultural Values and Leadership Style</i>	455
	Leadership Self-Assessment Quiz 14-1: Charting Your Cultural Value Profile	456
	Cultural Sensitivity and Cultural Intelligence	458
	<i>Cultural Sensitivity</i>	458
	Leadership Self-Assessment Quiz 14-2: My Tolerance for Cultural Differences	460
	<i>The English-Only Policy and Cultural Sensitivity</i>	462
	<i>Cultural Intelligence</i>	463
	Global Leadership Skills	464
	<i>General Model of Global Leadership Skills</i>	464
	<i>Success Factors in International Management Positions</i>	465
	<i>Motivating and Inspiring Workers in Other Cultures</i>	466
	<i>Avoiding Product Names That Could Be Embarrassing in Another Culture</i>	467
	Leader in Action: Adriana Cisneros, CEO of the International Conglomerate, the Cisneros Group	467
	Leadership Initiatives for Achieving Cultural Diversity	468
	<i>Hold Managers Accountable for Achieving Diversity</i>	469
	<i>Establish Minority Recruitment, Retention, and Mentoring Programs</i>	469
	<i>Conduct Diversity Training</i>	469
	Leadership Skill-Building Exercise 14-2: The Diversity Circle	470
	<i>Conduct Cross-Cultural Training</i>	471
	<i>Encourage the Development of Employee Networks</i>	472
	<i>Avoid Group Characteristics When Hiring for Person–Organization Fit</i>	473
	<i>Modify Products and Services for Targeted Demographic Groups</i>	473
	<i>Attain Diversity Among Organizational Leaders</i>	474
	Summary • Key Terms • Guidelines for Action and Skill Development	475–476
	Leadership Case Problem A: What to Do About Louie?	477
	Leadership Case Problem B: An Affinity Group for Workers 60 and Over?	478
	Leadership Skill-Building Exercise 14-3: My Leadership Portfolio	479
	Leadership Skill-Building Exercise 14-4: Positive Cross-Cultural Experiences in the Workplace	480
	Notes	480

CHAPTER 15

Leadership Development and Succession 483

Development Through Self-Awareness and Self-Discipline 485

Leadership Development Through Self-Awareness 485

Leadership Development Through Self-Discipline 487

Leadership Self-Assessment Quiz 15-1: The Interpersonal Skills Checklist 488

Development Through Education, Experience, and Mentoring 489

Education 489

Experience 490

Mentoring 493

Leadership Self-Assessment Quiz 15-2: My Attitudes Toward Mentoring 494

Leadership Development Programs 496

Types of Leadership Development Programs 498

Leadership Succession 501

Leader in Action: Leadership at Hilton Worldwide Commits Heavily to

Leadership Development 502

How the Board Chooses a Successor 503

Succession Planning at General Electric and Procter & Gamble 503

The Emotional Aspects of Leadership Succession 504

Developing a Pool of Successors 505

Promotion from Within 506

Challenges of Being a New Leader 506

Leadership Skill-Building Exercise 15-1: Building for the Future 508

Summary • Key Terms • Guidelines for Action and Skill

Development 508–510

Leadership Case Problem A: Malcolm Eyes the Executive Suite 511

Leadership Case Problem B: Kaitlin the New Mentor 512

Leadership Skill-Building Exercise 15-2: My Leadership Portfolio 513

Leadership Skill-Building Exercise 15-3: Analyzing a Local Leader 513

Notes 513

Glossary 516

Name Index 521

Company Index 524

Subject Index 526



PREFACE

Welcome to the eighth edition of *Leadership: Research Findings, Practice, and Skills*. The new edition of this text is a thorough update of the seventh edition, which has been used widely in both graduate and undergraduate courses in leadership.

Many scholars and managers alike are convinced that effective leadership is required to meet most organizational challenges. Today, organizations recognize that leadership transcends senior executives. As a result, organizations require people with appropriate leadership skills to inspire and influence others in small teams, task forces, and units at all organizational levels.

Without effective leadership at all levels in organizations, it is difficult to sustain profitability, productivity, and good customer service. In dozens of different ways, researchers and teachers have demonstrated that leadership does make a difference. Many curricula in business schools and other fields, therefore, now emphasize the development of leadership skills. With the recent exposures of the dark side of business leadership, such as CEOs finding ways to create fortunes for themselves at the expense of employees and stockholders, more attention than ever is being paid to the values and personal characteristics of leaders. Toward that end, this text continues to emphasize the qualities of effective leaders, including an entire chapter on leadership ethics and social responsibilities.

Purpose of the Text

The purpose of this text is implied by its title—*Leadership: Research Findings, Practice, and Skills*, eighth edition. It is designed for undergraduate and graduate courses in leadership that give attention to research findings about leadership, leadership practice, and skill development. The text best fits courses in leadership that emphasize application and skill building. *Leadership* is also designed to fit courses in management development that emphasize the leadership aspect of management. In addition, it can serve as a supplement to organizational behavior or introductory management courses that emphasize leadership.

The student who masters this text will acquire an overview of the voluminous leadership literature that is based both on research and experience. Information in this text is not restricted to research studies and syntheses of research and theories; it also includes the opinions of practitioners, consultants, and authors who base their conclusions on observations rather than empirical research.

What the text is *not* also helps define its nature and scope. This book does not attempt to duplicate the scope and purpose of a leadership handbook by integrating theory and research from several thousand studies. At the other extreme, it is not an evangelical approach to leadership espousing one leadership technique. I have attempted to find a midpoint between a massive synthesis of the literature and a trade book promoting a current leadership fad. *Leadership: Research Findings, Practice, and Skills*, eighth edition, is designed to be a mixture of scholarly integrity, examples of effective leadership in action, and skill development.

Leadership is not intended to duplicate or substitute for an organizational behavior text. Because almost all organizational behavior texts are survey texts, they will mention many of the topics covered here. My approach, however, is to emphasize skill development and prescription rather than to duplicate basic descriptions of concepts and theories. I have tried to minimize overlap by emphasizing the leadership aspects of any concept presented here that might also be found in an organizational behavior or management text. Often when overlap of a topic exists, the presentation here focuses more on skill development than on a review of theory and research. For example, the section on motivation emphasizes how to apply basic explanations of motivation such as expectancy theory and worker engagement, but I do not present an overview of motivation theories as is found in an organizational behavior text.

One area of intentional overlap with organizational behavior and management texts does exist: a review of most basic leadership theories. In such instances, however, I emphasize skill development and ideas for leadership practice stemming from these older theories.

Features of the Book

To accomplish its purpose, this textbook incorporates many features into each chapter in addition to summarizing and synthesizing relevant information about leadership:

- **Chapter Outlines** giving the reader a quick overview of the topics covered
- **Learning Objectives** to help focus the reader's attention on major outcomes
- Boldfaced key **terms**, listed at the end of the chapter and defined in a **Glossary** at the back of the textbook
- Real-life and hypothetical **examples** throughout the textbook
- **Leader in Action** inserts describing the leadership practices, behaviors, and personal attributes of real-life leaders
- **Leadership Self-Assessment Quizzes** relating to both skills and personal characteristics
- **Leadership Skill-Building Exercises**, including role plays, to emphasize the activities and skills of effective leaders
- End-of-chapter **Summaries** that integrate all key topics and concepts
- End-of-chapter **Guidelines for Action and Skill Development**, giving additional suggestions for improving leadership skill and practice
- **Discussion Questions and Activities** suited for individual or group analysis
- Two **Leadership Case Problems** per chapter, which illustrate the major theme of the chapter and contain questions for individual or group analysis
- **Role plays** accompanying all the case problems to help reinforce the opportunity for learning interpersonal skills within the case problems

- A **Leadership Portfolio** skill-building exercise in each chapter that instructs the student to record progress in developing leadership skills and behaviors

Framework of the Text

The text is a blend of description, skill development, insight development, and prescription. Chapter 1 describes the meaning, importance, and nature of leadership, including leadership roles and the importance of followership. Chapter 2 identifies personal attributes associated with effective leaders, a subject that has experienced renewed importance in recent years. Charismatic and transformational leadership, an extension of understanding the personal attributes of leadership, is the subject of Chapter 3.

Chapter 4 surveys behaviors and practices associated with effective leadership in a variety of situations, and describes leadership styles. Chapter 5 extends the study of styles by describing the contingency and situational aspects of leadership. Chapter 6 focuses on leadership ethics and social responsibility. Chapter 7 describes how leaders use power and politics. Chapter 8 extends this topic by analyzing the tactics leaders use to influence people. Chapter 9 describes how leaders foster teamwork and empower team members.

The next five chapters deal with specific leadership skills: motivating and coaching skills (Chapter 10), which constitute the basis of many leadership positions; creativity and innovation (Chapter 11); communication (including nonverbal, social media, and cross-cultural communication) and conflict resolution skills (Chapter 12); vision and strategy creation and knowledge management (Chapter 13); and effective leadership in international and culturally diverse settings (Chapter 14).

Chapter 15 concludes the book with an overview of approaches to leadership development and learning. In addition, there is a discussion of leadership succession and the challenges facing a new leader.

Changes in the Eighth Edition

The eighth edition of *Leadership: Research Findings, Practice, and Skills* is a thorough update of the seventh edition, although the structure and key subject areas of the previous edition are retained. Some of the changes in this edition reflect the recent leadership information I felt should be included in the new edition. To make way for the new material, I have selectively pruned older examples and research findings, and deleted some concepts that seem to be only slight variations of another concept in the text. The following list highlights the changes in the eighth edition, in addition to updating research and opinion.

Changes Throughout the Text

- A role-playing or other experiential activity linked to all end-of-chapter cases
- Twelve new chapter introductions plus updating of introductions in Chapters 1 and 15
- Fourteen Leader in Action boxes are new
- Fifteen new cases
- To help readers better identify with the introductory cases and Leader in Action inserts, we present more examples of business firms that students

have either patronized or have been patronized by people in their network. Three examples are Campbell Soup, Amazon.com, and Chipotle.

- New research findings presented in each chapter
- New examples throughout
- At four places we describe how modern research supports a given leadership principle of Dale Carnegie
- Four Guidelines for Action and Skill Development are supplemented with additional information
- Seven new Skill-Building Exercises, plus three of them with new components
- Two new figures (Chapters 1 and 14)
- Five new Leadership Self-Assessment Quizzes
- For all but three introductory cases or Leader in Action inserts, the formal education of the featured leader is included to reinforce the importance of formal education to leadership development. (The three exceptions are stories about programs rather than individual leaders.)

Content Changes Within Chapters

Chapter 1 explains emergent leadership, provides information about relationship building electronically, and emphasizes the interactive nature of leadership, and active followers who contribute to the group mission. Information is presented about leader job fatigue and burnout. A new basic framework or model of leadership is presented that has features in common with the model presented in previous editions. Chapter 2 presents new information about leadership integrity, trust, and authenticity including experimental evidence related to these traits. Information is presented about leader positive state and job performance. Proactive personality is included as a task-related leadership trait, and information is presented about physical energy and leadership performance.

Chapter 3 adds new company vision statements and involvement of employees in vision implementation. Research evidence is provided that some aspects of charisma can be taught, and that transformational leadership facilitates proactive behavior among group members. Chapter 4 describes how the fit between initiating structure and consideration needed versus given relates to job performance. More information is presented about entrepreneurial leaders and the impact of servant leadership on organizational performance. New research is cited about gender differences in leadership.

Chapter 5 gives new guidelines for application of the normative decision model, additional information about the contingency aspects of LMX theory, and an expanded discussion of leadership during a crisis. Chapter 6 now includes information about leader moral identity and ethical behavior, and five dimensions of ethical leadership behavior. A method for evaluating sustainability initiatives is cited, and a section appears about social entrepreneurship. Chapter 7 describes how power can be directed toward self-serving behavior. Information is presented about the leader taking into account group member expectations about empowerment, and research on the positive impact of empowerment.

Information is provided about the importance of perception of political behavior on the impact of the leader's use of organizational politics. Research evidence is given about how political skills facilitate leaders being able to carry out both transformational and transactional leadership.

Chapter 8 describes how social norms can be used to gently manipulate people, and the impact of leading by example on the organizational citizenship behavior of subordinates. Chapter 9 presents research about how mutual helping by team members improves team effectiveness. Mention is made of power sharing for team development, how interaction with team members enhances team work, and stand-up comedy as a form of off-site training. Research is cited about LMX can facilitate leader emergence and team performance.

Chapter 10 includes a section of the impact of worker engagement on productivity, and how meaningful work contributes to employee engagement. A meta-analysis of the impact of goals on group performance is cited. Research is mentioned that supports the Dale Carnegie leadership principle of giving recognition to employees. Chapter 11 provides several new business examples of thinking outside the box and emphasizes how spotting opportunities is part of business creativity. Neuroscience research is mentioned indicating that both the right brain and left brain are needed for creativity. New information is presented about working within constraints to enhance creativity. The use of whiteboards to collect creative ideas receives mention, as does asking “What-if?” questions to enhance creativity.

Chapter 12 adds several new subjects: how “conversations” fit into leader networking, the impact of telepresence on the importance of effective nonverbal communication, and showing respect as part of effective listening. Also new is the leader’s personality as a variable affecting how much conflict he or she has to resolve, and research support for Dale Carnegie leadership principle of face-saving in negotiation.

Chapter 13 adds a section on maintaining a human and emotional aspect of strategy, and expands discussion of the leader’s role in strategy implementation. New subjects presented are crowdsourcing for gathering strategy inputs, disruptive technology stemming from revolutionary thinking, and how servant leadership facilitates knowledge creation. Chapter 14 now contains information about how cultural diversity can enhance team performance, an English-only policy and cultural sensitivity, and avoiding names that could be embarrassing in another culture. Chapter 15 now includes using a composite mentor for leadership development, the use of tweets for mentoring, more information about simulations in leadership development, and the evaluation of leadership development programs. More information is provided about promotion from within for leadership succession.

Supplements to Accompany This Text

Instructor’s Companion Site Access important teaching resources on this companion website. For your convenience, you can download electronic versions of the instructor supplements from the password-protected section of the site, including the Instructor’s Manual, Cognero Testing files, Word Test Bank files, PowerPoint® slides, and a Video Guide.

Instructor’s Manual Designed to increase the teaching and learning value of *Leadership: Research Findings, Practice, and Skills, Eighth Edition*, this manual features an outline and lecture notes for each chapter, suggestions for using the

experiential exercises found in each chapter, and possible answers to the end-of-chapter discussion and case questions.

Cengage Learning Testing Powered by Cognero This is a flexible, online system that allows you to author, edit, and manage test bank content from multiple Cengage Learning solutions; create multiple test versions in an instant; and deliver tests from your LMS, your classroom, or wherever you want. Cengage Learning Testing Powered by Cognero works on any operating system or browser, no special installs or downloads needed. You can create tests from school, home, the coffee shop—anywhere with Internet access.

Word Test Bank files These files have been converted from the Cognero testing system. All questions have been scrutinized for accuracy, the test bank for each chapter includes true/false, multiple-choice, and essay questions, all correlated to national business Standards learning objectives, and are identified with the level of difficulty and page references.

PowerPoint® Lecture Presentations An asset to any instructor, the lectures provide outlines for every chapter, illustrations from the text, and emphasize key concepts providing instructors with a number of learning opportunities for students.

DVD Guide Designed to facilitate use of the accompanying DVD, this guide provides summaries of each segment as well as suggested questions to launch classroom discussions.

DVD Videos compiled specifically to accompany *Leadership: Research Findings, Practice, and Skills*, Eighth Edition, allow students to engage with the textual materials by applying theories and concepts of real-world situations.

Mindtap The *Leadership: Research Findings, Practice, and Skills*, eighth edition, now includes a robust set of online resources within the Mindtap platform designed to facilitate student progress through the stages of learning, allowing them to **ENGAGE** with the course content, **CONNECT** to the concepts through knowledge and comprehension activities, **PERFORM** as leaders through the application of those concepts, and **LEAD** through participation in real-world experiential exercises.

MindTap from Cengage Learning represents a new approach to a highly personalized, online learning platform. A fully online learning solution, MindTap, combines all of a student's learning tools—readings, multimedia, activities and assessments into a singular Learning Path that guides the student through the curriculum. Instructors personalize the experience by customizing the presentation of these learning tools to their students; even seamlessly introducing their own content into the Learning Path via “apps” that integrate into the MindTap platform. Additionally, MindTap provides interoperability with major Learning Management Systems (LMS) via support for open industry standards and fosters partnerships with third-party educational application providers to provide a highly collaborative, engaging, and personalized learning experience. Learn more at www.cengage.com/mindtap.

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A.J.D.

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The Nature and Importance of Leadership

LEARNING OBJECTIVES

After studying this chapter and doing the exercises, you should be able to

- Explain the meaning of leadership, and how it differs from management.
- Describe how leadership influences organizational performance.
- Pinpoint several important leadership roles.
- Identify the major satisfactions and frustrations associated with the leadership role.
- Describe a framework for understanding leadership.
- Recognize how leadership skills are developed.
- Pinpoint several traits, behaviors, and attitudes of a successful follower.

CHAPTER OUTLINE

The Meaning of Leadership

Leadership as Shared Responsibility and Collaboration
Leadership as a Relationship
Leadership Versus Management

The Impact of Leadership on Organizational Performance

Research and Opinion: Leadership Does Make a Difference
Research and Opinion: Formal Leadership Does Not Make a Difference

Leadership Roles

The Satisfactions and Frustrations of Being a Leader

Satisfactions of Leaders
Dissatisfactions and Frustrations of Leaders

A Framework for Understanding Leadership

Skill Development in Leadership

Followership: Being an Effective Group Member

Types of Followers
Essential Qualities of Effective Followers
Collaboration Between Leaders and Followers

Summary

Key Terms

Guidelines for Action and Skill Development

Leadership Case Problem A

Leadership Case Problem B

Notes

Andre Sougarret is a serious-minded, highly focused engineer who is also the manager of the government-owned El Teniente copper mine in Chile. One day news

broke that thirty-three men were trapped deep within a gold mine in his country. Three days after the event, Sougarret was summoned by Chile's president, Sebastian Pinera. The

president's orders were clear—the forty-six-year-old engineering leader would be in charge of the rescue operation.

Whether the miners were dead or alive, it would be the responsibility of Sougarret and his chosen team to complete the rescue operation as rapidly as possible. Sougarret faced enormous pressure because he had to decide where and how to drill through multiple layers of volcanic rock to reach the exact spot where the miners were located.

At the mine, the methodical Sougarret encountered a mass of confusion and anxiety. Loads of people, including rescue workers, police workers, and firefighters, were milling around, along with relatives desperately seeking word about the status of the trapped miners. Sougarret and his team cut through the confusion by asking the right questions to understand the critical elements in this complex situation.

Sougarret's next move—in order to get the rescue mission started and decrease some of the confusion—was to ask the rescue workers to leave until they might be needed later. He also requested any available maps of the mine.

Sougarret's team began by involving a risk manager, and the team grew to 300 people in the next several

weeks. At the moment, Sougarret was placed in charge of the rescue operation; seven companies were already assigned to the task. Sougarret kept on those he thought could make the biggest contribution.

A key part of the rescue operation was building three shafts. At the end it was Plan B, a 28-inch wide shaft that reached the miners first, beating the estimate of how long the rescue operation would take by a couple of months. A remaining step was to encase the top of the funnel in steel pipes and test the workability of the escape capsule. At this point, Sougarret was no longer apprehensive. “The last stage for me was like butter,” he said.

As soon as the last miner had been pulled to the surface, the rescue team held up a sign with the words, *Misión Cumplida, Chile* (Mission Accomplished, Chile), a scenario watched by more than one billion television viewers.

In reflecting on the Chilean miracle, a business reporter said, “... the saving of those men gave us something we don't see enough, a brilliant example of human excellence—of cohesion, of united and committed action, of planning, of execution, of caring. They used the human brain and spirit to save life.”¹

The description of Andre Sougarret touches on many leadership topics to be covered in this book, including the ideas that providing direction is part of a leader's job, that technical expertise is an important leadership role, and that a superior leader can help workers get through a crisis.

Our introductory chapter begins with an explanation of what leadership is and is not. We then examine how leaders make a difference, the various roles they play, and the major satisfactions and frustrations they experience. The chapter also includes an explanation of how reading this book and doing the various quizzes and exercises will enhance your own leadership skills. It concludes with a discussion of followership—giving leaders good material to work with.

The Meaning of Leadership

You will read about many effective organizational leaders throughout this text. The common characteristic of these leaders is their ability to inspire and stimulate others to achieve worthwhile goals. Therefore, we can define **leadership** as the ability to inspire confidence and support among the people who are needed to achieve organizational goals.²

A Google search of articles and books about leadership in organizations indicates 123 million entries. In all those entries, leadership has probably been defined in many ways. Here are several other representative definitions of leadership:

- A process in which an individual influences a group of individuals to achieve a common goal.
- The influential increment over and above mechanical compliance with directions and orders.
- An act that causes others to act or respond in a shared direction.
- The art of influencing people by persuasion or example to follow a line of action.
- An effort to maintain control and power over others.
- The principal dynamic force that motivates and coordinates the organization in the accomplishment of its objectives.³
- The exercise of social influence between and among many sources of leadership (including the leader, follower, and setting), working toward a common goal by using various mechanisms including the leader's traits, behavior, and emotion.⁴
- First figuring out what's right, and then explaining it to people, as opposed to first having people explain to you what's right, and then just saying what they want to hear (as defined by former New York mayor and presidential candidate Rudy Giuliani).⁵

Importantly, leadership is not only found among people in high-level positions. Quite the contrary: Leadership is needed at all levels in an organization and can be practiced to some extent even by a person not assigned to a formal leadership position. For example, working as a junior accountant, a person might take the initiative to suggest to management that they need to be more careful about what they classify as a true sale. It has been suggested that for improved business results to come about, it will be because managers below the C-suite (such as CEO, COO, and CFO) take the initiative and risks to drive the company in a different direction. Change needs to come about from leaders at lower levels, rather than relying exclusively on leadership from the top.⁶

Another way of understanding that leadership can be exercised by many people in the organization is the presence of people who provide leadership to others who do not have a job title suggesting that they are managers or leaders. You can also rise to leadership when people come to respect your opinion and personal characteristics and are thus influenced by you. **Emergent leaders** are group members who significantly influence other group members even though they have not been assigned formal authority.⁷ You, therefore, can exert some leadership by being an influential coworker. A team member who is influential based on personal attributes and behaviors will often be regarded as a leader by peers.

The ability to lead others effectively is a rare quality. It becomes even rarer at the highest levels in an organization because the complexity of

such positions requires a vast range of leadership skills. This is one reason that firms in search of new leadership seek out a select group of brand-name executives with proven track records. It is also why companies now emphasize leadership training and development to create a new supply of leaders throughout the firm.

Leadership as Shared Responsibility and Collaboration

Many leadership theorists and managers agree that the leadership role within a team is seldom the responsibility of one person. Rather, several individuals within the team may serve as leaders, both by formal assignment and informally. Leadership may shift, depending on whose expertise is the most relevant at the moment,⁸ such as one member of a marketing team having advanced expertise in using social media for product promotion.

The essence of shared and collaborative leadership is reflected in the comments of Nick Petrie who conducted a study on leadership development. He said, “There is a transition occurring from the old paradigm in which leadership resided in a person or role, to a new one in which leadership is a collective process that is spread throughout networks of people.”⁹

A key force driving collaborative leadership is the hyperconnected organizational world fostered by e-mail and social media, along with globalization. The collaborative leadership style is well suited to harness the power of this multitude of connections.¹⁰ For example, a head of marketing can readily gather and welcome the input of thousands of people on broadening the market for a product. In this way, the head of marketing collaborates with people from afar instead of developing the strategy alone.

More will be presented and shared about collaborative leadership throughout the book, especially in the discussion in Chapter 4 about leadership styles, and Chapter 9 about developing teamwork.

Leadership as a Relationship

A modern study of leadership emphasizes that it consists of a relationship between the leader and the people being led. A theoretical analysis by Gail T. Fairhurst and Mary Uhl-Bien explains that leadership is not a trait or behavior of an individual, but a phenomenon generated in the interactions among people acting in a given setting. The social actions between and among people enable them to work together in meaningful ways to produce leadership outcomes. For example, a leader at a vehicle dealership might be pursuing the outcome of generating more revenue per vehicle purchase. By building good relationships with dealer associates, he or she gains their cooperation in generating useful ideas for generating more revenue, such

as pushing harder to get customers to purchase a navigation and security system that generates monthly revenue.

The *given setting* mentioned previously refers to the context of the relationship. In a high-power and authority context, such as an entry-level employee working with the CEO, the communication is likely to be both tasks based and relationship oriented as well. The entry-level worker, having much less power and authority, is likely to emphasize politeness, speak formally, and be complimentary.¹¹

Research indicates that having good relationships with group members is a major success factor for the three top positions in large organizations. James Kouzes and Barry Posner conducted an online survey asking respondents to indicate, among other responses, which would be more essential to business success in five years: social skills or Internet skills. Seventy-two percent indicated social skills, and 28 percent, Internet skills. The authors concluded that the web of people matters more than the web of technology.¹² (Yet a person who lacks Internet skills may not have the opportunity to be in a position to manage relationships.) Building relationships with people is such an important part of leadership that the theme will be introduced at various points in this text.

How leaders build relationships has changed somewhat in the modern era and its emphasis on interacting with people electronically. It is common practice for leaders to give recognition and praise via e-mail or a posting on the company social media site, or a public social media site such as Facebook or Twitter. The late Steve Jobs, the Apple Company cofounder, however, emphasized that leaders should not let communication technology block them from interacting face-to-face with work associates. “There’s a temptation in our networked age to think that ideas can be developed by e-mail and iChat. That’s crazy. Creativity comes from spontaneous meetings, from random discussions.”¹³ In addition to sparking innovation, the face-to-face encounters help develop relationships.

Leadership Versus Management

To understand leadership, it is important to grasp the difference between leadership and management. We get a clue from the standard conceptualization of the functions of management: planning, organizing, directing (or leading), and controlling. Leading is a major part of a manager’s job, yet a manager must also plan, organize, and control.

Broadly speaking, leadership deals with the interpersonal aspects of a manager’s job, whereas planning, organizing, and controlling deal with the administrative aspects. Leadership deals with change, inspiration, motivation, and influence.

According to John P. Kotter, a prominent leadership theorist, managers must know how to lead as well as manage. Without being led as well as

managed, organizations face the threat of extinction. Following are several key distinctions between management and leadership:

- Management produces order, consistency, and predictability.
- Leadership produces change and adaptability to new products, new markets, new competitors, new customers, and new work processes.
- Leadership, in contrast to management, involves having a vision of what the organization can become and mobilizing people to accomplish it.
- Leadership produces change, often to a dramatic degree, such as by spearheading the launch of a new product or opening a new market for an old product. Management is more likely to produce a degree of predictability and order.
- Top-level leaders are likely to transform their organizations, whereas top-level managers just manage (or maintain) organizations.
- A leader creates a vision (lofty goal) to direct the organization. In contrast, the key function of the manager is to implement the vision. The manager and his or her team thus choose the means to achieve the end that the leader formulates.¹⁴

If these views are taken to their extreme, the leader is an inspirational figure, and the manager is a stodgy bureaucrat mired in the status quo. But we must be careful not to downplay the importance of management. Effective leaders have to be good managers themselves or be supported by effective managers. A germane example is the inspirational entrepreneur who is so preoccupied with motivating employees and captivating customers that he or she neglects internal administration. As a result, costs skyrocket beyond income, and such matters as funding the employee pension plan and paying bills and taxes on time are overlooked. In short, the difference between leadership and management is one of emphasis. Effective leaders also manage, and effective managers also lead.

Management guru Henry Mintzberg, a professor at McGill University, based on firsthand information, strongly supports the position that the difference between leadership and management should not be overdrawn. Mintzberg writes:

How would you like to be managed by someone who doesn't lead? That can be awfully dispiriting. Well, then, why would you want to be led by someone who doesn't manage? That can be terribly disengaging; how are such "leaders" to know what is going on?¹⁵

An example of how a company might recognize the difference between leadership and management took place at the Boston investment firm GMO LLC. The company brought on the first chief executive in its thirty-two-year history, Marc Mayer. His role was to take care of running the company (management) so that senior officials could focus more on navigating the treacherous market (strategic leadership).¹⁶

The Impact of Leadership on Organizational Performance

An assumption underlying the study of leadership is that leaders affect organizational performance. Boards of directors—the highest-level executives of an organization—make the same assumption. A frequent antidote to major organizational problems is to replace the leader in the hope that the newly appointed leader will reverse performance problems. Here we will review some of the evidence and opinion, pro and con, about the ability of leaders to affect organizational performance.

Research and Opinion: Leadership Does Make a Difference

The idea that leaders actually influence organizational performance and morale is widely believed, and there has been a moderate amount of research and opinion that deals with this issue. Think back to the story of the chief engineer who spearheaded activities to rescue the miners in Chile. It is difficult to imagine that the rescue would have been accomplished without an effective leader and manager in charge. Here we look at a sample of the existing research and opinion on the topic of leaders making a difference on performance.

Another case history example of how the right approach to leadership can make a positive impact on organizational performance is the situation of chairman and CEO Mark Leslie at Veritas Software. When he joined the company 1990, he knew the type of culture he wanted to create. The culture included making decision making more transparent, which included a monthly staff meeting with managers worldwide being invited to listen in. Leslie emphasized sharing information, including earning projections. During the eleven years Leslie spent at Veritas, the number of employees increased from 12 to 6,000, and annual revenues increased from \$95,000 to \$1.5 billion. As Leslie looks back on his time at Veritas, he is convinced that the culture of openness was a driver of success.¹⁷

The Center on Leadership & Ethics at Duke University conducted a survey about executive leadership based on 205 executives from public and private companies. One of the issues explored was whether leadership actions can affect performance. It was concluded that they can indeed, but only if the leader is perceived to be responsible and inspirational. Such behaviors included engaging employees in the company's vision and inspiring employees to elevate their goals. Another contributor to organizational performance was promoting an environment in which employees have a sense of responsibility for the entire organization.¹⁸

The *flexible leadership theory* developed by Gary Yukl, a professor of management at the University of Albany, also provides insight as to when leaders contribute to organizational performance. One proposition of the theory is that organizational performance is stronger when the influence of

middle- and lower-level leaders on important decisions is commensurate with their unique, relevant knowledge.¹⁹ The implication is that involving leaders throughout the organization in making decisions improves company performance—if these leaders are knowledgeable about the problem to be resolved. (This proposition contrasts with leadership advisers who think that anybody should be encouraged to participate in decision making.)

In another study, a group of researchers analyzed 200 management techniques as employed by 150 companies over ten years. The aspect of the study evaluating the effects of leadership found that CEOs influence 15 percent of the total variance (influencing factors) in a company's profitability or total return to shareholders. The same study also found that the industry in which a company operates also accounts for 15 percent of the variance in profitability. So, the choice of a CEO leader is as important as the choice of whether to remain in the same industry or enter a different one.²⁰

An overview of research on managerial succession over a recent twenty-year period provides more support for the idea that leadership has an impact on organizational performance. A consistent relationship was found between who is in charge and how well an organization performed as measured by a variety of indicators. Using different methodologies, these studies arrived at the same conclusion that changes in leadership are followed by changes in company performance. Statistical analyses suggest that the leader might be responsible for somewhere between 15 percent and 45 percent of a firm's performance.²¹

Leadership researcher Bruce J. Avolio from the University of Washington, along with four colleagues, conducted a comprehensive synthesis of 200 studies about the impact of leadership. The studies analyzed included those conducted in laboratories and in work settings. The many outcomes of leadership studied included the satisfactions of subordinates and organizational performance. One of the many study findings was that the leader's activities had a 66 percent probability of achieving a positive outcome.²²

How leaders impact organizational (or unit) performance is the essential subject of this book. For example, good results are attained by developing teamwork and formulating the right strategy.

Research and Opinion: Formal Leadership Does Not Make a Difference

In contrast to the previous argument, the anti-leadership argument holds that the impact of the leader on organizational outcomes is smaller than the impact of forces within the situation. To personalize this perspective, imagine yourself appointed as the manager of a group of highly skilled investment bankers. How well your group performs could be attributed as much to their talent and to economic conditions as to your leadership.

The two major arguments against the importance of leadership are substitutes for leadership and leadership irrelevance.

Substitutes for Leadership At times, competent leadership is not necessary, and incompetent leadership can be counterbalanced by certain factors in the work situation. Under these circumstances, leadership itself is of little consequence to the performance and satisfaction of team members. According to this viewpoint, many organizations have **substitutes for leadership**. Such substitutes are factors in the work environment that provide guidance and incentives to perform, making the leader's role almost superfluous,²³ as shown in Figure 1-1.

1. **Closely knit teams of highly trained individuals.** When members of a cohesive, highly trained group are focused on a goal, they may require almost no leadership to accomplish their task.
2. **Intrinsic satisfaction.** Employees who are engaged in work they find strongly self-motivating, or intrinsically satisfying, require a minimum of leadership. Part of the reason is that the task itself grabs the worker's attention and energy. The worker may require little leadership as long as the task is proceeding smoothly.
3. **Information technology.** Some companies today use computer-aided monitoring and computer networking to take over many of the supervisor's leadership functions. The computer provides productivity and quality data, and directions for certain tasks are entered into the information system. (We could argue here that the computer is being used to control, rather than to lead, workers.) From a positive perspective, the information technology can provide workers at all levels with useful performance feedback enabling them to guide their own productivity.
4. **Professional norms.** Workers who incorporate strong professional norms often require a minimum of supervision and leadership. A group of certified professional accountants may not need visionary leadership to inspire them to do an honest job of auditing the books of a client or advising against tax fraud.

Leadership Irrelevance Jeffrey Pfeffer, a professor of organizational behavior at Stanford University, theorizes that leadership is irrelevant to most organizational outcomes. Rather, it is the situation that must be carefully

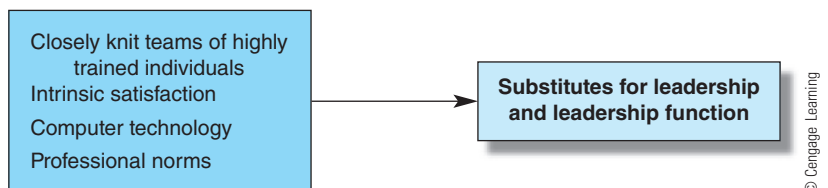


FIGURE 1-1 Substitutes for Leadership.