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INTRODUCTION

Leadership is a highly sought-after and highly valued commodity. In the nearly 30 years since the first edition of this book was published, the public has become increasingly captivated by the idea of leadership. People continue to ask themselves and others what makes good leaders. As individuals, they seek more information on how to become effective leaders. As a result, bookstore shelves are filled with popular books about leaders and how to be a leader. Many people believe that leadership is a way to improve their personal, social, and professional lives. Corporations seek those with leadership ability because they believe these individuals bring special assets to their organizations and, ultimately, improve the bottom line. Academic institutions throughout the country have responded by offering programs in leadership studies, including at the master's and doctoral levels.

In addition, leadership has gained the attention of researchers worldwide. Leadership research is increasing dramatically, and findings underscore that there is a wide variety of different theoretical approaches to explain the complexities of the leadership process (e.g., Bass, 2008; Bryman, 1992; Bryman, Collinson, Grint, Jackson, & Uhl-Bien, 2011; Curtin, 2022; Day & Antonakis, 2012; Dinh et al., 2014; J. Gardner, 1990; W. Gardner et al., 2020; Hickman, 2016; Mumford, 2006; Rost, 1991). Some researchers conceptualize leadership as a trait or as a behavior, whereas others view leadership from an information-processing perspective or relational standpoint.

Leadership has been studied using both qualitative and quantitative methods in many contexts, including small groups, therapeutic groups, and large organizations. In recent years, this research has included experiments designed to explain how leadership influences follower attitudes and performance (Podsakoff & Podsakoff, 2019) in hopes of increasing the practical usefulness of leadership research.

Collectively, the research findings on leadership provide a picture of a process that is far more sophisticated and complex than the often-simplistic view presented in some of the popular books on leadership.

This book treats leadership as a complex process having multiple dimensions. Based on the research literature, this text provides an in-depth description and application of many different approaches to leadership. Our emphasis is on how theory can inform the practice of leadership. In this book, we describe each theory and then explain how the theory can be used in real situations.

LEADERSHIP DEFINED

There are many ways to finish the sentence “Leadership is . . .” In fact, as Stogdill (1974, p. 7) pointed out in a review of leadership research, there are almost as many different definitions of *leadership* as there are people who have tried to define it. It is much like the words *democracy*, *love*, and *peace*. Although each of us intuitively knows what we mean by such words, the words can have different meanings for different people. As shown in the following section, scholars and practitioners have attempted to define leadership for more than a century without universal consensus.

Ways of Conceptualizing Leadership

In the past 60 years, as many as 65 different classification systems have been developed to define the dimensions of leadership (Fleishman et al., 1991). One such classification system, directly related to our discussion, is the scheme proposed by Bass (2008, pp. 11–20). He suggested that some definitions view leadership as the *focus of group processes*. From this perspective, the leader is at the center of group change and activity and embodies the will of the group. Another set of definitions conceptualizes leadership from a *personality perspective*, which suggests that leadership is a combination of special traits or characteristics that some individuals possess. These traits enable those individuals to induce others to accomplish tasks. Other approaches to leadership define it as an *act* or a *behavior*—the things leaders do to bring about change in a group.

In addition, some define leadership in terms of the *power relationship* that exists between leaders and followers. From this viewpoint, leaders have power that they wield to effect change in others. Others view leadership as a *transformational process* that moves followers to accomplish more than is usually expected of them. Finally, some scholars address leadership from a *skills perspective*. This viewpoint stresses the capabilities (knowledge and skills) that make effective leadership possible.

The Evolution of Leadership Concepts

Leadership became a topic of academic introspection more than a century ago, and ways of defining or explaining it have evolved continuously since. These definitions have been influenced by many factors, from world affairs and politics to the perspectives of the discipline in which the topic is being studied. In a seminal work, Rost (1991) analyzed materials written from 1900 to 1990, finding more than 200 different definitions for leadership. In his own definition, he emphasized leadership as a *relationship*. More recently, Curtin (2022) identified 700 definitions of leadership and ways to lead and found that the largest number of them defined leadership as an *action*,

followed by defining leadership as a *characteristic*, an *effect*, a *concept*, a *phenomenon*, a *role*, and a *state*. A succinct history of how leadership has been defined since 1900 shows how the field has evolved and continues to develop.

Leadership in the 20th Century

Conceptualizations of leadership appearing from 1900 to 1929 emphasized *control* and *centralization of power* with a common theme of domination. For example, at a conference on leadership in 1927, leadership was defined as “the ability to impress the will of the leader on those led and [to] induce obedience, respect, loyalty, and cooperation” (Moore, 1927, p. 124).

In the 1930s, traits became the focus of leadership studies, with leadership viewed as influence through the interaction of an individual’s traits with others in a group. A decade later, the group approach came to the forefront with leadership defined as the behavior of an individual while involved in directing group activities (Hemphill, 1949).

During the 1950s, group theory continued to evolve while two other behavioral approaches began to emerge: leadership as a relationship that develops shared goals based on the behavior of the leader; and effectiveness, in which leadership was defined by the ability to influence overall group effectiveness.

In the 1970s, the group focus gave way to the organizational behavior approach, where leadership was viewed as “initiating and maintaining groups or organizations to accomplish group or organizational goals” (Rost, 1991, p. 59). Burns’s (1978) definition, however, was the most important concept of leadership to emerge during this period: “Leadership is the reciprocal process of mobilizing by persons with certain motives and values, various economic, political, and other resources, in a context of competition and conflict, in order to realize goals independently or mutually held by both leaders and followers” (p. 425).

The 1980s exploded with scholarly and popular works on the nature of leadership, resulting in a prolific stew of new definitions. Leadership defined as getting followers to do what the leader wants done still dominated, but with an emphasis on influence, specifically noncoercive influence. Traits came back into the forefront, spurred by the national best-selling book *In Search of Excellence* (Peters & Waterman, 1982), which raised the debate of whether leadership and management are different processes. Once again, Burns (1978) is credited with initiating a new leadership movement during this period—leadership as a transformational process—stating that leadership occurs “when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality” (p. 83).

The 1990s took a different look at leadership, emphasizing the process of leadership and how leaders influence a group of individuals to achieve a common goal with

particular attention on the role of followers. Among these leadership approaches were *servant leadership*, which puts the leader in the role of a servant who utilizes “caring principles” focusing on followers’ needs to help followers become more autonomous, knowledgeable, and like servants themselves (Graham, 1991); *followership*, which puts a spotlight on followers and the role they play in the leadership process (Hollander, 1992); and *adaptive leadership*, in which leaders encourage followers to adapt by confronting and solving problems, challenges, and changes (Heifetz, 1994).

Leadership in the New Millennium

The 21st century brought an increased attention to leadership that had a moral dimension, with *authentic* and *ethical leadership* gaining interest from researchers and executives. Other new approaches, such as *leader humility* and *spiritual leadership*, highlighted communication between leaders and followers. As organizations became increasingly diverse, *inclusive leadership*, which focuses on leader behaviors that facilitate followers’ feelings of belongingness to the group while maintaining their individuality (Shore, Cleveland, & Sanchez, 2018), emerged.

As we near the end of the 2020s, approaches continue to emphasize inclusion. New approaches also explore *complexity leadership*, which is multilevel leadership (administrative, enabling, adaptive) that fosters interrelationships, emergence, change, adaptation, and innovation (Hanson & Ford, 2010; Marion & Uhl-Bien, 2001); and *shared* and *distributed leadership*, where members of a group have equal input and influence on decision making.

Definition and Components

Despite the multitude of ways in which leadership has been conceptualized, the following components can be identified as central to the phenomenon: (a) Leadership is a process, (b) leadership involves influence, (c) leadership occurs in groups, and (d) leadership involves common goals. Based on these components, the following definition of leadership is used in this text:

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

Defining leadership as a *process* means that it is not a trait or characteristic that resides in the leader, but rather a transactional event that occurs between the leader and the followers. *Process* implies that a leader affects and is affected by followers. It emphasizes that leadership is not a linear, one-way event, but rather an interactive event. When leadership is defined in this manner, it becomes available to everyone. It is not restricted to the formally designated leader in a group.

Leadership involves *influence*. It is concerned with how the leader affects followers and the communication that occurs between leaders and followers (Ruben & Gigliotti,

2017). Influence is the sine qua non of leadership. Without influence, leadership does not exist.

Leadership occurs in *groups*. Groups are the context in which leadership takes place. Leadership involves influencing a group of individuals who have a common purpose. This can be a small task group, a community group, or a large group encompassing an entire organization. Leadership is about one individual influencing a group of others to accomplish common goals. Others (a group) are required for leadership to occur. Leadership training programs that teach people to lead themselves are not considered a part of leadership within the definition that is set forth in this discussion.

Leadership includes attention to *common goals*. Leaders direct their energies toward individuals who are trying to achieve something together. By *common*, we mean that the leaders and followers have a mutual purpose. Attention to common goals gives leadership an ethical overtone because it stresses the need for leaders to work with followers to achieve selected goals. Stressing mutuality lessens the possibility that leaders might act toward followers in ways that are forced or unethical. It also increases the possibility that leaders and followers will work together toward a common good (Rost, 1991).

Throughout this text, the people who engage in leadership will be called *leaders*, and those toward whom leadership is directed will be called *followers*. Both leaders and followers are involved together in the leadership process. Leaders need followers, and followers need leaders (Burns, 1978; Heller & Van Til, 1983; Hollander, 1992; Jago, 1982). An extended discussion of followership is provided in Chapter 12. Although leaders and followers are closely linked, it is the leader who often initiates the relationship, creates the communication linkages, and carries the burden for maintaining the relationship.

In our discussion of leaders and followers, attention will be directed toward follower issues as well as leader issues. Leaders have an ethical responsibility to attend to the needs and concerns of followers. As Burns (1978) pointed out, discussions of leadership sometimes are viewed as elitist because of the implied power and importance often ascribed to leaders in the leader–follower relationship. Leaders are not above or better than followers. Leaders and followers must be understood in relation to each other (Hollander, 1992) and collectively (Burns, 1978). They are in the leadership relationship together—and are two sides of the same coin (Rost, 1991).

LEADERSHIP DESCRIBED

In addition to definitional issues, it is important to discuss several other questions pertaining to the nature of leadership. In the following section, we will address questions such as how leadership as a trait differs from leadership as a process; how appointed

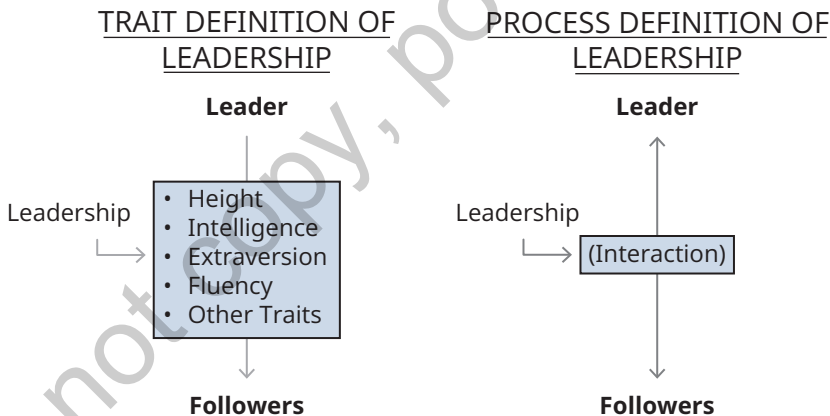
leadership differs from emergent leadership; and how the concepts of power, coercion, morality, and management interact with leadership.

Trait Versus Process Leadership

We have all heard statements such as “He is born to be a leader” or “She is a natural leader” or “Leadership is in their DNA.” These statements are commonly expressed by people who take a trait perspective toward leadership. The trait perspective suggests that certain individuals have special innate or inborn characteristics or qualities that make them leaders, and that it is these qualities that differentiate them from nonleaders. Some of the personal qualities used to identify leaders include unique physical factors (e.g., height), personality features (e.g., extraversion), and other characteristics (e.g., intelligence and fluency; Bryman, 1992). In Chapter 2, we will discuss a large body of research that has examined these personal qualities.

To describe leadership as a trait is quite different from describing it as a process (Figure 1.1). The trait viewpoint conceptualizes leadership as a property or set of properties possessed in varying degrees by different people (Jago, 1982). This suggests that it resides *in* select people and restricts leadership to those who are believed to have special, usually inborn, talents.

FIGURE 1.1 ■ The Different Views of Leadership



Source: Adapted from *A Force for Change: How Leadership Differs From Management* (pp. 3–8), by J. P. Kotter, 1990, New York, NY: Free Press.

The process viewpoint suggests that leadership is a phenomenon that resides in the context of the interactions between leaders and followers and makes leadership available to everyone. As a process, leadership can be observed in leader behaviors (Jago, 1982) and can be learned. The process definition of leadership is consistent with the definition of leadership that we have set forth in this chapter.

Assigned Versus Emergent Leadership

Some people are leaders because of their formal position in an organization, whereas others are leaders because of the way other group members respond to them. These two common forms of leadership are called *assigned leadership* and *emergent leadership*. Leadership that is based on occupying a position in an organization is assigned leadership. Team leaders, plant managers, department heads, directors, and administrators are all examples of assigned leaders.

Yet the person assigned to a leadership position does not always become the real leader in a particular setting. When others perceive an individual as the most influential member of a group or an organization, regardless of the individual's title, the person is exhibiting emergent leadership. The individual acquires emergent leadership through other people in the organization who support and accept that individual's behavior. This type of leadership is not assigned by position; rather, it emerges over a period through communication. Some of the positive communication behaviors that account for successful leader emergence include *being verbally involved*, *being informed*, *seeking others' opinions*, *initiating new ideas*, and *being firm but not rigid* (Ellis & Fisher, 1994).

Researchers have found that, in addition to communication behaviors, personality plays a role in leadership emergence. For example, Smith and Foti (1998) found that certain personality traits were related to leadership emergence in a sample of 160 male college students. The individuals who were more dominant, more intelligent, and more confident about their own performance (general self-efficacy) were more likely to be identified as leaders by other members of their task group. Although it is uncertain whether these findings apply to women as well, Smith and Foti suggested that these three traits could be used to identify individuals perceived to be emergent leaders.

Leadership emergence may also be affected by gender-biased perceptions. In a study of 40 mixed-sex college groups, Watson and Hoffman (2004) found that women who were urged to persuade their task groups to adopt high-quality decisions succeeded with the same frequency as men with identical instructions. Although women were equally influential leaders in their groups, they were rated significantly lower than comparable men were on leadership. Furthermore, these influential women were also rated as significantly less likable than comparably influential men were. Another study found that men who spoke up to promote new ideas in teams were granted higher status compared to women who did so (McClellan, Martin, Emich, & Woodruff, 2018). These results suggest that there continue to be barriers to women's emergence as leaders in some settings.

A unique perspective on leadership emergence is provided by social identity theory (Hogg, 2001). From this perspective, leadership emergence is the degree to which a person fits with the identity of the group as a whole. As groups develop over time, a group prototype also develops. Individuals emerge as leaders in the group when they become most like the group prototype. Being similar to the prototype makes leaders attractive to the group and gives them influence with the group.

The leadership approaches we discuss in the subsequent chapters of this book apply equally to assigned leadership and emergent leadership. When a person is engaged in leadership, that person is a leader, whether leadership was assigned or emerged. This book focuses on the leadership process that occurs when any individual is engaged in influencing other group members in their efforts to reach a common goal.

Leadership and Power

The concept of power is related to leadership because it is part of the influence process. Power is the capacity or potential to influence. People have power when they have the ability to affect others' beliefs, attitudes, and courses of action. Judges, doctors, coaches, and teachers are all examples of people who have the potential to influence us. When they do, they are using their power, the resource they draw on to effect change in us.

Although there are no explicit theories in the research literature about power and leadership, power is a concept that people often associate with leadership. It is common for people to view leaders (both good and bad) and people in positions of leadership as individuals who wield power over others, and as a result, power is often thought of as synonymous with leadership. In addition, people are often intrigued by how leaders use their power. Understanding how power is used in leadership is instrumental as well in understanding the dark side of leadership, where leaders use their leadership to achieve their own personal ends and lead in toxic and destructive ways (Krasikova, Green, & LeBreton, 2013). Studying how famous leaders, such as Adolf Hitler or Alexander the Great, use power to effect change in others is titillating to many people because it underscores that power can indeed effectuate change and maybe if they had power they too could effectuate change.

In her 2012 book *The End of Leadership*, Kellerman argues there has been a shift in leadership power during the last 40 years. Power used to be the domain of leaders, but that is diminishing and shifting to followers. Changes in culture have meant followers demand more from leaders, and leaders have responded. Access to technology has empowered followers, given them access to huge amounts of information, and made leaders more transparent. The result is a decline in respect for leaders and leaders' legitimate power. In effect, followers have used information power to level the playing field. Power is no longer synonymous with leadership, and in the social contract between leaders and followers, leaders wield less power, according to Kellerman. For example, Posner (2015) examined volunteer leaders, such as those who sit on boards for nonprofit organizations, and found that while these individuals did not have positional authority in the organization, they were able to influence leadership. Volunteer leaders engaged more frequently in leadership behaviors than did paid leaders.

In college courses today, the most widely cited research on power is French and Raven's (1959) work on the bases of social power. In their work, they conceptualized power from the framework of a dyadic relationship that included both the person influencing and the

person being influenced. French and Raven identified five common and important bases of power—*referent*, *expert*, *legitimate*, *reward*, and *coercive*—and Raven (1965) identified a sixth, *information* power (Table 1.1). Each of these bases of power increases a leader's capacity to influence the attitudes, values, or behaviors of others.

TABLE 1.1 ■ Six Bases of Power

Referent Power	Based on followers' identification and liking for the leader. A teacher who is adored by students has referent power.
Expert Power	Based on followers' perceptions of the leader's competence. A tour guide who is knowledgeable about a foreign country has expert power.
Legitimate Power	Associated with having status or formal job authority. A judge who administers sentences in the courtroom exhibits legitimate power.
Reward Power	Derived from having the capacity to provide rewards to others. A supervisor who compliments employees who work hard is using reward power.
Coercive Power	Derived from having the capacity to penalize or punish others. A coach who sits players on the bench for being late to practice is using coercive power.
Information Power	Derived from possessing knowledge that others want or need. A boss who has information regarding new criteria to decide employee promotion eligibility has information power.

Sources: Adapted from "The Bases of Social Power," by J. R. French Jr. and B. Raven, 1962, in D. Cartwright (Ed.), *Group Dynamics: Research and Theory* (pp. 259–269), New York, NY: Harper & Row; and "Social Influence and Power," by B. H. Raven, 1965, in I. D. Steiner & M. Fishbein (Eds.), *Current Studies in Social Psychology* (pp. 371–382), New York, NY: Holt, Rinehart, & Winston.

In organizations, there are two major kinds of power: position power and personal power. *Position power*, which includes legitimate, reward, coercive, and information power (Table 1.2), is the power a person derives from a particular office or rank in a formal organizational system. It is the influence capacity a leader derives from having higher status than the followers have. Position power allows leaders to attain central

TABLE 1.2 ■ Types and Bases of Power

Position Power	Personal Power
Legitimate	Referent
Reward	Expert
Coercive	
Information	

Source: Adapted from *A Force for Change: How Leadership Differs From Management* (pp. 3–8), by J. P. Kotter, 1990, New York, NY: Free Press.

roles in organizations; for example, vice presidents and department heads have more power than staff personnel do because of the positions they hold in the organization. In addition, leaders' informal networks bring them greater social power, which separates leaders from nonleaders (Chiu, Balkundi, & Weinberg, 2017).

Personal power is the influence capacity a leader derives from being seen by followers as likable and knowledgeable. When leaders act in ways that are important to followers, it gives leaders power. For example, some managers have power because their followers consider them to be good role models. Others have power because their followers view them as highly competent or considerate. In both cases, these managers' power is ascribed to them by others, based on how they are seen in their relationships with others. Personal power includes referent and expert power (Table 1.2).

In discussions of leadership, it is not unusual for leaders to be described as wielders of power, as individuals who dominate others. In these instances, power is conceptualized as a tool that leaders use to achieve their own ends. Contrary to this view of power, Burns (1978) emphasized power from a relationship standpoint. For Burns, power is not an entity that leaders use over others to achieve their own ends; instead, power occurs in relationships. It should be used by leaders and followers to promote their collective goals.

In this text, our discussions of leadership treat power as a relational concern for both leaders and followers. We pay attention to how leaders work with followers to reach common goals.

Leadership and Coercion

Coercive power is one of the specific kinds of power available to leaders. Coercion involves the use of force to effect change. *To coerce* means to influence others to do something against their will and may include manipulating penalties and rewards in their work environment. Coercion often involves the use of threats, punishment, and negative reward schedules and is most often seen as a characteristic of the dark side of leadership. Classic examples of coercive leaders are Adolf Hitler in Germany, the Taliban leaders in Afghanistan, Jim Jones in Guyana, and Philippine president Rodrigo Duterte, each of whom used power and restraint to force followers to engage in extreme behaviors. At an extreme, coercion combines with other bullying and tyrannical behaviors known as abusive supervision (Tepper, 2007).

It is important to distinguish between coercion and leadership because it allows us to separate out from our examples of leadership the behaviors of individuals such as Hitler, the Taliban, and Jones. In our discussions of leadership, coercive people are not used as models of ideal leadership. Our definition suggests that leadership is reserved for those who influence a group of individuals toward a common goal. Leaders who use coercion are interested in their own goals and seldom are interested in the wants and needs of followers. Using coercion runs counter to working *with* followers to achieve a common goal.

Leadership and Morality

In considering the relationship of leadership and morality, let's start with a simple question: Do you agree or disagree with the following statement?

Hitler's rule in Germany could be considered a good example of leadership.

Throughout the United States and around the world, in classroom discussions of leadership, the question about whether or not Adolf Hitler was a “great” leader inevitably comes up. Your response to this statement is intended to bring out whether your conceptualization of leadership includes a moral dimension or if you think that leadership is a neutral concept that treats leadership as amoral.

If you answered *agree* to the statement, you probably come down on the side of thinking the phenomenon of leadership is neutral, or amoral. You might think it is obvious that Hitler *was* a leader because he was very charismatic and persuasive and his actions had a huge impact on Germany and the world. On the other hand, if you answered *disagree*, you most likely think of Hitler's leadership as being in no way positive and that the notion of Hitler as a model of leadership is repugnant because you reserve the concept of leadership for nondestructive leaders who create change for the common good. That is, you believe leadership cannot be divorced from values; it is a moral phenomenon and has a moral component.

For as long as leadership has been studied, the debate of whether or not leadership has a moral dimension has been a focus of leadership scholars. It is an important debate because it gets at the core of what we think the phenomenon of leadership actually entails. How we define leadership is central to how we talk about leadership, how we develop the components of leadership, how we research it, and how we teach it.

There are two trains of thought regarding the role of values and morality in leadership: Leadership is either (1) a *value-neutral process* that *is not* guided or dependent on a value system that advances the common good or (2) a *moral process* that *is* guided and dependent on values promotive of the common good.

Leadership as a Value-Neutral Process

It is common for people to think of leadership as a value-neutral concept—one that is not tied to morality. From this perspective, leadership can be used for good ends or bad, and can be employed both by individuals who have worthy intentions and by those who do not. For example, moral leaders like Mother Teresa, Nelson Mandela, and Martin Luther King Jr. used leadership for good. On the other hand, Adolf Hitler, Pol Pot, and Idi Amin used leadership destructively. Common to all of these examples is that these leaders used leadership to influence followers to move toward and accomplish certain goals. The only difference is that some leaders used leadership in laudatory ways while others used leadership in highly destructive ways.

A classic historical example of treating leadership as an amoral concept can be found in Niccolò Machiavelli's *The Prince* (c. 1505; Nederman, 2019). In this book,

Machiavelli philosophizes that moral values need not play a role in decision making; instead, leaders should concentrate on using power to achieve their goals. Their focus should be on the ends, or consequences, of their leadership and need not be about the means. Machiavelli endorsed leaders' use of fear and deception, if necessary, to accomplish tasks; he was concerned with the pragmatics of what leaders do and not the rightness or wrongness of a leader's actions (Nederman, 2019).

There are an abundance of definitions of leadership, and most of these treat the concept of morality in a neutral fashion (e.g., Rost's 1991 analysis of 221 definitions of leadership). These definitions do not require that leadership result in only positive outcomes. To use a specific example, Padilla (2013) defines leadership as "an organized group process with associated goals resulting in a set of outcomes" (p. 12), which involves a leader, followers, and contexts. Based on this perspective, leadership is value neutral and can be used for constructive or destructive ends. Hitler was very successful at influencing others to accomplish his goals, which were horrendously destructive. How he did this could be called leadership, the process itself being value neutral.

Leadership as a Moral Process

In contrast to describing leadership as a neutral process, some in the field of leadership argue (as we do in this chapter) that leadership has a value dimension—it is about influencing others to make changes *to achieve a common good*. From this perspective, Hitler, who thwarted the common good, *cannot* be considered a "great" leader.

One of the first scholars to conceptualize leadership as a moral process was James MacGregor Burns in his book *Leadership* (1978). For Burns, leadership is about raising the motivations and moral levels of followers. He argued it is the responsibility of a leader to help followers assess their own values and needs in order to raise them to a higher level of functioning, to a level that will stress values such as liberty, justice, and equality (Ciulla, 2014). Burns (2003) argued that values are central to what leaders do.

Expanding on Burns, Bass (1985) developed a model of leadership (see Chapter 8, "Transformational Leadership") that delineated transforming leadership, a kind of leadership that affects the level of values of followers. Because it is difficult to use the term *transformational leadership* when describing a leader such as Adolf Hitler, the term *pseudotransformational leadership* was coined by Bass to refer to leaders who focus on their own personal goals over the common good and are self-consumed, exploitive, and power-oriented, with warped moral values (Bass & Riggio, 2006; Bass & Steidlmeier, 1999). In contrast to pseudotransformational leadership, "real" or "ideal" transformational leadership is described as socialized leadership—leadership that is concerned with the collective good. Socialized leaders transcend their own interests for the sake of others (Howell & Avolio, 1993).

Additionally, morals have a central role in two established leadership theories, *authentic leadership* and *servant leadership*. Authentic leadership (see Chapter 9) is an extension of transformational leadership, stressing that leaders do what is "right" and "good" for their followers and society. They understand their own values, place

followers' needs above their own, and work with followers to align their interests in order to create a greater common good. Similarly, servant leadership has a strong moral dimension. It makes altruism the central component of the leadership process and frames leadership around the principle of caring for others. Within this paradigm, leaders are urged to *not* dominate, direct, or control others; they are urged to give up control rather than seek control.

Referring back to the question about whether you agree or disagree that Hitler is an example of leadership, your answer has to be predicated on what you think leadership is. If you think leadership is a neutral process that does not have a moral requirement, then Hitler is an example of leadership. On the other hand, if you think leadership includes ethical considerations such as elevating the morals, values, and goals of followers to make more principled judgments (Burns, 1978), then Hitler is not an example of leadership. In this view, he was nothing more than a despotic, Machiavellian autocrat and an evil dictator responsible for the imprisonment, abuse, and execution of millions of innocent people and the unprovoked origin of World War II—the deadliest armed conflict in history.

Leadership and Management

Leadership is a process that is similar to management in many ways. Leadership involves influence, as does management. Leadership entails working with people, which management entails as well. Leadership is concerned with effective goal accomplishment, and so is management. In general, many of the functions of management are activities that are consistent with the definition of leadership we set forth at the beginning of this chapter.

But leadership is also different from management. Whereas the study of leadership can be traced back to Aristotle, management emerged around the turn of the 20th century with the advent of our industrialized society. Management was created as a way to reduce chaos in organizations, to make them run more effectively and efficiently. The primary functions of management, as first identified by Fayol (1916), were planning, organizing, staffing, and controlling. These functions are still representative of the field of management today.

In a book that compared the functions of management with the functions of leadership, Kotter (1990) argued that they are quite dissimilar (Table 1.3). The overriding function of management is to provide order and consistency to organizations, whereas the primary function of leadership is to produce change and movement. Management is about seeking order and stability; leadership is about seeking adaptive and constructive change.

As illustrated in Table 1.3, the major activities of management are played out differently than the activities of leadership. Although they are different in scope, Kotter (1990, pp. 7–8) contended that both management and leadership are essential if an organization is to prosper. For example, if an organization has strong management

TABLE 1.3 ■ Functions of Management and Leadership	
Management Produces Order and Consistency	Leadership Produces Change and Movement
<p>Planning and Budgeting</p> <ul style="list-style-type: none"> Establish agendas Set timetables Allocate resources 	<p>Establishing Direction</p> <ul style="list-style-type: none"> Create a vision Clarify the big picture Set strategies
<p>Organizing and Staffing</p> <ul style="list-style-type: none"> Provide structure Make job placements Establish rules and procedures 	<p>Aligning People</p> <ul style="list-style-type: none"> Communicate goals Seek commitment Build teams and coalitions
<p>Controlling and Problem Solving</p> <ul style="list-style-type: none"> Develop incentives Generate creative solutions Take corrective action 	<p>Motivating and Inspiring</p> <ul style="list-style-type: none"> Inspire and energize Empower followers Satisfy unmet needs

Source: Adapted from *A Force for Change: How Leadership Differs From Management* (pp. 3–8), by J. P. Kotter, 1990, New York, NY: Free Press.

without leadership, the outcome can be stifling and bureaucratic. Conversely, if an organization has strong leadership without management, the outcome can be meaningless or misdirected change for change’s sake. To be effective, organizations need to nourish both competent management and skilled leadership.

Many scholars, in addition to Kotter (1990), argue that leadership and management are distinct constructs. For example, Bennis and Nanus (2007) maintained that there is a significant difference between the two. *To manage* means to accomplish activities and master routines, whereas *to lead* means to influence others and create visions for change. Bennis and Nanus made the distinction very clear in their frequently quoted sentence, “Managers are people who do things right and leaders are people who do the right thing” (p. 221).

Rost (1991) has also been a proponent of distinguishing between leadership and management. He contended that leadership is a multidirectional influence relationship and management is a unidirectional authority relationship. Whereas leadership is concerned with the process of developing mutual purposes, management is directed toward coordinating activities to get a job done. Leaders and followers work together to create real change, whereas managers and subordinates join forces to sell goods and services (Rost, 1991, pp. 149–152).

In a recent study, Simonet and Tett (2012) explored how best to conceptualize leadership and management by having 43 experts identify the overlap and differences between leadership and management in regard to 63 different competencies. They found a large number of competencies (22) descriptive of both leadership and

management (e.g., productivity, customer focus, professionalism, and goal setting), but they also found several unique descriptors for each. Specifically, they found leadership was distinguished by motivating intrinsically, creative thinking, strategic planning, tolerance of ambiguity, and being able to read people, and management was distinguished by rule orientation, short-term planning, motivating extrinsically, orderliness, safety concerns, and timeliness.

Approaching the issue from a narrower viewpoint, Zaleznik (1977) went so far as to argue that leaders and managers themselves are distinct, and that they are basically different types of people. He contended that managers are reactive and prefer to work with people to solve problems but do so with low emotional involvement. They act to limit choices. Zaleznik suggested that leaders, on the other hand, are emotionally active and involved. They seek to shape ideas instead of responding to them and act to expand the available options to solve long-standing problems. Leaders change the way people think about what is possible.

Although there are clear differences between management and leadership, the two constructs overlap. When managers are involved in influencing a group to meet its goals, they are involved in leadership. When leaders are involved in planning, organizing, staffing, and controlling, they are involved in management. Both processes involve influencing a group of individuals toward goal attainment. For purposes of our discussion in this book, we focus on the leadership process. In our examples and case studies, we treat the roles of managers and leaders similarly and do not emphasize the differences between them.

PLAN OF THE BOOK

This book is user-friendly. It is based on substantive theories but is written to emphasize practice and application. Each chapter in the book follows the same format. The first section of each chapter briefly describes the leadership approach and discusses various research studies applicable to the approach. The second section of each chapter evaluates the approach and how it works. The subsequent sections describe the strengths and weaknesses of each approach, discuss its application in the real world, present case studies about the approach, and provide a self-assessment leadership questionnaire. Each chapter ends with a summary and references.

CASE STUDIES

Case 1.1 is provided to illustrate different dimensions of leadership as well as allow you to examine your own perspective on what defines a leader and leadership. At the end of the case, you will find questions that will help in analyzing the case.

Case 1.1 Three Leaders

PASTOR CALVIN REED—ORCHARD PARK CHAPLAIN

Orchard Park is a privately owned retirement facility serving 130 residents. In addition to providing amenities such as a salon, a library, dining, a theater, activities, transportation, and a café, Orchard Park provides a nondenominational chaplain for the residents. The current chaplain is Calvin Reed, a retired pastor. He is 81 years old and treats his position as a full-time job. Orchard Park residents address him as Pastor Cal and often call on him for a wide range of concerns. The company that owns the facility pays Calvin a very minimal salary. He has worked for Orchard Park for 15 years, but for some reason, neither his name nor his photo is listed in the facility's directory.

Pastor Cal wears many hats at Orchard Park. To begin with, he is responsible for developing and delivering a religious service every Sunday for residents of all faiths. He attends the retirement center's social gatherings every Wednesday to engage with residents and celebrate life, but also to listen to their concerns. Pastor Cal has a background in counseling and regularly provides private sessions to residents and their family members. Furthermore, Pastor Cal willingly conducts funerals, as many as two every month.

Retirement homes throughout the country are known to have thin profit margins. The fact that Orchard Park has Pastor Cal, who is willing to receive next to nothing in salary, is a real blessing. This is especially the case when one considers how much Pastor Cal has improved the quality of the retirement home and its residents' lives. He is a positive person who gives residents a sense of security; they feel less anxious knowing that a spiritual leader is available to address their concerns. Many of the residents are in their 90s and have apprehensions about death. Pastor Cal is invaluable because he is able and willing to address their fears and end-of-life worries. If you asked Pastor Cal why he spends so much time serving Orchard Park, he would most likely respond, "It gives me meaning and purpose and a few bucks to take my wife out for dinner."

DAVID SMITH—BUSINESS "TURNAROUND" SPECIALIST

David Smith is a successful businessman known by his colleagues and people in the community as a competent and shrewd "turnaround" expert. He seeks out and buys companies that are failing and uses his skills to make these businesses successful. In his career, he has bought nearly a dozen troubled or distressed companies, implemented strategies to turn them around, and put them on a more profitable track.

David has a knack for spotting companies that could flourish under the right leadership. He brings a fresh set of eyes to these companies, identifying the root problems that exist, and making effective changes to fix the problems often on a short timeline.

David is an effective problem solver whose skills are ideally suited to accomplish successful turnarounds. The people who work with David describe him as decisive and objective. If the vision of the company needs to be changed, David changes it. If the production process appears problematic, he is quick to redesign it. If workers' efforts are not aligned with his vision, he is comfortable firing them. Although workers do not always like David's style, they go along with his demands because they view him as a leader capable of turning things around.

ELENA RUIZ—HEAD OF PRIVATE SCHOOL

Elena Ruiz is tall, is of slight build, and has a buoyant smile. Every school day, she can be seen standing on the sidewalk in front of Madison School, greeting students when they get off the school bus in the morning and telling them goodbye as they get on the school bus in the afternoon. Elena's dog, Shelby, is always by her side in sun, rain, or snow. A two-year-old Airedale Terrier, Shelby happily receives petting from the students who want to say hello. This scene of Elena and her dog captures the essence of what Madison School is about—it is welcoming, friendly, and a safe place to be.

Madison School was created 15 years ago by a group of parents who decided to create a faith-based, private elementary school to serve children from diverse backgrounds. They selected Elena, who has a doctoral degree in educational leadership, to be the head of the new school and lead this effort. Starting in an old, abandoned city school building with 70 students, Madison School's reputation for being a school of excellence grew rapidly. The original structure was expanded twice to add four new classes. Because many city schools were experiencing shrinking enrollments, the expansion of Madison School stood out, suggesting something special was happening there.

As its leader since its inception, Elena is recognized as the prime reason for the success and growth of the school. She sees her role as partnering with teachers, staff, and parents to shape the school environment and curriculum to fully engage the minds of students. Of the many contributions she has made, her most important are the values and norms she has instituted and set in motion at the school. For example, if you were to visit Madison School during school hours, students from first or second grade would greet you in the hallway, introduce themselves, and welcome you. Everyone who visits the school gets this treatment. In addition to making the visitor feel welcomed, it is a way to engage students and help them with their self-presentation skills.

For Elena, diversity and inclusion are primary school values. For example, 49% of the school's students are from diverse backgrounds. Because tuition is charged to attend Madison School, the school has created an endowment that provides tuition

assistance to families in need. More than half of the 250 students attending the school receive tuition support. Overall, parents cannot say enough positive things about the school. For example, one mother praises the school for its observance of Martin Luther King Jr. Day. In addition to doing in-house programs on King's life and his famous "I Have a Dream" speech, the school has a half-day event where all students create signs and posters about King and then march in the neighborhood to commemorate the Selma-to-Montgomery protest march for civil rights that King led. Another mother talks about how Elena was willing to admit her son to Madison School in the middle of the semester after he had been expelled by a local public school for excessive fighting on the playground. She and others see these efforts as evidence of Elena's and the school's commitment that every student at the school will know they are accepted and that they belong.

QUESTIONS

1. Using the definition of leadership in this chapter, describe how each of these individuals exhibits leadership. What groups are they trying to influence? What common goals are they trying to achieve?
2. Based on the "Ways of Conceptualizing Leadership" section in this chapter, how would you define the leadership of Calvin Reed, David Smith, and Elena Ruiz?
3. If you could be like one of these leaders, which one would you aspire to be? Discuss your answer.
4. Based on our discussion of morality and leadership in this chapter, do you think leadership has a moral dimension, or is it a value-neutral process? How would you describe the moral dimension of each of these three leaders' leadership?
5. Leadership is about serving the common good. How would you assess each case regarding how they served the common good?

LEADERSHIP INSTRUMENT

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

Which dimension seems closest to how you think of leadership? How would you define leadership? Answers to these questions are important because *how you think* about leadership will strongly influence *how you practice* leadership. In this section, the Conceptualizing Leadership Questionnaire is provided as an example of a measure that can be used to assess how you define and view leadership.

Conceptualizing Leadership Questionnaire

Purpose: To identify how you view leadership and to explore your perceptions of different aspects of leadership

Instructions: Using the scale provided, indicate the extent to which you agree or disagree with the following statements about leadership.

Key: 1 = Strongly disagree 2 = Disagree 3 = Neutral 4 = Agree 5 = Strongly agree

- | | | | | | | |
|-----|-------------------------------------------------------------------------------------------------------------------|---|---|---|---|---|
| 1. | When I think of leadership, I think of a person with special personality traits. | 1 | 2 | 3 | 4 | 5 |
| 2. | Much like playing the piano or tennis, leadership is a learned ability. | 1 | 2 | 3 | 4 | 5 |
| 3. | Leadership requires knowledge and know-how. | 1 | 2 | 3 | 4 | 5 |
| 4. | Leadership is about what people do rather than who they are. | 1 | 2 | 3 | 4 | 5 |
| 5. | Followers can influence the leadership process as much as leaders. | 1 | 2 | 3 | 4 | 5 |
| 6. | Leadership is about the process of influencing others. | 1 | 2 | 3 | 4 | 5 |
| 7. | Some people are born to be leaders. | 1 | 2 | 3 | 4 | 5 |
| 8. | Some people have the natural ability to be leaders. | 1 | 2 | 3 | 4 | 5 |
| 9. | The key to successful leadership is having the right skills. | 1 | 2 | 3 | 4 | 5 |
| 10. | Leadership is best described by what leaders do. | 1 | 2 | 3 | 4 | 5 |
| 11. | Leaders and followers share in the leadership process. | 1 | 2 | 3 | 4 | 5 |
| 12. | Leadership is a series of actions directed toward positive ends. | 1 | 2 | 3 | 4 | 5 |
| 13. | A person needs to have certain traits to be an effective leader. | 1 | 2 | 3 | 4 | 5 |
| 14. | Everyone has the capacity to be a leader. | 1 | 2 | 3 | 4 | 5 |
| 15. | Effective leaders are competent in their roles. | 1 | 2 | 3 | 4 | 5 |
| 16. | The essence of leadership is performing tasks and dealing with people. | 1 | 2 | 3 | 4 | 5 |
| 17. | Leadership is about the common purposes of leaders and followers. | 1 | 2 | 3 | 4 | 5 |
| 18. | Leadership does not rely on the leader alone but is a process involving the leader, followers, and the situation. | 1 | 2 | 3 | 4 | 5 |
| 19. | People become great leaders because of their traits. | 1 | 2 | 3 | 4 | 5 |
| 20. | People can develop the ability to lead. | 1 | 2 | 3 | 4 | 5 |
| 21. | Effective leaders have competence and knowledge. | 1 | 2 | 3 | 4 | 5 |
| 22. | Leadership is about how leaders work with people to accomplish goals. | 1 | 2 | 3 | 4 | 5 |
| 23. | Effective leadership is best explained by the leader–follower relationship. | 1 | 2 | 3 | 4 | 5 |
| 24. | Leaders influence and are influenced by followers. | 1 | 2 | 3 | 4 | 5 |

SCORING

1. Sum scores on items 1, 7, 13, and 19 (trait emphasis)
2. Sum scores on items 2, 8, 14, and 20 (ability emphasis)
3. Sum scores on items 3, 9, 15, and 21 (skill emphasis)
4. Sum scores on items 4, 10, 16, and 22 (behavior emphasis)
5. Sum scores on items 5, 11, 17, and 23 (relationship emphasis)
6. Sum scores on items 6, 12, 18, and 24 (process emphasis)

TOTAL SCORES

1. Trait emphasis: _____
2. Ability emphasis: _____
3. Skill emphasis: _____
4. Behavior emphasis: _____
5. Relationship emphasis: _____
6. Process emphasis: _____

SCORING INTERPRETATION

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

SUMMARY

Leadership is a topic with universal appeal; in the popular press and academic research literature, much has been written about leadership. Despite the abundance of writing on the topic, leadership has presented a major challenge to practitioners and researchers interested in understanding the nature of leadership. It is a highly valued phenomenon that is very complex.

Through the years, leadership has been defined and conceptualized in many ways. The component common to nearly all classifications is that leadership is an influence process that assists groups of individuals toward goal attainment. Specifically in this book, leadership is defined as a process whereby an individual influences a group of individuals to achieve a common goal.

Because both leaders and followers are part of the leadership process, it is important to address issues that confront followers as well as issues that confront leaders. Leaders and followers should be understood in relation to each other.

In prior research, many studies have focused on leadership as a trait. The trait perspective suggests that certain people in our society have special innate qualities that make them leaders. This view restricts leadership to those who are believed to have special characteristics. In contrast, the approach in this text suggests that leadership is a process that can be learned, and that it is available to everyone.

Two common forms of leadership are *assigned* and *emergent*. *Assigned leadership* is based on a formal title or position in an organization. *Emergent leadership* results from what one does and how one acquires support from followers. Leadership, as a process, applies to individuals in both assigned roles and emergent roles.

Related to leadership is the concept of power, the potential to influence. There are two major kinds of power: position and personal. *Position* power, which is much like assigned leadership, is the power an individual derives from having a title in a formal organizational system. It includes legitimate, reward, information, and coercive power. *Personal* power comes from followers and includes referent and expert power. Followers give it to leaders because followers believe leaders have something of value. Treating power as a shared resource is important because it de-emphasizes the idea that leaders are power wielders.

While coercion has been a common power brought to bear by many individuals in charge, it should not be viewed as ideal leadership. Our definition of leadership stresses *using influence* to bring individuals toward a common goal, while coercion involves the use of threats and punishment to *induce change* in followers for the sake of the leaders. Coercion runs counter to leadership because it does not treat leadership as a process that emphasizes working *with* followers to achieve shared objectives.

There are two trains of thought regarding leadership and morality. Some argue that leadership is a *value-neutral process* that can be used by leaders for good and bad ends and would treat Hitler as an example of strong leadership. Others contend that leadership is a *moral process* that involves influencing others to achieve a common good. From this perspective, Hitler would not be an example of leadership.

Leadership and management are different concepts that overlap. They are different in that management traditionally focuses on the activities of planning, organizing, staffing, and controlling, whereas leadership emphasizes the general influence process. According to some researchers, management is concerned with creating order and stability, whereas leadership is about adaptation and constructive change. Other researchers go so far as to argue that managers and leaders are different types of people, with managers being more reactive and less emotionally involved and leaders being more proactive and more emotionally involved. The overlap between leadership and management is centered on how both involve influencing a group of individuals in goal attainment.

In this book, we discuss leadership as a complex process. Based on the research literature, we describe selected approaches to leadership and assess how they can be used to improve leadership in real situations.

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2

TRAIT APPROACH

DESCRIPTION

Of interest to scholars throughout the 20th century, the trait approach was one of the first systematic attempts to study leadership. In the early 20th century, leadership traits were studied to determine what made certain people great leaders. The theories that were developed were called “great man” theories because they focused on identifying the innate qualities and characteristics possessed by great social, political, and military leaders (e.g., Catherine the Great, Mohandas Gandhi, Indira Gandhi, Abraham Lincoln, Joan of Arc, and Napoleon Bonaparte). It was believed that people were born with these traits, and that only the “great” people possessed them. During this time, research concentrated on determining the specific traits that clearly differentiated leaders from followers (Bass, 2008; Jago, 1982).

In the mid-20th century, the trait approach was challenged by research that questioned the universality of leadership traits. In a major review, Stogdill (1948) suggested that no consistent set of traits differentiated leaders from nonleaders across a variety of situations. An individual with leadership traits who was a leader in one situation might not be a leader in another situation. Rather than being a quality that individuals possess, leadership was reconceptualized as a relationship between people in a social situation. Personal factors related to leadership continued to be important, but researchers contended that these factors were to be considered as relative to the requirements of the situation.

The trait approach has generated much interest among researchers for its explanation of how traits influence leadership (Bryman, 1992). For example, Kirkpatrick and Locke (1991) went so far as to claim that effective leaders are actually distinct types of people. Lord, DeVader, and Alliger (1986) found that traits were strongly associated with individuals’ perceptions of leadership. More recently, Dinh and Lord (2012) examined the relationship between leadership effectiveness and followers’ perception of leadership traits.

The trait approach has earned new interest through the current emphasis given by many researchers to visionary and charismatic leadership (see Bass, 2008; Bennis & Nanus, 2007; Jacquart & Antonakis, 2015; Nadler & Tushman, 2012; Zaccaro, 2007; Zaleznik, 1977). Charismatic leadership catapulted to the forefront

of public attention with the 2008 election of the United States' first Black president, Barack Obama, who is perceived by many to be charismatic, among many other attributes. In a study to determine what distinguishes charismatic leaders from others, Jung and Sosik (2006) found that charismatic leaders consistently possess traits of self-monitoring, engagement in impression management, motivation to attain social power, and motivation to attain self-actualization. In short, the trait approach is alive and well. It began with an emphasis on identifying the qualities of great persons, shifted to include the impact of situations on leadership, and, currently, has shifted back to reemphasize the critical role of traits in effective leadership.

When discussing the trait approach, it is important to define what is meant by traits. Traits refer to a set of distinctive characteristics, qualities, or attributes that describe a person. They are inherent and relatively unchanging over time. Taken together, traits are the internal factors that comprise our personality and make us unique. Because traits are derived from our personality and are fundamentally fixed, this chapter will not emphasize how people can use this approach to develop or change their leadership. Instead, the focus of the chapter will be on identifying leaders' traits and the overall role of traits in leadership.

While research on traits spanned the entire 20th century, a good overview of the approach is found in two surveys completed by Stogdill (1948, 1974). In his first survey, Stogdill analyzed and synthesized more than 124 trait studies conducted between 1904 and 1947. In his second study, he analyzed another 163 studies completed between 1948 and 1970. By taking a closer look at each of these reviews, we can obtain a clearer picture of how individuals' traits contribute to the leadership process.

Stogdill's first survey identified a group of important leadership traits that were related to how individuals in various groups became leaders. His results showed that an average individual in a leadership role is different from an average group member with regard to the following eight traits: intelligence, alertness, insight, responsibility, initiative, persistence, self-confidence, and sociability.

The findings of Stogdill's first survey also indicated that an individual does not become a leader solely because that individual possesses certain traits. Rather, the traits that leaders possess must be relevant to situations in which the leader is functioning. As stated earlier, leaders in one situation may not necessarily be leaders in another situation. Findings showed that leadership was not a passive state but resulted from a working relationship between the leader and other group members. This research marked the beginning of a new approach to leadership research that focused on leadership behaviors and leadership situations.

Stogdill's second survey, published in 1974, analyzed 163 new studies and compared the findings of these studies to the findings he had reported in his first survey. The second survey was more balanced in its description of the role of traits and

leadership. Whereas the first survey implied that leadership is determined principally by situational factors and not traits, the second survey argued more moderately that both traits and situational factors were determinants of leadership. In essence, the second survey validated the original trait idea that a leader's characteristics are indeed a part of leadership.

Similar to the first survey, Stogdill's second survey identified traits that were positively associated with leadership. The list included the following 10 characteristics:

1. Drive for responsibility and task completion
2. Vigor and persistence in pursuit of goals
3. Risk-taking and originality in problem solving
4. Drive to exercise initiative in social situations
5. Self-confidence and sense of personal identity
6. Willingness to accept consequences of decision and action
7. Readiness to absorb interpersonal stress
8. Willingness to tolerate frustration and delay
9. Ability to influence other people's behavior
10. Capacity to structure social interaction systems to the purpose at hand

Mann (1959) conducted a similar study that examined more than 1,400 findings regarding traits and leadership in small groups, but he placed less emphasis on how situational factors influenced leadership. Although tentative in his conclusions, Mann suggested that certain traits could be used to distinguish leaders from nonleaders. His results identified leaders as strong in the following six traits: intelligence, masculinity, adjustment, dominance, extraversion, and conservatism.

Lord et al. (1986) reassessed Mann's (1959) findings using a more sophisticated procedure called meta-analysis and found that intelligence, masculinity, and dominance were significantly related to how individuals perceived leaders. (It's important to note that both of these studies were conducted during periods in American history where male leadership was prevalent in most aspects of business and society.) From their findings, the authors argued strongly that traits could be used to make discriminations consistently across situations between leaders and nonleaders.

Yet another review argued for the importance of leadership traits: Kirkpatrick and Locke (1991, p. 59) contended that "it is unequivocally clear that leaders are

not like other people.” From a qualitative synthesis of earlier research, Kirkpatrick and Locke postulated that leaders differ from nonleaders on six traits: drive, motivation, integrity, confidence, cognitive ability, and task knowledge. According to these writers, individuals can be born with these traits, they can learn them, or both. It is these six traits that make up the “right stuff” for leaders. Kirkpatrick and Locke asserted that leadership traits make some people different from others, and this difference should be recognized as an important part of the leadership process.

In the 1990s, researchers began to investigate the leadership traits associated with “social intelligence,” which is characterized as the ability to understand one’s own and others’ feelings, behaviors, and thoughts and act appropriately (Marlowe, 1986). Zaccaro (2002) defined social intelligence as having such capacities as social awareness, social acumen, self-monitoring, and the ability to select and enact the best response given the contingencies of the situation and social environment. A number of empirical studies showed these capacities to be a key trait for effective leaders. Zaccaro, Kemp, and Bader (2017) included such social abilities in the categories of leadership traits they outlined as important leadership attributes (Table 2.1).

Table 2.1 provides a summary of the traits and characteristics that were identified by researchers from the trait approach. It illustrates clearly the breadth of traits related to leadership. Table 2.1 also shows how difficult it is to select certain traits as definitive leadership traits; some of the traits appear in several of the survey studies, whereas others appear in only one or two studies. Regardless of the lack of precision in Table 2.1, however, it represents a general convergence of research regarding which traits are leadership traits.

Over the past 10 years, interest in leader traits has experienced a renaissance. Zaccaro, Green, Dubrow, and Kolze (2018) found that basic personality traits and capacities contribute to who emerges as a leader and one’s effectiveness as a leader.

What, then, can be said about trait research? What has a century of research on the trait approach given us that is useful? The answer is an extended list of traits that individuals might hope to possess or wish to cultivate if they want to be perceived by others as leaders. Some of the traits that are central to this list include intelligence, self-confidence, determination, integrity, and sociability (Table 2.2).

Intelligence

Intelligence or intellectual ability is positively related to leadership (Sternberg, 2004). Based on their analysis of a series of recent studies on intelligence and various indices of leadership, Zaccaro et al. (2017) found support for the finding that leaders tend to have higher intelligence than nonleaders. Having strong verbal, perceptual, and reasoning abilities appears to make one a better leader (Jacquart & Antonakis, 2015). Although it is good to be bright, if the leader’s IQ is very different from that of the followers, it can

TABLE 2.1 ■ Studies of Leadership Traits and Characteristics

Stogdill (1948)	Mann (1959)	Stogdill (1974)	Lord, DeVader, and Alliger (1986)	Kirkpatrick and Locke (1991)	Zaccaro, Kemp, and Bader (2017)
intelligence alertness insight responsibility initiative persistence self-confidence sociability	intelligence masculinity adjustment dominance extraversion conservatism	achievement persistence insight initiative self-confidence responsibility cooperativeness tolerance influence sociability	intelligence masculinity dominance	drive motivation integrity confidence cognitive ability task knowledge	cognitive ability extraversion conscientiousness emotional stability openness agreeableness motivation social intelligence self-monitoring emotional intelligence problem solving

Sources: Adapted from "The Bases of Social Power," by J. R. P. French Jr. and B. Raven, 1962, in D. Cartwright (Ed.), *Group Dynamics: Research and Theory* (pp. 259–269), New York, NY: Harper & Row; Zaccaro, Kemp, & Bader (2004).

TABLE 2.2 ■ Major Leadership Traits

Intelligence Self-confidence Determination	Integrity Sociability
--------------------------------------------------	--------------------------

have a counterproductive impact on leadership. Leaders with higher abilities may have difficulty communicating with followers because they are preoccupied or because their ideas are too advanced for their followers to accept.

In a study of the relationship between intelligence and perceived leadership in midlevel leaders from multinational companies, Antonakis, House, and Simonton (2017) found that the optimal IQ for perceived leadership appeared to be just over one standard deviation above the mean IQ of the group membership. Their study found a curvilinear relationship between IQ and perceived leadership—that is, as IQ increased, so did perceived leadership to a point, and then the IQ had a negative impact on leadership. Stated another way, it is good for leaders to be intelligent, but if their intelligence scores become too high, the benefits appear to taper off and can become negative.

An example of a leader for whom intelligence was a key trait was Steve Jobs, founder and CEO of Apple, who died in 2011. Jobs once said, “I have this really incredible product inside me and I have to get it out” (Sculley, 2011, p. 27). Those visionary products, first the Apple II and Macintosh computers and then the iMac, iPod, iPhone, and iPad, revolutionized the personal computer and electronic device industry, changing the way people play and work.

In the next chapter of this text, which addresses leadership from a skills perspective, intelligence is identified as a trait that significantly contributes to a leader’s acquisition of complex problem-solving skills and social judgment skills. Intelligence is described as having a positive impact on an individual’s capacity for effective leadership.

Self-Confidence

Self-confidence is another trait that helps one to be a leader. Self-confidence is the ability to be certain about one’s competencies and skills. It includes a sense of self-esteem and self-assurance and the belief that one can make a difference. Leadership involves influencing others, and self-confidence allows leaders to feel assured that their attempts to influence others are appropriate and right.

Again, Steve Jobs is a good example of a self-confident leader. When Jobs described the devices he wanted to create, many people said they weren’t possible. But Jobs never doubted his products would change the world, and despite resistance, he did things the way he thought best. “Jobs was one of those CEOs who ran the company like he wanted to. He believed he knew more about it than anyone else, and he probably did,” said a colleague (Stone, 2011, p. 40).

Determination

Many leaders also exhibit determination. Determination is the desire to get the job done and includes characteristics such as initiative, persistence, dominance, and drive. People with determination are willing to assert themselves, are proactive, and have the capacity to persevere in the face of obstacles. Being determined includes showing dominance at times and in situations where followers need to be directed. Duckworth, Peterson, Matthews, and Kelly (2007) expanded the concept of determination and conducted research on “grit,” which measures the degree of perseverance toward goal attainment. Leaders with grit recover quickly from setbacks, not letting obstacles impede their success (Duckworth et al., 2007).

Dr. Paul Farmer showed determination in his efforts to secure health care and eradicate tuberculosis for the very poor of Haiti and other third world countries. He began his efforts as a recent college graduate, traveling and working in Cange, Haiti. While there, he was accepted to Harvard Medical School. Knowing that his work in Haiti was invaluable to his training, he managed to do both: spending months traveling back and forth between Haiti and Cambridge, Massachusetts, for school. His first effort in Cange was to establish a one-room clinic where he treated “all comers” and trained local health care workers. Farmer found that there was more to providing health care than just dispensing medicine: He secured donations to build schools, houses, and communal sanitation and water facilities in the region. He spearheaded vaccinations of all the children in the area, dramatically reducing malnutrition and infant mortality. To keep working in Haiti, he returned to America and founded Partners In Health, a charitable foundation that raises money to fund these efforts. Since its founding, PIH not only has succeeded in improving the health of many communities in Haiti but now has projects in 11 countries including Haiti, Mexico, Malawi, the Navajo Nation (U.S.), Peru, Liberia, Rwanda, and Mexico (Kidder, 2004; Partners In Health, 2023; see also Case 10.1).

Integrity

Integrity, another of the important leadership traits, is the quality of honesty and trustworthiness. People who adhere to a strong set of principles and take responsibility for their actions are exhibiting integrity. Leaders with integrity inspire confidence in others because they can be trusted to do what they say they are going to do. They are loyal, dependable, and not deceptive. Basically, integrity makes a leader believable and worthy of our trust.

In our society, integrity has received a great deal of attention in recent years. For example, former U.S. congressman George Santos, while campaigning for the position he was elected to, was found to have lied about graduating from college, his job experiences, and his Jewish heritage and to have used false pretenses to raise campaign funds. Similarly, scandals in the corporate world, such as the revelation that Boeing knew that its 737 Max aircraft had a critical software problem before that problem caused two of the planes to crash, killing 346 people, have led people to become skeptical

of leaders who are not highly ethical. In the educational arena, new K–12 curricula are being developed to teach character, values, and ethical leadership. (For instance, see the Character Counts! program developed by the Josephson Institute of Ethics in California at www.charactercounts.org, and the Pillars of Leadership program taught at the J. W. Fanning Institute for Leadership Development in Georgia at www.fanning.uga.edu.) In short, society is demanding greater integrity of character in its leaders.

Sociability

A final trait that is important for leaders is sociability. Sociability is a leader's inclination to seek out pleasant social relationships. Leaders who show sociability are friendly, outgoing, courteous, tactful, and diplomatic. They are sensitive to others' needs and show concern for others' well-being. Social leaders have good interpersonal skills and create cooperative relationships with their followers.

An example of a leader with great sociability skills is Michael Hughes, a university president. Hughes prefers to walk to all his meetings because it gets him out on campus where he greets students, staff, and faculty. He has lunch in the dorm cafeterias or student union and will often ask a table of strangers if he can sit with them. Students rate him as very approachable, while faculty say he has an open-door policy. In addition, he takes time to write personal notes to faculty, staff, and students to congratulate them on their successes.

Although our discussion of leadership traits has focused on five major traits (i.e., intelligence, self-confidence, determination, integrity, and sociability), this list is not all-inclusive. While other traits indicated in Table 2.1 are associated with effective leadership, the five traits we have identified contribute substantially to one's capacity to be a leader.

Until recently, most reviews of leadership traits have been qualitative. In addition, they have lacked a common organizing framework. However, the research described in the following section provides a quantitative assessment of leadership traits that is conceptually framed around the five-factor model of personality. It describes how five major personality traits are related to leadership.

Five-Factor Personality Model and Leadership

Over the past 25 years, a consensus has emerged among researchers regarding the basic factors that make up what we call personality (Goldberg, 1990; McCrae & Costa, 1987). These factors, commonly called the *Big Five*, are neuroticism, extraversion (surgency), openness (intellect), agreeableness, and conscientiousness (dependability) (Table 2.3).

To assess the links between the Big Five and leadership, Judge, Bono, Ilies, and Gerhardt (2002) conducted a major meta-analysis of 78 leadership and personality studies published between 1967 and 1998. In general, Judge et al. found a strong relationship between the Big Five traits and leadership. It appears that having certain personality traits is associated with being an effective leader.

TABLE 2.3 ■ Big Five Personality Factors

Neuroticism	The tendency to be depressed, anxious, insecure, vulnerable, and hostile
Extraversion	The tendency to be sociable and assertive and to have positive energy
Openness	The tendency to be informed, creative, insightful, and curious
Agreeableness	The tendency to be accepting, conforming, trusting, and nurturing
Conscientiousness	The tendency to be thorough, organized, controlled, dependable, and decisive

Source: Goldberg, L. R. (1990). An alternative "description of personality": The Big-Five factor structure. *Journal of Personality and Social Psychology*, 59, 1216–1229.

Specifically, in their study, *extraversion* was the factor most strongly associated with leadership. It is the most important trait of effective leaders. Extraversion was followed, in order, by *conscientiousness*, *openness*, and *low neuroticism*. The last factor, *agreeableness*, was found to be only weakly associated with leadership. In a more recent study, Sacket and Walmsley (2014) found that *conscientiousness* had the highest correlation with overall job performance, task performance, organizational citizenship behavior, and counterproductive work behavior (negative correlation). It was found to be the most frequently assessed trait in job interviews for a variety of occupations.

Strengths and Leadership

Very closely related to the traits approach is the more contemporary emphasis on strengths and leadership. The idea behind strengths leadership is that everyone has talents in which they excel or thrive and leaders are able to recognize and capitalize on not only their own strengths but those of their followers as well. A strength is defined as an attribute or quality of an individual that accounts for successful performance. Strength researchers (Buckingham & Clifton, 2001; Rath, 2007) suggest that strengths are the ability to consistently demonstrate exceptional work.

The seminal research in this area has been undertaken by the Gallup organization, which has spent more than 40 years identifying and assessing individual strengths or "themes of human talent" and designing and publishing the StrengthsFinder profile, now called CliftonStrengths assessment, an online assessment of people's talents and potential strengths. Talents are similar to personality traits—they are relatively stable, fixed characteristics that are not easily changed. From talents, strengths emerge. Strengths are derived from having certain talents and then further developing those talents by gaining additional knowledge, skills, and practice (Rath, 2007).

In the strengths perspective, extraordinary individuals are "distinguished less by their impressive 'raw power' than by their ability to identify their strengths and then

exploit them” (Gardner, 1997, p. 15). MacKie (2016) suggests that our leadership capability is enhanced when we are able to discover our fully utilized strengths, underutilized strengths, and weaknesses.

Strengths have also been of interest to researchers in the field of positive psychology who look at the best aspects in people, rather than their weaknesses. Most notably from this area of study, Peterson and Seligman (2004) developed a classification of character strengths originally called the Values in Action (VIA) Inventory (see Table 2.4).

Based on this classification, an individual’s strengths can be measured using the VIA Character Strengths Survey, which includes 24 strengths organized under six basic virtues. This survey identifies individuals’ top five character strengths as well as a rank order of their scores on all 24 character strengths. It takes about 10 minutes to complete and is available for free at www.viacharacter.org.

TABLE 2.4 ■ VIA Classification of Character Strengths and Virtues

Classification	Strengths
WISDOM & KNOWLEDGE <i>Cognitive Strengths</i>	1. Creativity 2. Curiosity 3. Open-mindedness 4. Love of learning 5. Perspective
COURAGE <i>Emotional Strengths</i>	6. Authenticity 7. Bravery 8. Perseverance 9. Zest
HUMANITY <i>Interpersonal Strengths</i>	10. Kindness 11. Love 12. Social intelligence
JUSTICE <i>Civic Strengths</i>	13. Fairness 14. Leadership 15. Teamwork
TEMPERANCE <i>Strengths Over Excess</i>	16. Forgiveness 17. Modesty 18. Prudence 19. Self-regulation
TRANSCENDENCE <i>Strengths About Meaning</i>	20. Appreciation of beauty and excellence 21. Gratitude 22. Hope 23. Humor 24. Religiousness

Source: Adapted from *A Primer in Positive Psychology*, by Christopher Peterson, 2006, pp. 142–146.

In recent years, there has been an increased interest in studying the way character strengths can be utilized to improve leaders and leadership in organizations. For example, Sosik, Chun, Ete, Arenas, and Scherer (2019) studied the character strengths of a sample of more than 200 U.S. Air Force officers and found that character strengths played a pivotal role in fostering leader performance and psychological flourishing. When leaders demonstrate high self-control along with high levels of honesty/humility, empathy, and moral courage, it appears to benefit their ethical leadership, psychological functioning, and role performance. In another study, Sosik, Gentry, and Chun (2012) assessed data for 191 top-level U.S. executives of for-profit and nonprofit organizations and found that the character strengths of integrity, bravery, and social intelligence were positively related to executive leader performance. In addition, they found integrity contributed the most to explaining the differences in executive performance. These studies, as well as others, underscore the importance of understanding character strengths and the role they play in leadership.

Emotional Intelligence

Another way of assessing the impact of traits on leadership is through the concept of emotional intelligence, which emerged in the 1990s as an important area of study in psychology. It has been widely studied by researchers and has captured the attention of many practitioners (Antonakis, Ashkanasy, & Dasborough, 2009; Caruso & Wolfe, 2004; Dasborough et al., 2022; Goleman, 1995, 1998; Mayer & Salovey, 1995, 1997; Mayer, Salovey, & Caruso, 2000; Shankman & Allen, 2015).

As the two words suggest, emotional intelligence has to do with our emotions (affective domain) and thinking (cognitive domain) and the interplay between the two. Whereas *intelligence* is concerned with our ability to learn *information* and apply it to life tasks, *emotional intelligence* is concerned with our ability to understand *emotions* and apply this understanding to life's tasks. Specifically, *emotional intelligence* can be defined as the ability to perceive and express emotions, to use emotions to facilitate thinking, to understand and reason with emotions, and to effectively manage emotions within oneself and in relationships with others (Mayer, Salovey, & Caruso, 2000).

There are different ways to measure emotional intelligence. One scale is the Mayer-Salovey-Caruso Emotional Intelligence Test (MSCEIT; Mayer, Caruso, & Salovey, 2000). The MSCEIT measures emotional intelligence as a set of mental abilities, including the abilities to perceive, facilitate, understand, and manage emotion. In general, the MSCEIT appears to have acceptable content validity and reliability (Boyatzis, 2019); however, a review of research on emotional intelligence found that the emotional intelligence levels in people assessed using this measure seem to be declining over time. Some posit that this may be due to initial studies of emotional intelligence overstating the findings (Gong & Jiao, 2019).

Goleman (1995, 1998) takes a broader approach to emotional intelligence, suggesting that it consists of a set of personal and social competencies. Personal competence consists of self-awareness, confidence, self-regulation, conscientiousness, and motivation. Social competence consists of empathy and social skills such as communication and conflict management.

Shankman and Allen (2015) developed a practice-oriented model of emotionally intelligent leadership, which suggests that leaders must be conscious of three fundamental facets of leadership: context, self, and others. In the model, emotionally intelligent leaders are defined by 21 capacities to which a leader should pay attention, including group savvy, optimism, initiative, and teamwork.

Unlike other traits we've discussed in this chapter, there is evidence that emotional intelligence is not a fixed characteristic; it can be improved through training that focuses on enabling leaders to label their emotions and then regulate them (Ashkanasy, Dasborough, & Ascough, 2009). One experiment compared leaders who received training to those who received no training (a control group). Those in the trained group exhibited improved emotional intelligence competencies and significantly improved outcomes: lower stress, higher morale, and improved civility (Slaski & Cartwright, 2003). Likewise, a meta-analysis of 58 studies of emotional intelligence training that included control groups showed a moderate positive effect for the training (Mattingly & Kraiger, 2019).

Goleman and Boyatzis (2017) articulated four broad aspects of emotional intelligence: self-awareness, self-management, social awareness, and relationship management. Goleman and Nevez (2018) suggest that individuals can improve their emotional intelligence by engaging in a combination of personal reflection and seeking feedback to the following questions:

What are the differences between how you see yourself and how others see you? This can help you to understand how your self-perception might differ from your reputation.

What matters to you? The areas of your emotional intelligence that you want to improve on should reflect the feedback you've gotten as well as your personal aspirations.

What changes will you make to achieve these goals? Identify specific actions to take to improve.

Many organizations also see emotional intelligence as a trait that can be changed and have adopted emotional intelligence training as part of their leadership development. For example, FedEx's Global Leadership Institute has an emotional intelligence training program for new managers that challenges these leaders to focus on the following every day at work:

Know yourself—increase self-awareness of emotions and reactions

Choose yourself—shift from unconscious reactions to intentional responses

Give yourself—align moment-to-moment decisions with a larger sense of purpose

A key principle of the training is that “emotions drive people, [and] people drive performance.” FedEx has tracked the improvements in managers’ emotional intelligence and reported an 8% to 11% increase in competencies due to the training—a statistically significant difference (Freedman, 2014).

In addition, the U.S. Army developed a brief internet-based training program for enhancing emotional intelligence. Because military personnel serve under dangerous and emotionally stressful conditions, the training was designed to help reduce the development of depression, anxiety, and/or posttraumatic stress disorder (PTSD). The training helped service members strengthen their emotional flexibility, adaptability, and coping by improving the ability to understand and control their emotions (Killgore, 2017).

There is a debate in the field regarding how big a role emotional intelligence plays in helping people be successful in life. Some researchers, such as Goleman (1995), suggested that emotional intelligence plays a major role in whether people are successful at school, home, and work. Others, such as Mayer, Salovey, and Caruso (2000) and Antonakis (2009), made softer claims for the significance of emotional intelligence in meeting life’s challenges. A major review of leadership research identifies “emotions in leadership” as a general category but does not specifically mention emotional intelligence (Dinh et al., 2014). It appears that emotional intelligence is not considered mainstream in leadership research. At the same time, Kotsou, Mikolajczak, Heeren, Grégoire, and Leys (2019) determined that the studies that have been done on the efficacy of emotional intelligence training have not included follow-up research to determine the long-term effects of such training.

A review of the literature by Ashkanasy and Daus (2002) summarizes what we can safely conclude: Emotional intelligence is distinct from, but positively related to, other intelligences (such as IQ). It is an individual difference; some people have more emotional intelligence than others. Emotional intelligence develops over a person’s lifetime and can be improved with training. Finally, it involves abilities to effectively identify and perceive emotion and the skills to understand and manage emotions.

In summary, emotional intelligence appears to play a role in the leadership process. The underlying premise suggested by the emotional intelligence framework is that people who are more sensitive to their emotions and the impact of their emotions on others will be leaders who are more effective. The measurement and modeling regarding emotional intelligence is not without controversy and criticism, but the need to study how leaders’ emotions affect their leadership remains strong (Dasborough et al.,

2022). As more research is conducted on emotional intelligence, the intricacies of how emotional intelligence relates to leadership will be better understood.

HOW DOES THE TRAIT APPROACH WORK?

The trait approach is very different from the other approaches discussed in subsequent chapters because it focuses exclusively on the leader, not on the followers or the situation. This makes the trait approach theoretically more straightforward than other approaches. In essence, the trait approach is concerned with what traits leaders exhibit and who has these traits.

The trait approach does not lay out a set of hypotheses or principles about what kind of leader is needed in a certain situation or what a leader should do, given a particular set of circumstances. Instead, this approach emphasizes that having a leader with a certain set of traits is crucial to having effective leadership. It is the leader and the leader's traits that are central to the leadership process.

The trait approach suggests that organizations will work better if the people in managerial positions have designated leadership profiles. To find the right people, it is common for organizations to use trait assessment instruments. The assumption behind these procedures is that selecting the right people will increase organizational effectiveness. Organizations can specify the characteristics or traits that are important to them for particular positions and then use trait assessment measures to determine whether an individual fits their needs.

The trait approach is also used for personal awareness and development. By analyzing their own traits, managers can gain an idea of their strengths and weaknesses and can get a feel for how others in the organization see them. A trait assessment can help managers determine whether they have the qualities to move up or to move to other positions in the company.

A trait assessment gives individuals a clearer picture of who they are as leaders and how they fit into the organizational hierarchy. In areas where their traits are lacking, leaders can try to make changes in what they do or where they work to increase their traits' potential impact.

Near the end of the chapter, a leadership instrument is provided that you can use to assess your leadership traits. This instrument is typical of the kind of assessments that companies use to evaluate individuals' leadership potential. As you will discover by completing this instrument, trait measures are a good way to assess your own characteristics.

STRENGTHS

The trait approach has several identifiable strengths. First, the trait approach is intuitively appealing. It fits clearly with our notion that leaders are the individuals who are out front and leading the way in our society. The image in the popular press and

community at large is that leaders are a special kind of people—people with gifts who can do extraordinary things. The trait approach is consistent with this perception because it is built on the premise that leaders are different and their difference resides in the special traits they possess. People have a need to see their leaders as gifted people, and the trait approach fulfills this need.

A second strength of the trait approach is that it has a century of research to back it up. No other theory boasts the breadth and depth of studies conducted on the trait approach. The strength and longevity of this line of research give the trait approach a measure of credibility that other approaches lack. Out of this abundance of research has emerged a body of data that points to the important role of various traits in the leadership process.

Another strength, more conceptual in nature, results from the way the trait approach highlights the leader component in the leadership process. Leadership is composed of leaders, followers, and situations, but the trait approach is devoted to only the first of these—leaders. Although this is also a potential weakness, by focusing exclusively on the role of the leader in leadership the trait approach has been able to provide us with a deeper and more intricate understanding of how the leader and the leader's traits are related to the leadership process.

The trait approach has given us some benchmarks for what we need to look for if we want to be leaders. It identifies what traits we should have and whether the traits we do have are the best traits for leadership. Based on the findings of this approach, trait assessment procedures can be used to offer invaluable information to supervisors and managers about their strengths and weaknesses and ways to improve their overall leadership effectiveness.

Last, the trait approach helps organizations identify leaders and select individuals for leadership training programs. Organizations often use a battery of personality tests when selecting and placing people within their organizations. For example, conscientiousness, extraversion, and openness to experience are effective traits for sales positions (Frieder, Wang, & Oh, 2018). Personality traits can be used to screen employees, once hired, who will benefit most from leadership training. For example, one study found that extraversion, agreeableness, intellectual curiosity, and emotional stability were positively related to both self-ratings and director ratings of leader development in a training program (Blair, Palmieri, & Paz-Aparicio, 2018). Thus, traits offer a way to predict who will succeed in certain positions and who is best suited to leadership development.

CRITICISMS

In addition to its strengths, the trait approach has several weaknesses. First and foremost is the failure of the trait approach to delimit a definitive list of leadership traits. Although an enormous number of studies have been conducted over the past 100 years, the findings from these studies have been ambiguous and uncertain at times.

Furthermore, the list of traits that has emerged appears endless. This is obvious from Table 2.1, which lists a multitude of traits. In fact, these are only a sample of the many leadership traits that were studied.

Another criticism is that the trait approach has failed to take situations into account. As Stogdill (1948) pointed out more than 75 years ago, it is difficult to isolate a set of traits that are characteristic of leaders without also factoring situational effects into the equation. People who possess certain traits that make them leaders in one situation may not be leaders in another situation. Some people may have the traits that help them emerge as leaders but not the traits that allow them to maintain their leadership over time. In other words, the situation influences leadership.

Leader traits also may interact with the situation in that certain traits may predispose a person to assume leadership roles in organizations. For example, leaders with higher openness to experience may thrive in the innovative, energetic environment of a high-technology start-up company, but once that company is established and running on a routine, they may begin to feel stagnant, negatively affecting their performance. Yet, research on traits has not incorporated the situation (Zaccaro et al., 2018), including such factors as the leader–member relationship, team characteristics, and organizational culture that enhance or constrain the influence of traits on performance.

A third criticism, derived from the prior two criticisms, is that this approach has resulted in highly subjective determinations of the most important leadership traits. Because the findings on traits have been so extensive and broad, there has been much subjective interpretation of the meaning of the data. This subjectivity is readily apparent in the many self-help, practice-oriented management books. For example, one author might identify ambition and creativity as crucial leadership traits; another might identify empathy and calmness. In both cases, it is the author's subjective experience and observations that are the basis for the identified leadership traits. These books may be helpful to readers because they identify and describe important leadership traits, but the methods used to generate these lists of traits are weak. To respond to people's need for a set of definitive traits of leaders, authors have set forth lists of traits, even if the origins of these lists are not grounded in strong, reliable research.

Research on traits can also be criticized for failing to look at traits in relationship to leadership outcomes. This research has emphasized the identification of traits but has not addressed how leadership traits affect group members and their work. In trying to ascertain universal leadership traits, researchers have focused on the link between specific traits and leader emergence, but they have not tried to link leader traits with other outcomes such as productivity or employee satisfaction. For example, trait research does not provide data on whether leaders who have high intelligence and strong integrity have better results than leaders without these traits. The trait approach is weak in describing how leaders' traits affect the outcomes of groups and teams in organizational settings.

A final criticism of the trait approach is that, other than for emotional intelligence, its usefulness for leadership training and development is limited. Even if definitive traits could be identified, teaching leaders to improve these traits is not an easy process because traits are not easily changed. For example, it is not reasonable to send managers to a training program to raise their IQ or to train them to become extraverted. While there is some evidence that the trait of emotional intelligence may be improved with training, it is unclear whether these effects are long lasting. The point is that traits are largely fixed psychological structures, and this limits the value of teaching and leadership training.

APPLICATION

Despite its shortcomings, the trait approach provides valuable information about leadership. It can be applied by individuals at all levels and in all types of organizations. Although the trait approach does not provide a definitive set of traits, it does provide direction regarding which traits are good to have if one aspires to a leadership position. By taking trait assessments and other similar questionnaires, people can gain insight into whether they have certain traits deemed important for leadership, and they can pinpoint their strengths and weaknesses with regard to leadership.

As we discussed previously, managers can use information from the trait approach to assess where they stand in their organization and what they need to do to strengthen their position. Trait information can suggest areas in which their personal characteristics are very beneficial to the company and areas in which they may want to get more training to enhance their overall approach. Using trait information, managers can develop a deeper understanding of who they are and how they will affect others in the organization.

CASE STUDIES

In this section, three case studies (Cases 2.1, 2.2, and 2.3) are provided to illustrate the trait approach and to help you understand how the trait approach can be used in making decisions in organizational settings. The settings of the cases are diverse—directing research and development at a large snack food company, being head of recruitment for a large bank, and directing a development organization for an impoverished neighborhood—but all of the cases deal with trait leadership. At the end of each case, you will find questions that will help in analyzing the cases.

Case 2.1 Choosing a New Director of Research

Sandra Coke is vice president for research and development at Great Lakes Foods (GLF), a large snack food company that has approximately 1,000 employees. As a result of a recent reorganization, Sandra must choose the new director of research. The director will report directly to Sandra and will be responsible for developing and testing new products. The research division of GLF employs about 200 people. The choice of directors is important because Sandra is receiving pressure from the president and board of GLF to improve the company's overall growth and productivity.

Sandra has identified three candidates for the position. Each candidate is at the same managerial level. She is having difficulty choosing one of them because each has very strong credentials. Alexa Smith is a longtime employee of GLF who started part-time in the mailroom while in high school. After finishing school, Alexa worked in as many as 10 different positions throughout the company to become manager of new product marketing. Performance reviews of Alexa's work have repeatedly described her as being very creative and insightful. In her tenure at GLF, Alexa has developed and brought to market four new product lines. Alexa is also known throughout GLF as being very persistent about her work: When she starts a project, she stays with it until it is finished. It is probably this quality that accounts for the success of each of the four new products with which she has been involved.

A second candidate for the new position is Kelsey Metts, who has been with GLF for five years and is manager of quality control for established products. Kelsey has a reputation for being very bright. Before joining GLF, she received her MBA at Harvard, graduating at the top of her class. People talk about Kelsey as the kind of person who will be president of her own company someday. Kelsey is also very personable. On all her performance reviews, she received extra-high scores on sociability and human relations. There isn't a supervisor in the company who doesn't have positive things to say about how comfortable it is to work with Kelsey. Since joining GLF, Kelsey has been instrumental in bringing two new product lines to market.

Thomas Santiago, the third candidate, has been with GLF for 10 years and is often consulted by upper management regarding strategic planning and corporate direction

setting. Thomas has been very involved in establishing the vision for GLF and is a company person all the way. He believes in the values of GLF, and actively promotes its mission. The two qualities that stand out above the rest in Thomas's performance reviews are his honesty and integrity. Employees who have worked under his supervision consistently report that they feel they can trust Thomas to be fair and consistent. Thomas is highly respected at GLF. In his tenure at the company, Thomas has been involved in some capacity with the development of three new product lines.

The challenge confronting Sandra is to choose the best person for the newly established director's position. Because of the pressure she feels from upper management, Sandra knows she must select the best leader for the new position.

QUESTIONS

1. Based on the information provided about the trait approach in Tables 2.1 and 2.2, if you were Sandra, whom would you select?
2. In what ways is the trait approach helpful in this type of selection?
3. In what ways are the weaknesses of the trait approach highlighted in this case?

Case 2.2 Recruiting for the Bank

Pat Masson is the assistant director of human resources in charge of recruitment for Central Bank, a large, full-service banking institution. One of Pat's major responsibilities each spring is to visit as many college campuses as he can to interview graduating seniors for credit analyst positions in the commercial lending area at Central Bank. Although the number varies, he usually ends up hiring about 20 new people, most of whom come from the same schools, year after year.

Pat has been doing recruitment for the bank for more than 10 years, and he enjoys it very much. However, for the upcoming spring he is feeling increased pressure from management to be particularly discriminating about whom he recommends hiring. Management is concerned about the retention rate at the bank because in recent years as many as 25% of the new hires have left. Departures after the first year have meant lost training dollars and strain on the staff who remain. Although management understands that some new hires always leave, the executives are not comfortable with the present rate, and they have begun to question the recruitment and hiring procedures.

The bank wants to hire people who can be groomed for higher-level leadership positions. Although certain competencies are required of entry-level credit analysts, the bank is equally interested in skills that will allow individuals to advance to upper management positions as their careers progress.

In the recruitment process, Pat always looks for several characteristics. First, applicants need to have strong interpersonal skills, they need to be confident, and they need

to show poise and initiative. Next, because banking involves fiduciary responsibilities, applicants need to have proper ethics, including a strong sense of the importance of confidentiality. In addition, to do the work in the bank, they need to have strong analytical and technical skills and experience in working with computers. Last, applicants need to exhibit a good work ethic, and they need to show commitment and a willingness to do their job even in difficult circumstances.

Pat is fairly certain that he has been selecting the right people to be leaders at Central Bank, yet upper management is telling him to reassess his hiring criteria. Although he feels that he has been doing the right thing, he is starting to question himself and his recruitment practices.

QUESTIONS

1. Based on ideas described in the trait approach, do you think Pat Masson is looking for the right characteristics in the people he hires?
2. Could it be that the retention problem raised by upper management is unrelated to Pat's recruitment criteria?
3. If you were Pat, would you change your approach to recruiting?

Case 2.3 Five Feet of Determination

The EastTown neighborhood is the most economically challenged part of a midwestern city with a population of 80,000. The neighborhood's nearly 6,000 residents are predominantly Black and live in very modest homes mostly built in the 1920s. The area was historically redlined, a discriminatory policy of the U.S. government in which neighborhoods that were predominantly Black were not included in government homeownership and lending programs. Although EastTown was a vibrant, blue-collar community in the middle part of the 1950s, without investment in its infrastructure and development it has deteriorated and is plagued with high crime and blight. Businesses that moved out haven't been replaced, dotting the neighborhood with empty, unmaintained buildings prone to vandalism. The housing, 80% of which is rental properties owned by non-EastTown residents, has a high rate of condemnation due to not being maintained and updated to current codes.

In the late 1970s, a group of leaders from businesses and churches in the neighborhood created EastTown Community Development Association (ECDA), a nonprofit advocacy organization, to keep the neighborhood from deteriorating any further. The organization hired a young woman named Mattie Martin to be its executive director. A petite Black woman standing only five feet tall who talks fast and loud and is always on the move, Mattie grew up in EastTown under the guidance of a loving but stern mother who taught her children to not only respect others but demand respect for themselves. The family was very poor, but Mattie's mother pushed her children to volunteer to help others. After the 1967 Detroit race riots, Mattie's mother took her

children to Detroit to see the burned-out blocks where rioters had lived. “This is what happens when people are frustrated and they don’t think; they burn their own neighborhoods,” she told them. “Never destroy where you live.”

After high school, Mattie was one of the few kids in her neighborhood to attend college, which she paid for through a combination of loans, scholarships, and working two jobs. After graduating with a bachelor’s degree in communication, Mattie worked in a variety of jobs that ultimately led her to work at a juvenile detention center, where after five years she moved up to become the assistant administrator. At the center, she attended to children from all races, many of whom suffered intense forms of abuse and trauma prior to coming to the facility. “I saw such misery there,” she recalls, “but the experience was one of many that made me want to advocate for those in need.”

Since the day she walked in the door at ECDA, Mattie employed a key motto—*those who own the land have more say in what happens to it*—and she set out to find ways to buy and secure available properties in EastTown.

Among her first initiatives was to secure grant funding for ECDA from local, regional, and federal agencies and private donors. She was so successful at raising money that by her second year on the job, ECDA had been able to buy and clean up several vacant land parcels in the neighborhood with long-term plans to develop them into new housing and businesses. The organization also developed a home improvement fund to help residents who owned their homes pay for needed repairs and improvements.

When a resident asked Mattie why the neighborhood didn’t have a grocery store—the last one had left a decade before, leaving an empty shell of a building that had been repeatedly vandalized—Mattie began a quest to finance the building of a new store and convince a local grocer to operate there. “You can’t have a community without a store where people can buy food,” she said. It took eight years, and Mattie, described by her collaborators on the project as “tenacious, determined and doesn’t easily accept the word ‘no,’” said she kept working at it because her mother told her, “Don’t start stuff you don’t finish.” In negotiating the lease for the store, Mattie included a clause that required it to hire neighborhood residents.

At the same time, Mattie was working hard to keep out development that would be detrimental to the neighborhood, starting with a planned oil recycling plant to be built on empty lots near the neighborhood’s elementary school, which she and other residents saw as a health hazard with little benefit for the community. She also kept a liquor store from opening on property that could be used for new housing. After the city announced it was going to close EastTown’s only fire station, she lobbied city officials and other influential people until the city not only opted to keep the fire station but built a new \$4 million facility to house both the fire department and public safety officers.

The city's mayor described Mattie as "one of my biggest challenges; she is fearless and will attack anything." Other city officials describe her as stubborn and not afraid to take her squabbles with them public. "She doesn't handle failure well," the city manager has said, but Mattie is unapologetic about that.

"When I believe in something, I just keep working until it's done. I'm an idea person. When I finish one project, I am thinking of the next one," Mattie says, but admits that she is prone to disorganization, is a bit of a "drama queen," and hasn't managed to find time to learn to use her office computer, forcing her assistant to do all Mattie's email correspondence for her.

Mattie has been on the job for 36 years and has an impressive list of accomplishments that have improved EastTown for the better:

- Developed affordable housing for older residents that was available below the city's market rate
- Rehabilitated more than 40 existing owner-occupied houses in the neighborhood
- Built 21 new single-family homes for low-income families
- Opened a skilled trades center to provide skills training for the unemployed and underemployed residents
- Developed a children's water park
- Opened a 24-hour child care center for neighborhood residents
- Saw the opening of many new, resident-owned businesses including restaurants, a computer repair shop, retail stores, mental health counseling services, and a bakery
- Worked with the state to secure and build a new health care center to serve the neighborhood

But Mattie declines credit, quickly passing it to others. "One of my favorite aspects of this city is how we work together, how we can cooperate when we see a problem that needs addressing."

Her last project? To find the right person to replace her when she retires.

QUESTIONS

1. How does Mattie Martin exhibit each of the major leadership traits listed in Table 2.2? Which of these traits do you believe she is the strongest in? Is there one where she is weak?
2. Describe how Mattie has exhibited each of the Big Five personality factors. Which of these factors do you think has the most correlation with her success as a leader?

3. Shankman and Allen (2015) suggest that an emotionally intelligent leader is conscious of context, self, and others. How would you characterize Mattie's emotional intelligence using these three facets?
4. If you were asked to find Mattie's replacement, which of Mattie's traits would you look for in candidates for the job? Are there other traits you feel would be needed? Discuss.

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LEADERSHIP INSTRUMENT

Organizations use a wide variety of questionnaires to measure individuals' traits. In many organizations, it is common practice to use standard trait measures such as the Minnesota Multiphasic Personality Inventory or the Myers-Briggs Type Indicator. These measures provide valuable information to the individual and the organization about the individual's unique attributes for leadership and where the individual could best serve the organization.

In this section, the Leadership Trait Questionnaire (LTQ) is provided as an example of a measure that can be used to assess your personal leadership characteristics. The LTQ quantifies the perceptions of the individual leader and selected observers, such as followers or peers. It measures an individual's traits and points respondents to the areas in which they may have special strengths or weaknesses.

By taking the LTQ, you can gain an understanding of how trait measures are used for leadership assessment. You can also assess your own leadership traits.

Leadership Trait Questionnaire (LTQ)

Purpose: The purpose of this questionnaire is to measure personal characteristics of leadership and to gain an understanding of how traits are used in leadership assessment.

Instructions: Using the following scale, indicate the degree to which you agree or disagree with each of the 14 statements when viewing yourself as a leader. After you complete this questionnaire, it should be completed by five people you know (e.g., roommates, coworkers, relatives, friends) to show how they view you as a leader.

Key: 1 = Strongly disagree 2 = Disagree 3 = Neutral 4 = Agree 5 = Strongly agree

1.	Articulate: Communicates effectively with others	1	2	3	4	5
2.	Perceptive: Is discerning and insightful	1	2	3	4	5
3.	Self-confident: Believes in oneself and one's ability	1	2	3	4	5
4.	Self-assured: Is secure with oneself, free of doubts	1	2	3	4	5
5.	Persistent: Stays fixed on the goals, despite interference	1	2	3	4	5
6.	Determined: Takes a firm stand, acts with certainty	1	2	3	4	5
7.	Trustworthy: Is authentic and inspires confidence	1	2	3	4	5
8.	Dependable: Is consistent and reliable	1	2	3	4	5
9.	Friendly: Shows kindness and warmth	1	2	3	4	5
10.	Outgoing: Talks freely, gets along well with others	1	2	3	4	5
11.	Conscientious: Is thorough, organized, and controlled	1	2	3	4	5
12.	Diligent: Is persistent, hardworking	1	2	3	4	5
13.	Sensitive: Shows tolerance, is tactful and sympathetic	1	2	3	4	5
14.	Empathic: Understands others, identifies with others	1	2	3	4	5

SCORING

1. Enter the responses for Raters 1, 2, 3, 4, and 5 in the appropriate columns as shown in Example 2.1. The example provides hypothetical ratings to help explain how the questionnaire can be used.
2. For each of the 14 items, compute the average for the five raters and place that number in the "average rating" column.
3. Place your own scores in the "self-rating" column.

EXAMPLE 2.1 LEADERSHIP TRAITS QUESTIONNAIRE RATINGS

	Rater 1	Rater 2	Rater 3	Rater 4	Rater 5	Average rating	Self-rating
1. Articulate	4	4	3	2	4	3.4	4
2. Perceptive	2	5	3	4	4	3.6	5
3. Self-confident	4	4	5	5	4	4.4	4
4. Self-assured	5	5	5	5	5	5	5
5. Persistent	4	4	3	3	3	3.4	3
6. Determined	4	4	4	4	4	4	4
7. Trustworthy	5	5	5	5	5	5	5
8. Dependable	4	5	4	5	4	4.4	4
9. Friendly	5	5	5	5	5	5	5
10. Outgoing	5	4	5	4	5	4.6	4
11. Conscientious	2	3	2	3	3	2.6	4
12. Diligent	3	3	3	3	3	3	4
13. Sensitive	4	4	5	5	5	4.6	3
14. Empathic	5	5	4	5	4	4.6	3

SCORING INTERPRETATION

The scores you received on the LTQ provide information about how you see yourself as a leader and how others see you as a leader. There are no “perfect” scores for this questionnaire. The purpose of the instrument is to provide a way to assess your strengths and weaknesses. This assessment can help you understand your assets as well as areas in which you may seek to improve. The chart allows you to see where your perceptions are the same as those of others and where they differ.

The example ratings show how the leader self-rated higher than the observers did on the characteristic *articulate*. On the second characteristic, *perceptive*, the leader self-rated substantially higher than others. On the *self-confident* characteristic, the leader self-rated quite close to others’ ratings but lower.

A low or moderate self-rating (3 or below) on a trait may indicate that you have had little opportunity to develop this part of your personality or that your current work or school setting does not require you to exercise this trait. A high score (4 or above) suggests you are aware of this trait and use it often. How similar or dissimilar your self-ratings are from others’ ratings may be affected by whom you chose to evaluate you, how long these people have known you, and the contexts in which they have observed your behavior.

SUMMARY

The trait approach has its roots in leadership theory that suggested that certain people were born with special traits that made them great leaders. Because it was believed that leaders and nonleaders could be differentiated by a universal set of traits, throughout the 20th century researchers were challenged to identify the definitive traits of leaders.

Around the mid-20th century, several major studies questioned the basic premise that a unique set of traits defined leadership. As a result, attention shifted to incorporating the impact of situations and of followers on leadership. Researchers began to study the interactions between leaders and their context instead of focusing only on leaders' traits. More recently, there have been signs that trait research has come full circle, with a renewed interest in focusing directly on the critical traits of leaders.

From the multitude of studies conducted through the years on personal characteristics, it is clear that many traits contribute to leadership. Some of the important traits that are consistently identified in many of these studies are intelligence, self-confidence, determination, integrity, and sociability. In addition, researchers have found a strong relationship between leadership and the traits described by the *five-factor personality model*. *Extraversion* was the trait most strongly associated with leadership, followed by *conscientiousness*, *openness*, *low neuroticism*, and *agreeableness*. *Conscientiousness* was found to have the highest correlation with overall job performance, task performance, organizational citizenship behavior, and counterproductive work behavior (negative correlation) and to be the most frequently assessed trait in job interviews for a variety of occupations.

Another recent line of research has focused on *emotional intelligence* and its relationship to leadership. This research suggests that leaders who are sensitive to their emotions and to the impact of their emotions on others may be leaders who are more effective.

On a practical level, the trait approach is concerned with which traits leaders exhibit and who has these traits. Organizations use personality assessment instruments to identify how individuals will fit within their organizations. The trait approach is also used for personal awareness and development because it allows managers to analyze their strengths and weaknesses to gain a clearer understanding of how they should try to change to enhance their leadership.

There are several advantages to viewing leadership from the trait approach. First, it is intuitively appealing because it fits clearly into the popular idea that leaders are special people who are out front, leading the way in society. Second, a great deal of research validates the basis of this perspective. Third, by focusing exclusively on the leader, the trait approach provides an in-depth understanding of the leader component in the

leadership process. Last, it has provided some benchmarks against which individuals can evaluate their own personal leadership attributes.

On the negative side, the trait approach has failed to provide a definitive list of leadership traits. In analyzing the traits of leaders, the approach has failed to take into account the impact of situations. In addition, the approach has resulted in subjective lists of the most important leadership traits, which are not necessarily grounded in strong, reliable research.

Furthermore, the trait approach has not adequately linked the traits of leaders with other outcomes such as group and team performance, which makes this approach not particularly useful for training and development for leadership because individuals' personal attributes are largely stable and fixed and their traits are not amenable to change. While there is some evidence that the trait of emotional intelligence may be improved with training, follow-up studies have not been conducted to determine the long-term effects of such training.