

Tenth Edition

Leadership

Research Findings, Practice, and Skills

Andrew J. DuBrin



A photograph of an Antarctic landscape. In the foreground, a snow-covered slope leads down to a body of water. Several penguins are scattered across the slope, some standing and some appearing to be sliding or walking. In the background, large, blue-tinted icebergs float in the water under a cloudy sky.

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Andrew J. DuBrin

Rochester Institute of Technology



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**Leadership: Research Findings, Practice,
and Skills, Tenth Edition**

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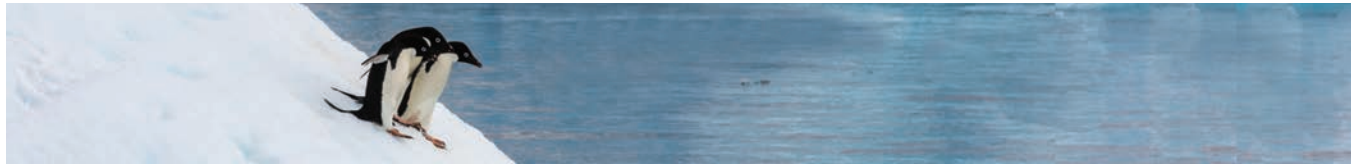
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To Rosie, Clare, Camila, Sofia, Eliana, Julian, Carson, Owen, and Sofie



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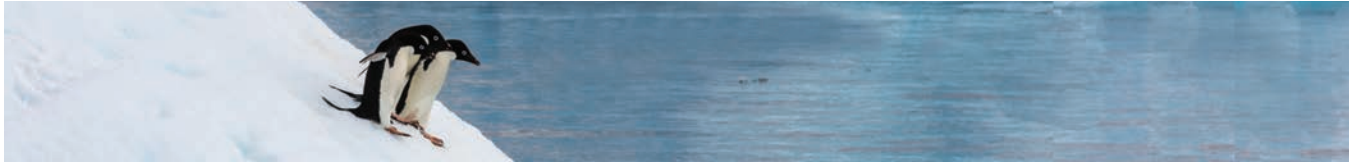
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Preface

Welcome to the tenth edition of *Leadership: Research Findings, Practice, and Skills*. The new edition of this text is a thorough update of the ninth 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 professors 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 an increased interest in ethical and socially responsible behavior, 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*, tenth 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.

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*, tenth 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. This edition, however, recognizes that it is time to omit several basic leadership theories that have not been researched for decades, such as the Leadership Grid and the Normative Decision Model.

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 with a strong emphasis on crisis 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 Tenth Edition

The tenth edition of *Leadership: Research Findings, Practice, and Skills* is an update but not an overhaul of the ninth edition. 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. I have also deleted some of the research findings that basically duplicate other findings on the same topic. The following list highlights the changes in the tenth edition, in addition to updating research and opinion.

Changes Throughout the Text

- Eleven new chapter introductions plus updating of introductions in Chapters 6, 7, 12, and 15.
- Thirteen Leader in Action boxes are new, plus updates for Chapters 3 and 14.

- Fourteen new cases are new plus an update of the case in Chapter 13.
- New research findings presented in each chapter
- New examples throughout
- A new Guidelines for Action and Skill Development for Chapter 4. The Guidelines in Chapters 2 and 14 are supplemented with additional information
- Eleven new Skill-Building Exercises, plus two of them with new components
- Three new tables for Chapters 5 and 7
- Four new Leadership Self-Assessment Quizzes

Content Changes Within Chapters

Chapter 1 describes how small business owners set leadership tone for their enterprises, and circumstances that limit the impact of leaders on their organization's performance. Presented also is the new leadership role of inclusion facilitator, and the importance of tolerating ambiguity for leaders. Chapter 2 provides more information about humility as a key leadership trait, including the importance of a growth mindset, and the reciprocal nature of the leader trusting group members. New information is also provided about the impact of authentic leadership on a leader's well-being, the potential advantages of a leader being introverted, and the organizational impact of an optimistic leader. Other new topics are the importance of the likeability factor for leaders, how emotional intelligence contributed to leadership effectiveness during the pandemic, the motivation to lead as an important leadership motive, and how leaders use artificial intelligence (AI). Also new are a self-quiz about leadership humility, and an exercise about proactive leadership.

Chapter 3 adds information about how charismatic leaders elicit emotional reactions from group members, and the potential disadvantage of hubris for a charismatic leader. New research is provided about how visibility can have a negative impact on a narcissistic leader, as well as research about eye-directed gazing for charismatic leaders. New also is how to project e-charisma, the importance of in-person interactions for transformational leaders, and the potential downside of a narcissistic CEO. A new skill-building exercise is included for developing an inspirational message.

Chapter 4 has additional information about the importance of leadership adaptability. Also new is asking questions as a signal of trust by a leader, patience as a relationship-oriented leadership behavior, and more information about servant leadership, the

entrepreneurial CEO, and the entrepreneurial mindset. Two other new topics are how oxytocin contributes to trusting behavior for leaders, and fresh research about gender differences in leadership. A self-assessment quiz is added about servant leadership, as well as an exercise for applying task-oriented and relationship-oriented behaviors.

Chapter 5 features a substantial expansion of crisis leadership including dealing with the COVID-19 pandemic. Two new tables are (a) Crisis Leadership Attributes and Behaviors with a Relationship Emphasis, and (b) Crisis Leadership Attributes and Behaviors with a Task Emphasis. Information is presented about the importance of providing psychological safety during a crisis. The topic of psychological safety is also woven into several other chapters in the book. We also include an expansion of discussion on evidence-based leadership, and a new skill-building exercise about applying supportive leadership.

Chapter 6 has many new topics including moral leadership, providing leadership that promotes health, the link between character and virtue, bounded ethicality, and recognizing the triple bottom line of profit, people, and planet. New also are environmental, social, and governance (ESG) criteria (a set of standards investors use to evaluate investments), thinking strategically about environmental sustainability, and the importance of leaders thinking critically about sustainability initiatives. We include a new section about the pros and cons of a CEO taking a stand on social issues. Two other new features are the Social Responsibility Initiative Checklist, and a skill-building exercise about taking a company stand on social issues.

Chapter 7 now includes the skill-building aspect to delegation, how political correctness has become almost a social movement, adapting to the boss's communication style, getting noticed by senior leadership, and stealing credit for the ideas of others as a negative political tactic. Added also is a skill-building exercise about controlling a too-eager direct report. Chapter 8 additions include new research about the effectiveness of leading by example, establishing connections for exerting influence, giving useful feedback for exerting influence, and possible pitfalls of upward ingratiation. A new skill-building exercise is presented about making an inspirational appeal.

Chapter 9 new information includes expanded coverage of virtual teams, Slack as a frequent communication channel for teams, additional problems associated with open-office spaces, problems of excessive collaboration in teams, and wilderness adventure expeditions as offsite training. A new skill-building exercise is presented about a student group being good Samaritans.

Chapter 10 new offerings include an expanded discussion of meaningful work, the importance of using deadlines in goal setting, recognizing group members by thanking them and expressing gratitude, and the importance of being very specific about negative feedback. Additional new topics are research evidence about the effectiveness of executive coaching, and providing recognition for outstanding performance.

Chapter 11 additions are the link between curiosity and creativity, the relevance of the co-existence of intuition and data analytics, how constraints contribute to creativity, and brainstorming remotely. Also new are the topics of overcoming the self-perception of not being creative, getting advice from someone outside your field to enhance creativity, the use of cultural brokerage to enhance creativity in cross-cultural groups, and questioning traditional beliefs or orthodoxies to enhance innovation. A new skill-building exercise is choosing a compelling domain name.

Chapter 12 new topics are group messaging apps as a leadership communication network, the usefulness of moderate conflict, the conflict-prone personality, the ethical aspects of negotiation, and the negotiation tactic of using facts more than threats. A self-quiz about tendencies toward conflict proneness is added, as well as a skill-building exercise about being an emotionally intelligent negotiator. Chapter 13 adds sections about organizational agility, business strategy, and knowledge management. Also new are how strategic thinking heavily emphasizes long-term thinking, and the contribution of artificial intelligence (AI) to business strategy.

Chapter 14 now uses the framework of “diversity, equity, and inclusion” to describe diversity efforts, and new evidence for the financial payoff from gender diversity in company leadership. Also new is how cultural diversity can make more effective use of human capital, new data on working-hour differences across the world, and resolving cross-cultural conflict. Two other new topics are the leader emphasizing inclusive language, and the awareness of potential diversity danger zones.

Chapter 15 new inclusions are the two types of self-awareness, the #MeToo movement and mentoring, and the application of neuroscience, or brain science, to enhance effectiveness. Also new are evidence about the effectiveness of executive coaching in comparison to other interventions for development, and being able to deal with sensitive and delicate issues as a new leader challenge. A table is added about the seven attitudes and beliefs of a person with a growth mindset.

Instructor Resources

Additional instructor resources for this product are available online. Instructor assets include an Instructor’s Manual, Educator’s Guide, PowerPoint® slides, and a test bank powered by Cognero®. Sign up or sign in at www.cengage.com to search for and access this product and its online resources.

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A.J.D.

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1

Chapter

The Nature and Importance of Leadership

Learning Objectives

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

- 1.1** Explain the meaning of leadership, and how it differs from management.
- 1.2** Characterize how leadership influences organizational performance.
- 1.3** Pinpoint several important leadership roles.
- 1.4** Identify the major satisfactions and frustrations associated with the leadership role.
- 1.5** Describe a framework for understanding leadership.
- 1.6** Cite how leadership skills can be developed.
- 1.7** 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

Tolerance for Ambiguity

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

Early in 2021, Walgreens Boots Alliance (WBA) appointed Rosalind (Roz) Brewer as its chief executive officer (CEO), making her the only Black woman at the time to lead a Fortune 500 company. Brewer held previous positions as the chief operating officer at Starbucks, chief executive of Sam's

Club, and two decades at Kimberly Clark Corporation in a variety of professional and managerial positions. Brewer is also on the board of Amazon.com, Inc. While Brewer was CEO of Sam's Club, membership grew, and she oversaw the transition to digital technology. At Starbucks, Brewer was the number two

executive. She helped the company transition toward a focus on to-go operations during the pandemic via a mobile-ordering app. Brewer also contributed to the development of more diversified leadership at the company.

The Walgreens board cited Brewer's "relentless focus on her customer, talent development, and expertise in digital transformation" in announcing her appointment. A major goal of Walgreens in 2021 was to become more of a healthcare company than a retailer with the sales of drugs and convenience items moving increasingly online. Brewer focuses much of her executive time on driving WBA's digital retail expansion. Brewer was hired primarily on the basis of her leadership skills and digital expertise, but at the same time pressures from shareholders, lawmakers, banks, and other financial firms were pushing business corporations to accelerate diversifying their executive ranks.

Financial analysts noted that Brewer started at Walgreens Boots Alliance (WBA) at an exciting and challenging time because the company was preparing to be a key player in the administration of COVID-19 vaccines. The WBA's highly efficient launch of its vaccination program helped strengthen the positive perception of the retailer, as well as developing an increased base of loyal customers. A key challenge for WBA is that retail pharmacies have been consolidating, and Walgreens was losing some market share to CVS.

In 2012, Brewer was appointed the CEO of Sam's Club, a major division of Walmart. She worked her way up to president of the Walmart U.S. East business unit, leading a team responsible for more than \$100 billion in annual revenue. Former Walmart president and CEO Mike Duke said of Brewer at the time, "She always lets her team do the talking, with the focus being on how to better support their needs. She has strong strategic,

analytical, and operational skills and has successfully managed a large and complex business."

At Starbucks, Brewer was the group president and chief operating officer, directing the company's global marketing, technology, supply chain, product innovation, and store development business functions. While at Starbucks, Brewer played an active role in speaking to investors, its board, and retail employees.

David Buritt, the CEO of U.S. Steel Corporation, told a business reporter, "Roz has mastered the art of being a servant leader. She has humility, but at the same time she is in charge. I'm a huge fan." Throughout her career, Brewer has emphasized that diversity within an organization not only creates opportunities for a wider part of the population but also enhances business results. She emphasizes that diverse and inclusive teams make for a stronger business.

In 2018, Brewer gave an inspirational commencement address at her alma mater, Spelman College, a historically Black women's liberal arts college in Atlanta. She emphasized how many Black Spelman graduates who preceded her had achieved successful careers including becoming judges, surgeons, and business leaders. Brewer said that her generation might be called "Generation P," with the P standing for perseverance.

Brewer is the youngest of five children born to parents who were production workers at General Motors in Detroit. As Spelman College she received a B.S. degree in chemistry in 1984. She also attended the advanced management program at the Wharton School of the University of Pennsylvania. To facilitate her learning as a leader and manager, Brewer received help from mentors including Indra Nooyi, the CEO of PepsiCo Inc., and Bill Simon, the former Walmart U.S. chief.¹

The description of Rosalind Brewer touches on many leadership topics to be covered in this book, including the following ideas: that providing direction is part of a leader's job, that technical expertise is an important leadership role, and that cultivating diversity is a key leadership role. 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. This 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

Learning Objective 1.1 Explain the meaning of leadership, and how it differs from management.

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

The popular topic of leadership has 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.
- Mobilizing people in an organization around common goals to achieve impact.³
- The principal dynamic force that motivates and coordinates the organization in the accomplishment of its objectives.⁴
- 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.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 reason that leadership is important throughout the organization is because of the widespread shift to team-based organizations, many of which are project-based and cross-functional making it important to have leaders at all organizational levels. At the same time, individual team members are increasingly stepping forward to guide and influence others.⁷

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 yet 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.⁸ 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 moment⁹ 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."¹⁰ An experiment conducted with both college students and working adults supported the usefulness of shared leadership. Participants in the study who experienced shared leadership showed good performance on the simulated decision-making tasks, and also high job satisfaction.¹¹

A key force driving collaborative leadership is the hyperconnected organizational world fostered by email and social media, along with globalization. The collaborative leadership style is well suited to harness the power of this multitude of connections.¹² 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

Leadership is usually 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 rather 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, the leader gains their cooperation in generating useful ideas for generating more revenue, such as pushing harder to get customers to purchase additional dashboard technology and an extended warranty 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 task based and relationship oriented. The entry-level worker, having much less power and authority, is likely to emphasize politeness, speak formally, and be complimentary.¹³

How leaders build relationships has changed somewhat in the modern era and its emphasis on interacting with people digitally. It is common practice for leaders to give recognition and praise via email 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.”¹⁴ 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.

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 as to neglect 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.

John O’Leary, a leadership development specialist, investigated whether leaders and managers really carry out different activities. His method was to conduct interviews of eight experienced leaders in business, government, and upper-level college sports. O’Leary’s general finding was that leaders and managers tend to have a different focus on the same set of activities. One finding was that managers delegate largely as a method of increasing efficiency. In contrast, leaders delegate as an approach to empowerment. Another key finding was that leaders focus more on people, and managers focus more on results.¹⁵

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?¹⁶

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).¹⁷

The Impact of Leadership on Organizational Performance

Learning Objective 1.2 Characterize how leadership influences 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 opinions, 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. A scholarly review of the evidence indicates that leaders are commonly credited with the ability to profoundly affect, even control, significant organizational outcomes.¹⁸ For example, Jeff Bezos, the founder and chairperson of Amazon.com, has guided the company from a startup online book and music store into perhaps the world's largest retailer. Amazon is also a major provider of commercial software services, including cloud computing.

Another observation about leadership making a difference is that small business owners usually set the leadership tone for their organizations. A primary source of influence is that owners develop a mission or set of values by which they operate their company. The values in turn often lead to policies or guidelines that contribute to organization success, such as establishing quality and ethical standards.¹⁹

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.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

A specific outcome of how leadership has an impact on organizational performance is sales performance. Julian Barling synthesized the results of many studies exploring how leadership influences sales results—a key metric of organizational success. Although leadership can influence sales performance, the link between the two is complicated.²² An example of this complicated relationship stems from a series of studies conducted by Adam Grant. In a company involved in the sales of educational and marketing software, new hires were divided into four different groups for their first training.

In addition to their regular training, the eighteen employees in one group also met with a senior company director for fifteen minutes. The executive explained the company's vision and was optimistic and enthusiastic that employees could achieve this vision. Members of this group also met with someone from a different department who was a beneficiary of their work. (An example of a beneficiary of the work of a sales representative might be a software engineer whose software the sales representative was successful in selling.) A key finding was that the combined influence of interacting with a company leader and meeting with an internal beneficiary led to the group attaining more sales and higher revenue than the other three groups.²³

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. Several of the arguments that leadership can be overrated are presented next.

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 as shown in Figure 1-1.²⁴

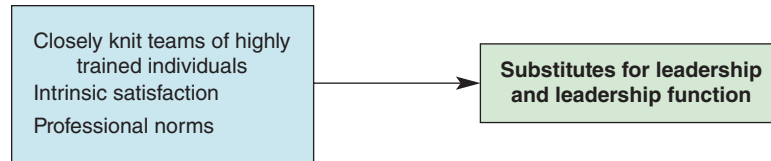


Figure 1-1 Substitutes for Leadership.

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. **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.

Another argument for leadership being overrated is that in the modern organization, effective leadership means widespread collaboration in obtaining ideas, rather than the heroic leader doing all the innovating. According to this point of view, instead of centralizing leadership in the hands of a few, authority and power are shared, and people lead themselves.²⁵ (The concept of shared leadership was mentioned above in relation to the meaning of leadership and will surface at several places in the text.)

A broader argument about the limited impact of leadership based on a synthesis of organizational research is that leaders often face circumstances that strongly limit their ability to influence organizational performance. Among them are (1) a high failure rate of new ventures, (2) unpredictable and uncontrollable changes in technology, social trends, and other environmental forces, (3) bureaucratic norms that regulate the organization, (4) an overwhelming amount of people and information to deal with, (5) ambiguity about the causes of and solutions to problems, and (6) the tendency of many people not to do what a leader wants or expects.²⁶

A useful perspective on whether leadership makes a difference is to ask the right question, as framed by J. Richard Hackman and Ruth Wageman. Instead of asking if leaders make a difference, we should be asking under what conditions leaders make a difference.²⁷ A crisis mode is an example of a situation in which a

strong leader usually makes a difference, such as getting field units back on track after a hurricane or product recall.

Leadership Roles

Learning Objective 1.3 Pinpoint several important leadership roles.

Another way to gain an understanding of leadership is to examine the various roles carried out by leaders. A role in this context is an expected set of activities or behaviors stemming from one's job. Leadership roles are a subset of the managerial roles studied by Henry Mintzberg and others.²⁸ Before reading ahead to the summary of leadership roles, you are invited to complete Leadership Self-Assessment Quiz 1-1.

Leading is a complex activity, so it is not surprising that Mintzberg and other researchers identified eleven roles that can be classified as part of the leadership function of management.

1. **Figurehead.** Leaders, particularly high-ranking managers, spend some part of their time engaging in ceremonial activities, or acting as a figurehead. Four specific behaviors fit the figurehead role of a leader:
 - a. entertaining clients or customers as an official representative of the organization
 - b. making oneself available to outsiders as a representative of the organization
 - c. serving as an official representative of the organization at gatherings outside the organization
 - d. escorting official visitors
2. **Spokesperson.** When a leader acts as a spokesperson, the emphasis is on answering letters or inquiries and formally reporting to individuals and groups outside the manager's direct organizational unit. As a spokesperson, the managerial leader keeps five groups of people informed about the unit's activities, plans, capabilities, and possibilities (vision):
 - a. upper-level management
 - b. clients or customers
 - c. other important outsiders such as labor union
 - d. professional colleagues



Leadership Self-Assessment Quiz 1-1

Readiness for the Leadership Role

Instructions: Indicate the extent to which you agree with each of the following statements, using the following scale: 1, disagree strongly; 2, disagree; 3, neutral; 4, agree; 5, agree strongly.

	DS	D	N	A	AS
1. I like having people count on me for ideas and suggestions.	1	2	3	4	5
2. I have definitely inspired other people.	1	2	3	4	5
3. It is a good practice to ask people provocative questions about their work.	1	2	3	4	5
4. It is easy for me to compliment others.	1	2	3	4	5
5. I have many more friends and followers on social working websites than do most people.	1	2	3	4	5
6. I like to cheer people up even when my own spirits are down.	1	2	3	4	5
7. What my team accomplishes is more important than my personal glory.	1	2	3	4	5
8. Many people imitate my ideas.	1	2	3	4	5
9. Building team spirit is important to me.	1	2	3	4	5
10. I would enjoy coaching other members of the team.	1	2	3	4	5
11. It is important to me to recognize others for their accomplishments.	1	2	3	4	5
12. I would enjoy entertaining visitors to my firm even if it interfered with my completing a report.	1	2	3	4	5
13. It would be fun for me to represent my team at gatherings outside our unit.	1	2	3	4	5
14. The problems of my teammates are my problems too.	1	2	3	4	5
15. Resolving conflict is an activity I enjoy.	1	2	3	4	5
16. I would cooperate with another unit in the organization even if I disagreed with the position taken by its members.	1	2	3	4	5
17. I am an idea generator on the job.	1	2	3	4	5
18. It is fun for me to bargain whenever I have the opportunity.	1	2	3	4	5
19. Team members listen to me when I speak.	1	2	3	4	5
20. People have asked me to assume the leadership of an activity several times in my life.	1	2	3	4	5
21. I have always been a convincing person.	1	2	3	4	5
22. I enjoy imagining a bright future for a group to which I belong.	1	2	3	4	5
23. Several people have told me that I have good ability to see the big picture.	1	2	3	4	5
24. I am willing to listen to people gripe and complain about their job.	1	2	3	4	5
25. I enjoy the opportunity to work with people from cultures different than my own.	1	2	3	4	5

(continued)



Leadership Self-Assessment Quiz 1-1 (continued)

Scoring and Interpretation: Calculate your total score by adding the numbers circled. A tentative interpretation of the scoring is as follows:

- **90–100:** High readiness for the leadership role
- **60–89:** Moderate readiness for the leadership role
- **40–59:** Some uneasiness with the leadership role
- **39 or less:** Low readiness for the leadership role

If you are already a successful leader and you scored low on this questionnaire, ignore your score. If you scored surprisingly low and you are not yet a leader, or are currently performing poorly as a leader, study the statements carefully. Consider changing your attitude or your behavior so that you can legitimately answer more of the statements with a 4 or a 5. Studying the rest of this text will give you additional insights that may be helpful in your development as a leader.

Dealing with outside groups and the general public is usually the responsibility of top-level managers.

3. Negotiator. Part of almost any manager's job description is trying to make deals with others for needed resources. Four illustrative negotiating activities are as follows:

- a. bargaining with superiors for funds, facilities, equipment, or other forms of support
- b. bargaining with other units in the organization for the use of staff, facilities, equipment, or other forms of support
- c. bargaining with suppliers and vendors for services, schedules, and delivery times
- d. bargaining with job candidates about starting compensation and benefits

4. Coach and motivator. An effective leader takes the time to coach and motivate team members, and sometimes to inspire large groups of people inside the organization. This role includes five specific behaviors:

- a. informally recognizing team members' achievements
- b. providing team members with feedback concerning ineffective performance
- c. ensuring that team members are informed of steps that can improve their performance
- d. implementing rewards and punishments to encourage and sustain good performance
- e. inspiring people through such means as being charismatic, creating visions, telling interesting stories, and being highly ethical

5. Team builder. A key aspect of a leader's role is to build an effective team. Activities contributing to this role include:

- a. ensuring that team members are recognized for their accomplishments, such as through letters of appreciation

- b. initiating activities that contribute to group morale, such as giving parties and sponsoring sports teams
- c. holding periodic staff meetings to encourage team members to talk about their accomplishments, problems, and concerns

6. Team player. Related to the team-builder role is that of the team player. Three behaviors of team players are:

- a. displaying appropriate personal conduct
- b. cooperating with other units in the organization
- c. displaying loyalty to superiors by fully supporting their plans and decisions

7. Inclusion facilitator. The leader who facilitates inclusion makes a deliberate effort to assume that all team members, group members, or other employees feel included and welcome within the organization. Three illustrative activities of an inclusive leader are:

- a. seeking to build a demographically and culturally diverse workforce
- b. taking a personal interest in each member of the group or team
- c. encouraging team or group members to take the initiative to make sure that all coworkers are made to feel like "one of the gang"

8. Technical problem solver. It is particularly important for supervisors and middle managers to help team members solve technical problems. Two activities contributing to this role are:

- a. serving as a technical expert or adviser, such as helping the group make optimum of social marketing to promote the company
- b. performing individual contributor tasks on a regular basis, such as making sale calls or repairing machinery