### Part 1: Leadership Is a Process, Not a Position

#### Leadership

Followers

Leader

Situation

### Chapter 1: What Do We Mean by Leadership?

**Part 1 Overview**

If any single idea is central to this book, it is that leadership is a process, not a position.

* The entire first part of this book explores this idea.
* Chapter one defines leadership and explores its relationship to concepts such as management and followership and the interactional framework is introduced.
  + The interactional framework is based on the idea that leadership involves complex interactions between the leader, the followers, and the situations they are in.
  + The framework provides the organizing principle for the rest of the book.
* Chapter two looks at how we can become better leaders by profiting more fully from our experiences.
* Part one concludes with a chapter focusing on basic leadership skills.
  + There also will be a corresponding skills chapter at the conclusion of each of the other three parts of the book.

**Learning Objectives for Chapter 01**

LO 01-01: Characterize the meaning of leadership.

LO 01-02: Identify common leadership myths.

LO 01-03: Generalize the interactional framework for analyzing leadership.

LO 01-04: Illustrate the interactional framework by examining women’s roles in leadership.

LO 01-05: Conclude that there is no simple recipe for effective leadership.

**Chapter 01 Brief Outline**

1. Part I Introduction
2. Chapter Introduction
3. What is Leadership?
   1. Leadership is both a science and an art
   2. Leadership is both rational and emotional
   3. Leadership and management
4. Leadership Myths
   1. Myth: Good leadership is all common sense
   2. Myth: Leaders are born, not made
   3. Myth: The only school you learn leadership from is the school of hard knocks
5. The Interactional Framework for Analyzing Leadership
   1. The Leader
   2. The Followers
   3. The Situation
6. Illustrating the Interactional Framework: Women in Leadership Roles
7. There Is No Simple Recipe for Effective Leadership
8. Summary

**Chapter 01 Extended Outline**

1. **Part I Introduction: Leadership is a Process, Not a Position**

Leadership involves something happening as a result of the interaction between a leader and followers.

* + - In Chapter 01 we define leadership and explore its relationship to concepts such as management and followership.
      * The interactional framework is introduced which provides the organizing principle for the rest of the book.
    - Chapter 02 looks at how we can become better leaders by profiting more fully from our experiences.
      * Which is not to say that either the study or the practice of leadership is simple.
    - Part I concludes with Chapter 03 focusing on basic leadership skills.
      * There also will be a corresponding skills chapter at the conclusion of each of the other three parts in this book.

1. **Chapter Introduction: What Do We Mean by Leadership?**

Two studies show the people’s confidence in governmental, corporate, and financial leadership has plummeted.

* + - Yet we see stories of extraordinary leadership by otherwise ordinary people.

The text opens with a story of leadership issues faced after the famous plane crash of 1972 in the Andes involving members of a rugby team – inspiring the book *Alive* by Piers Paul Read.

* + - It is a tale of survival and heroics to be sure, but it is also a story about leadership in a dynamic and critical situation.
      * One member of the flight, Parrado, was awkward and shy, a “second-stringer” both athletically and socially.
      * Yet, he was the unlikely hero, becoming the best loved and most respected among the survivors for his courage, optimism, fairness, and emotional support.
    - Although this may seem like an extreme and remote example that is not useful for everyday leadership, it is clear that the issues of dealing with people (all of whom have different personalities, values, and motives) in an effort to accomplish a goal in the face of adversity is not that uncommon.
      * Skills exhibited in such an environment are important across situations.

1. **What is Leadership?**

Researchers studying leadership disagree on what leadership is.

* + - Mostly stemming from the fact that leadership is a complex phenomenon involving the leader, the followers, and the situation.
    - Some leadership researchers have focused on the personality, physical traits, or behaviors of the leader; others have studied the relationships between leaders and followers; still others have studied how aspects of the situation affect how leaders act.
      * Some have extended the latter viewpoint so far as to suggest there is no such thing as leadership.
      * They argue that organizational successes and failures often get falsely attributed to the leader, but the situation may have a much greater impact on how the organization functions than does any individual, including the leader.

Definitions of leadership differ in many ways, and these differences have resulted in various researchers exploring disparate aspects of leadership. There are eight listed in the text.

* + - If the Andes survival scenario is applied to each of the definitions, each group of researchers might focus on a different aspect of leadership, each telling a different story regarding the leader, the followers, and the situation.

It is important to understand that there is no single correct definition of leadership.

* + - The various definitions highlight the multitude of factors affecting leadership.

Leaders who rise to the top in their organizations are not always the same as those who help make their organizations more effective.

* + - **Successful managers** – those promoted quickly through the ranks – spend relatively more time than others in organizational socializing and politicking.
      * And they spend relatively less time than effective managers on traditional management responsibilities like planning and decision-making.
    - **Effective managers** make real contributions to their organization’s performance.
      * This distinction is a critical one.
    - A recent 10-year study of what separated the “best of the best” executives from the rest in their organizations offers the following insights:
      * These executives demonstrated expertise and across their careers excelled across all facets of their organization’s functions.
        + They knew the *whole* business, not just a piece of it.
      * They also knew and cared about the people they worked with.
        + They formed deep and trusting relationships with others, including superiors, peers, and direct reports.
      * Relational failure with colleagues proved to be the quickest route to failure among the second-best executives.

All considered; the definition “the process of influencing an organized group toward accomplishing its goals” is fairly comprehensive and helpful.

* + - This section of the text contains Profiles in Leadership 1.1 which highlights Sheikh Zayed bin Sultan Al Nahyan, the founder of the United Arab Emirates (UAE).
  1. **Leadership Is Both a Science and an Art**

Saying leadership is both a science and an art emphasizes the subject of leadership as a field of scholarly inquiry, as well as certain aspects of the practice of leadership.

* + - Scholarship may not be a prerequisite for leadership effectiveness, but understanding some of the major research can help individuals better analyze situations using a variety of perspectives.
    - That, in turn, can tell leaders how to be more effective.
      * Presuming they *believe* evidence from research is a valid basis for informing their own leadership practices.

Because skills in analyzing and responding to situations vary greatly across leaders, leadership will remain partly an art as well as a science.

* + - Highlight 1.1 raises the question of whether leadership should be considered a true science or not.
  1. **Leadership Is Both Rational and Emotional**

Leadership involves both the rational and emotional sides of human experience.

* + - People are both rational and emotional, so leaders can use rational techniques and emotional appeals to influence followers.
    - But they must also weigh the rational and emotional consequences of their actions.
    - Aroused feelings can be used either positively or negatively, constructively or destructively.

Some scholars suggest the very idea of leadership may be rooted in our emotional needs.

* + - Belief in the potency of leadership (the **romance of leadership**) may be a cultural myth that has utility primarily insofar as it affects how people create meaning about causal events in complex social systems.
    - Related to this may be a tendency to attribute a leader’s success primarily if not entirely to that person’s unique *individual* qualities.
      * That idea is further explored in Profiles in Leadership 1.2: Bill Gates’s Head Start.
  1. **Leadership and Management**

To many, the word **management** suggests one thing and leadership something else.

* + - Leaders are thought to *do the right things*, whereas managers are thought to *do things right*.
    - Here are some distinctions between managers and leaders:
      * Managers administer; leaders innovate.
      * Managers maintain; leaders develop.
      * Managers control; leaders inspire.
      * Managers have a short-term view; leaders, a long-term view.
      * Managers ask how and when; leaders ask what and why.
      * Managers imitate; leaders originate.
      * Managers accept the status quo; leaders challenge it.

With regard to the issue of leadership versus management, the authors of this book take a middle-of-the-road position.

* + - They think of leadership and management as closely related but distinguishable functions.
      * The author’s view of the relationship is depicted in Figure 1.1, which shows leadership and management as two overlapping functions.
      * Although some functions performed by leaders and managers may be unique, there is also an area of overlap.
        + In reading Highlight 1.2, do you see more good management in the response to the 1906 San Francisco earthquake, more good leadership, or both?
        + And in Profiles in Leadership 1.3, you can read about leaders from two different eras in American history.

1. **Leadership Myths**

Few things pose a greater obstacle to leadership development than certain unsubstantiated and self-limiting beliefs about leadership.

* + - Here we examine several beliefs (myths) that stand in the way of fully understanding and developing leadership.
  1. **Myth: Good Leadership Is All Common Sense**

This myth says you only need common sense to be a good leader.

* + - The problem, of course, is the ambiguous term *common sense.*
    - This myth implies a common body of practical knowledge that any reasonable person with moderate experience has acquired.

One challenge of understanding leadership may be to know when common sense applies and when it does not.

* + - If leadership were nothing more than common sense, there should be few, if any, problems in the workplace.
    - Effective leadership must be something more than just common sense.
  1. **Myth: Leaders Are Born, Not Made**

Some believe that being a leader is either in your genes or its not; while others believe that life experiences mold the individual and that no one is born a leader.

* + - Which view is right? In a sense, both and neither.
      * Both views are right in that innate factors as well as formative experiences influence many sorts of behavior, including leadership.
      * Yet both views are wrong to the extent they imply leadership is *either* innate *or* acquired; what matters more is how these factors *interact*.

Research indicates that many cognitive abilities and personality traits are at least partly innate.

* + - So natural talents or characteristics may offer certain advantages or disadvantages to a leader – such as height – but it does not make them a leader.
  1. **Myth: The Only School You Learn Leadership from Is the School of Hard Knocks**
     + Some questions whether leadership can develop through formal study, believing it can only be acquired through experience.
       - Formal study and experience are not mutually exclusive or antagonistic – in fact, they complement each other.
       - Formal study can accelerate the process of learning from experience.

One advantage of formally studying leadership is that it provides a variety of ways of examining a particular leadership situation.

* + - Being able to analyze your experiences from multiple perspectives may be the greatest single contribution a formal course in leadership can give you.
      * Reflect on your own leadership as you read about the origins of Starbucks in Profiles in Leadership 1.4.

1. **The Interactional Framework for Analyzing Leadership**

Perhaps the first researcher to formally recognize the importance of the leader, follower, and situation in the leadership process was Fred Fiedler.

* + - Fiedler used these three components to develop his contingency model of leadership, a theory discussed in more detail in Chapter 15.
    - Though the authors recognize Fiedler’s contributions, they owe even more Hollander’s transactional approach to leadership.
    - The authors call their approach the **interactional framework**.

Several aspects of this derivative of Hollander’s approach are worthy of additional comment.

* + - First, as shown in Figure 1.2, the framework depicts leadership as a function of three elements – the **leader**, the **followers**, and the **situation**.
    - Second, a particular leadership scenario can be examined using each level of analysis separately.
      * We can understand the process even better if we also examine the **interactions** among the three elements.
    - Finally, leadership is the result of a complex set of interactions among the leader, the followers, and the situation. See Highlight 1.3.

An example of one complex interaction between leaders and followers is evident in what have been called in-groups and out-groups.

* + - Subordinates belonging to the **in-group** can be distinguished by their high degree of loyalty, commitment, and trust felt toward the leader.
    - Other subordinates belong to the **out-group**.
  1. **The Leader**

This element examines primarily what the leader brings *as an individual*.

* + - This can include unique personal history, interests, character traits, and motivation.

Leaders are *not* all alike, but they tend to share many characteristics.

* + - Research shows that leaders differ from their followers.
      * And effective leaders differ from ineffective leaders on various personality traits, cognitive abilities, skills, and values.
    - Another way personality affects leadership is through temperament – either calm or prone to emotional outbursts.

Another important aspect of the leader is how they achieved leader status.

* + - Appointed leaders may have less credibility and get less loyalty from followers.
    - Emergent or elected officials are better able to influence a group toward goal achievement because of the power conferred on them by their followers.

More generally, a leader’s experience or history with the organization is usually important to their effectiveness.

* + - Leaders selected from within an organization are better known and, if respected, given more latitude than a newcomer.

Finally, a leader’s legitimacy may be affected by the extent to which followers participated in the leader’s selection.

* + - Followers with a say in the selection of a leader tend to identify with the leader, but also they may have higher expectations and make more demands of them.
    - Also, is a leader has the support of their superiors, subordinates are less likely to take their complaints to higher levels.
  1. **The Followers**

Followers are a critical part of the leadership equation, but their role is under-appreciated, at least in research.

* + - Read Highlight 1.3 to see how the role of followers has been recognized in literature.
    - Today, it seems natural to accept the important role played by followers.

Leadership is a social influence process shared among all members of a group.

* + - Both practitioners and scholars emphasize the relatedness of leadership and **followership**.

The followers’ expectations, personality traits, maturity levels, levels of competence, and motivation affect the leadership process.

* + - Highlight 1.4 describes a systematic approach to classifying different kinds of followers that has had a major impact on research.
      * Robert Kelley believes that different types of followers can be described in terms of two broad dimensions.
        + One ranges from **independent, critical thinking** at one end to **dependent, uncritical thinking** on the other end.

According to Kelley, the best followers are think for themselves and offer constructive advice or even creative solutions.

The worst followers need to be told what to do.

* + - * + Kelley’s other dimension ranges from whether people are **active followers** or **passive followers** in the extent they are engaged in work.

The best followers are self-starters who take initiative.

The worst are passive, may dodge responsibility, and need constant supervision.

* + - * Using these two dimensions, Kelley suggested five basic styles of followership:
        + *Alienated followers* habitually point out all the negative aspects of the organization to others.

They see themselves as mavericks, leaders see them as cynical, negative, and adversarial.

* + - * + *Conformist followers* are the “yes people” of organizations.

Dangerous if their orders contradict societal standards of behavior or organizational policy.

* + - * + *Pragmatist followers* are rarely committed to their group’s work goals, but they have learned not to make waves.

Tend to be mediocre workers but may become experts in mastering the bureaucratic rules that can be used to protect them.

* + - * + *Passive followers* rely on the leader to do all the thinking.

Lacking enthusiasm, initiative, or a sense of responsibility, passive followers require constant direction.

Leaders may see them as lazy, incompetent, or even stupid.

* + - * + *Exemplary followers* present a consistent picture to both leaders and coworkers of being independent, innovative, and willing to stand up to superiors.

They apply their talents for the benefit of the organization even when confronted with bureaucratic stumbling blocks or passive or pragmatist coworkers.

Effective leaders appreciate the value of exemplary followers.

Exemplary followers – high on both critical dimensions of followership – are essential to organizational success.

* + - * Leaders, therefore, would be well advised to select people who have these characteristics and, perhaps even more important, *create the conditions that encourage these behaviors*.

The nature of follower’s motivation to do their work is also important.

* + - When workers share a leader’s goals and values, they may be more motivated to perform their job well than those whose motivation is solely monetary.

Even the number of followers reporting to a leader can have significant implications.

* + - Other relevant variables include followers’ trust in the leader and their degree of confidence that they are interested in their well-being.
    - Another aspect of followers’ relations to a leader is described in Profiles in Leadership 1.5.

In the context of the interactional framework, there is no simple line dividing leadership and followership; they merge.

* + - When a strip of paper is twisted and connected in the manner depicted in Figure 1.3, it has only one side.
    - This does not mean leadership and followership are the same thing.
      * Ideal leaders are characterized as honest, competent, forward-looking, and inspiring.
      * Ideal followers are described as honest, competent, independent, and cooperative.

The importance placed on the leader-follower relationship has undergone dynamic change.

* + - One reason is an increasing pressure on all kinds of organizations to function with reduced resources – meaning managers often have increasing spans of control and followers have to pick up some of the leadership functions.
    - Another reason is a trend to greater power sharing and decentralized authority, creating interdependence and increasing the need for collaboration.
    - Finally, the nature of problems faced is becoming so complex and the changes are becoming so rapid that more and more people are required to solve them.

These trends suggest several different ways followers can take on new leadership roles and responsibilities in the future.

* + - Followers can become more proactive in their stance toward problems.
    - Followers can play an active and constructive role collaborating with leaders to solve problems.
    - In general, making organizations better is a task that needs to be “owned” by followers as well as by leaders.
    - Qualities of good followership are statistically correlated with qualities typically associated with good leadership.

Followers can contribute to the leadership process by becoming skilled at “influencing upward.”

* + - Followers are in the position to give leaders relevant information so that good solutions are implemented – requiring both good listening (managers) and good expression of ideas (followers).
    - Followers can assume a greater share of the leadership challenge by staying flexible and open to opportunities.

Early attention tended to focus on followership as a *role*, often if not always designated by a term like *subordinate*.

* + - In contrast, the role of leader virtually always remained the “lead” role.
    - This is known as the **role approach**.

In contrast, the **constructionist approach** views leadership as combined acts of leading and following by different individuals, whatever their formal titles or positions in an organization may be.

* + - In other words, leadership emerges from the intertwined acts of individuals in complex social interactions that may include times the “followers may be leading” and “leaders may be following.”
    - Leadership is co-created through acts of leading and following, *whoever may be performing those acts*.

To an ever-increasing degree, leadership must be understood in terms of both leader variables and follower variables, as well as the interactions among them.

* + - But even that is not enough—we must also understand the particular situations in which leaders and followers find themselves.
  1. **The Situation**

Most early research on leadership was based on the assumption that leadership is a general personal trait expressed independently of the situation in which the leadership is manifested.

* + - This view, commonly known as the **heroic theory**, has been largely discredited but for a long time represented the dominant way of conceptualizing leadership.
    - Over time, the complexities of interactions among leader, follower, and situational variables increasingly have been the focus of leadership research.

The situation may be the most ambiguous aspect of the leadership framework.

* + - One facet of the complexity of the situation’s role is examined in Highlight 1.5.
      * Decision-making requires a manager to *sense*, *categorize*, and *respond*.
        + If the situation is simple – predictable and orderly, right answers exist.

The leader’s job is to ensure that proper processes are in place, follow best practices, and communicate in clear and direct ways.

* + - * + If the situation is complex – flux, unpredictability, ambiguity, many competing ideas, or lots of unknowns.

The leader’s job is to create environments and experiments that allow patterns of emerge; increase levels of interaction and communication; use methods that generate new ideas and ways of thing among everyone.

* + - * Making good decisions is about both *what* decisions you make and understanding the role of the situation in affecting *how* you make decisions.

1. **Illustrating the Interactional Framework: Women in Leadership Roles**

It is clear that women are taking on leadership roles in greater numbers than ever before.

* + - Yet the percentage of women in leadership positions has stayed relatively stable.
    - A review of the 2019 S&P 500 list shows only 6 percent of CEOs were women.
      * One study reported that while a higher percentage of women executives receive on-the-job mentoring than men, it also found that mentors of women executives had less organizational influence and clout than did mentors of male counterparts.
      * Another study revealed that women’s trust in each other tends to decrease when work situations become more professionally risky, which could result in a self-imposed promotion disadvantage.
      * Yet another study of male and female executives discovered that a “manager” was defined by attributes thought of as masculine.

It does not appear the situation has changed much over the past two decades.

* + - In 1990, management students in the U.S., Germany, and Great Britain perceived successful middle managers in terms of characteristics commonly ascribed to men rather than to women.
    - A 2011 meta-analysis of studies of gender stereotyping found a tendency for leadership to be viewed as culturally masculine.
    - A 2016 review of research notes the persistent tendency of gender stereotypes that women are seen as more communal (kind and nurturing) but less agentic (ambitious and dominant) than men.
    - One area where views *do* seem to have changed over time involves women’s perceptions of their own roles.
      * To women, being a woman and being a manager are not contradictory.
      * Through the impact of **stereotype threat**, the person’s awareness of being judged by stereotypes can nonetheless have a deleterious impact on performance.
        + See Highlight 1.6.

In one study, researchers documented the lives and careers of 78 of the highest-level women in corporate America.

* + - Qualitative results showed that women had the same fears as their male counterparts: they wanted the best for themselves and for their families, and they wanted their companies to succeed – all still had the drive to succeed.
    - Statistically, there was no difference between men’s and women’s leadership styles – they were equally analytical, people oriented, forceful, goal oriented, empathic, and skilled at listening.
      * But, women had significantly lower well-being scores.
        + This may be tied to inadequate support systems tied to the reality that many women remain chief caregivers for their families.
        + There may be additional pressures from being visible as proof the organization has women at the top.
      * Their commitment to the organizations were more guarded than that of their male counterparts.
      * Women were much more likely to be willing to take career risks associated with going to new or unfamiliar areas of the company where women had not been before.
    - A variant of the glass ceiling – the **glass cliff** – refers to a finding that female candidates for an executive position are *more* likely to be hired than equally qualified male candidates when an organization’s performance is declining.

Research on women leaders from medium-sized, nontraditional organizations has shown that successful leaders don’t all come from the same mold.

* + - Such women leaders encouraged participation and shared power and information, but went far beyond participative management to **interactive leadership**.
      * This approach is based on enhancing others’ self-worth and believing the best performance results when people are excited about their work and feel good about themselves.
      * Some claim there is a “female advantage” in leadership stemming from their more collaborative style, but research does not support this broad generalization.
      * One researcher called for organizations to expand their definitions of effective leadership – to create a *wider* band of acceptable behavior so that both men and women will be freer to lead in ways that take advantage of their true talents.
        + The text discusses stereotype-based “bands of acceptable behavior” further in Highlight 1.7.

Aside from possible gender differences, there does seem to be a rise in the number of women in leadership positions – the shift is due to several factors.

* + - The first is that *women themselves have changed*.
      * Women’s aspirations and attitudes have become more similar to those of men over time.
    - The second factor is that *leadership roles have changed*.
      * Particularly with regard to a trend toward less stereotypically masculine characterizations of leadership.
    - Third, *organizational practices have changed*.
      * Mainly from legislation prohibiting gender-based discrimination and changes in organizational norms away from an “old boy” network.
    - Finally, the *culture has changed*.
      * Evident in the symbolic message intended by appointment of women, one representing a departure from past practices and signaling commitment to progressive change.

It also may be evident that women in leadership roles help an organization’s bottom line.

* + - Research points to the same conclusion:
      * Gender diversity in leadership is good for business – as is diversity in general
      * It is better for financial performance.
      * It inspires more innovation.
      * And yes, it has societal benefits as well.
      * It provides a company with a competitive advantage and is considered a key enabler of growth.
      * A recent Credit Suisse report found that companies where women made up at least 15 percent of senior managers had more than 50 percent higher profitability than those where female representation was less than 10 percent.
        + Even with these factors contributing to the rise of women in leadership positions, those at the top still represent a formidable challenge, as evident in Highlight 1.8.

1. **There Is No Simple Recipe for Effective Leadership**

To fill the gaps between leadership research and practice, this book critically reviews major findings about the nature of leadership and provides practical advice for improving leadership.

* + - Chapter 02 describes how leadership develops through experience
    - The remainder of the book uses the leader-follower-situation interaction model as a framework or organizing and discussing various theories and research findings.
    - It will become clear that there is no simple recipe for successful leadership, there *are* many different paths to effective leadership.
    - It is important to understand how the three domains of leadership interact—how the leader, the followers, and the situation are all part of the leadership process.
      * When you see a leader’s behavior, you need to think about the effectiveness of that behavior in *that* context with *those* followers.
      * Even seemingly “obvious” qualities of effective leadership like self-confidence have their limits, as illustrated in Highlight 1.9.
        + **Hubristic leaders** ignore the advice and criticism of others, almost drunk with their power and unconditional positive self-regard. Warning signs include:

A propensity to see their world primarily as an arena in which they can exercise power and seek glory.

A predisposition to take actions likely to cast the individual in a good light.

A disproportionate concern with image and presentation.

Excessive confidence in their own judgment and contempt for the advice or criticism of others.

Exaggerated beliefs about themselves and what they can personally achieve bordering on a sense of omnipotence.

Restlessness, recklessness, and impulsiveness.

* + - * + Not the same as narcissism, a characteristic personality trait, but instead a transitory condition that develops in the wake of recent successes and acquisitions of power.

As obvious as it sounds to consider the leader, the followers, and the situation – too frequently we ignore the mix and determine a good or bad leader apart from context.

* + - The following statements about leaders, followers, and the situation make the point a bit more systematically:
      * A leader may need to respond to various followers differently in the same situation.
      * A leader may need to respond to the same follower differently in different situations.
      * Followers may respond to various leaders quite differently.
      * Followers may respond to each other differently with different leaders.
      * Two leaders may have different perceptions of the same followers or situations.
        + All of these points lead to one conclusion: The right behavior in one situation is not necessarily the right behavior in another situation.
        + It does *not* follow that any behavior is appropriate in any situation.

Saying the right behavior for a leader depends on the situation is not the same thing as saying it does not matter what the leader does.

It merely recognizes the complexity among leaders, followers, and situations.

1. **Summary**

This chapter defined leadership as a process of influencing an organized group toward achieving its goals.

* + - It also looked at the idea that leadership is both a science and an art.
      * Leadership is an immature science and scientific knowledge does not necessarily make a good leader.
      * The art of leadership concerns the skill of understanding leadership situations and influencing others to accomplish group goals.

The emotional side of human nature must also be acknowledged.

* + - Leaders are often the most effective when they affect people at both the emotional level and the rational level.
    - Although leadership and management can be distinguished as separate functions, there is considerable overlap between them in practice.

Leadership is a process in which leaders and followers interact dynamically in a particular situation or environment.

* + - The interactive nature of these three domains has become increasingly important in recent years and can help us better understand the changing nature of leader-follower relationships and the increasing complexity of situations leaders and followers face.
    - Because of this complexity, effective leadership cannot be boiled down to a simple recipe.
    - Good leadership does make a difference, and it can be enhanced through greater awareness of the important factors influencing the leadership process.

**Definitions of Key Terms for Chapter 01**

**Leadership:** A complex phenomenon involving the leader, the followers, and the situation. Also, the definition, as used in the text, is “the process of influencing an organized group toward accomplishing its goal”

**Successful managers:**These are managers promoted quickly through the ranks. They spend relatively more time than others in organizational socializing and politicking; and they spend relatively less time on traditional management.

**Effective managers:**Make real contributions to their organization’s performance.

**Romance of leadership:**The belief in the potency of leadership—may be a cultural myth that has utility primarily insofar as it affects how people create meaning about causal events in complex social systems.

**Management:**Generally associated with words like: efficiency, planning, paperwork, controlling, procedures, regulations, and consistency.

**Interactional framework:**The text’s underlying framework for studying leadership recognizes the impact and reciprocal influence of the leader, followers, and situation.

**Leader:**The first element of the interactional framework—includes concepts like personality, position, and expertise.

**Followers:**The second element of the interactional framework—includes concepts like values, norms, and cohesiveness.

**Situation:**The third element of the interactional framework—includes concepts like the task, the environment, and stress/crisis.

**Interactions:**The important distinction that leadership is not just about individuals and their characteristics but rather how these individuals leverage their characteristics within a particular environment or context—leadership is not context (or setting) free.

**In-group:**Interactions that are characterized by a high degree of mutual influence and attraction between leaders and followers—these groups can be distinguished by their high degree of loyalty, commitment, and trust felt toward the leader.

## **Out-group:** Groups that are characterized by low degrees of mutual influence and attraction as well as lack of commitment, loyalty, and trust toward the leader.

**Followership:**Idea of “one-man leadership” is a contradiction in terms; therefore, leadership and followership cannot be separated.

**Independent, critical thinking:**Endpoint of Kelly’s broad followership dimension indicating followers who think for themselves and offer constructive criticism.

**Dependent, uncritical thinking:**Endpoint of Kelly’s broad followership dimension indicating followers who need to be told what to do.

**Active followers:**Endpoint of Kelly’s broad followership dimension indicating followers who are engaged in the task at hand—self-starters who have initiative.

**Passive followers:**Endpoint of Kelly’s broad followership dimension indicating followers who do not engage, dodge responsibility, and need constant supervision.

**Role approach:** An approach to understanding the followership which is seen as a role, or a part that is played, often if not always designated by a term like *subordinate*.

**Constructionist approach:** An approach to understanding the followership which views leadership as combined acts of leading and following by different individuals, whatever their formal titles or positions in an organization may be.

**Heroic theory:**The assumption that leadership is a general personal trait expressed independently of the situation in which the leadership was manifested

**Stereotype threat:**This refers to situations in which people feel themselves at risk of being judged by others holding negative stereotypes about them.

**Glass cliff**: Finding that female candidates for an executive position are more likely to be hired than equally qualified male candidates when an organization’s performance is declining–a time when there is inherently an increased risk of failure. This may actually reflect a greater willingness to put women in precarious positions.

**Interactive leadership:**Leadership style that enhances others’ self-worth and believes that the best performance occurs when people are excited about their work and feel good about themselves.

**Hubristic leaders:** These leaders ignore the advice and criticism of others, almost drunk with their power and unconditional positive self-regard.

**Mini-case: Laura Yeager Assumes Command of an Army Infantry Division**

In June 2019, two-star Major General Laura Yeager became the first woman in American history to assume command of a U.S. Army infantry division, a force of more than 10,000 soldiers.

Yeager, daughter of a (famous) retired general, joined the army to make money for college. She entered active-duty in 1986 after commissioning as a second lieutenant from the university’s ROTC program. She completed military helicopter training in 1989 and served as a Black Hawk pilot for aeromedical evacuation.

Yeager left active duty after eight years when her first son was born, but eventually returned to a military career. She served in a combat aviation unit in Iraq in 2011 and was promoted to brigadier general in 2016. In taking command of the 40th Infantry Division, she now leads a combat unit founded in 1917 and containing a rich history.

The historic milestone of Yeager becoming the first woman to command an American combat division came nearly a quarter century *after* a government-financed study determined that women could serve in the armed forces.

The integration of women into combat roles continues to be the official policy of the U.S. Department of Defense, but that does not mean it is easy. The military services face an uphill battle to recruit women for combat roles and they each approach the challenge in their own ways because of their unique service identities.

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

**Overview of the Learning Resources for Chapter 1**

*Exercise 1-1: Truth or Lies.* This 25-minute experiential exercise helps students quickly learn about the other people in their class.

*Exercise 1-2: Getting Acquainted*. In this 20−40-minute exercise, students get into small groups and discuss the best leader they have ever known, a favorite leader from history or movies, etc., and then share these findings with the other small groups.

*Exercise 1-3: Getting to Know You.* This 20-minute ice-breaking exercise is designed to help students quickly learn about the other students in their class and provide a classroom example of leadership in action.

*Exercise 1-4: Point North.* This 5-minute exercise demonstrates that even experts disagree on what constitutes good leadership.

*Exercise 1-5: Leadership is Leadership (or Is It?).* In this 25-minute exercise, small groups identify the qualities needed to be a successful leader in the government, sports, the military, private industry, etc. Groups then flip chart their qualities and discuss the similarities and differences in these types of leaders.

*Exercise 1-6: The Lineup*. In this 20-minute experiential exercise, students will need to play both leadership and followership roles in order to complete some simple group tasks.

*Exercise 1-7: Chernobyl*. This 50-minute experiential exercise does an excellent job introducing students to the concepts of leadership, management, followership, and the myths of leadership.

*Exercise 1-8: The Blind Men and the Elephant.* This 25-minute exercise uses a poem by John Godfrey Saxe to stimulate a discussion about the complexity of the world and the important and essential value of multiple perspectives—something that is clearly important to the study of leadership, as well.

*Exercise 1-9: Leaders, Followers, and Managers.* This 25-minute exercise is an effective way to identify and discuss the differences between leaders, followers, and managers.

*Case Studies*: The mini-case, “Laura Yeager Assumes Command of an Army Infantry Division,” at the end of Chapter 01 provides good material to introduce the concept of leadership, management, and followership.

**Sample Lesson Plans for Chapter 1**

**Lesson 1: 60 minutes.**

***Pre-work:*** A combination of Exercise 1-9: Leaders, Followers, and Managers and Exercise 1-8: *The Blind Men and the Elephant*.

***Lesson Plan:***

Both portions of this exercise should be completed in small groups with a final, composite discussion occurring with the entire class at the end of the period. Begin by dividing the class into small groups and presenting an overview of the two exercises.

**Part I:**

* Each small group will generate the lists of attributes from Part I of Exercise 1-8 (15 minutes)
* Have the groups report their finding to the class paying particular attention to the discussion points listed in Part II of Exercise 1-8 (10 minutes).

**Part II:**

* Read or present the poem, *The Blind Men and the Elephant* to the class (5 minutes).
* The student groups should then discuss the meaning of the poem with a particular focus on what it has to do with the study of leadership (10 minutes).
* Facilitate a class-wide discussion based on the small group discussion points (10 minutes).

**Part III:**

* Use the remaining class time to pull these exercises together and reinforce the importance of what leadership is (and is not) as well as the vitally important notion of embracing and using multiple perspectives!

Lesson 2: 60 minutes

***Pre-work:*** Exercise 1-7, Chernobyl. This exercise should be completed with the entire class (or in groups of 15−20 students; students not participating in the exercise can be used as observers). No outside work is required prior to using this exercise in the classroom.

***Lesson Plan:***

* Assign students to the required positions, including observers, and overview the exercise in very general terms (5 minutes).
* Provide guidance (best in the form of a note taking sheet) to observers to narrow their focus and scope of observation.
* Execute the exercise (35 minutes).
* Allow observers to provide a debriefing of what they observed during the exercise (10 minutes).
* After the observers’ debriefing, instructors highlight their significant observations during the exercise, as well as linking the observers’ comments and their comments to the key course concepts (i.e., interaction between leaders and followers, did the leaders lead or manage, and the role of communication—especially without sight).
* Remember that a good debriefing and recap of the exercise is where the “real” learning and points of potential reflection become obvious!

**Chapter 1** **Exercises & Instructions**

**Exercise 1-1**

**Exercise Title:** Truth or Lies

**Purpose:** To introduce classmates to each other.

**Summary:**  Instructors should pass out two large Post-it notes to each student, and then ask students to write something true and something false about themselves on each note. The students should then attach the two notes to themselves. Students should then be asked to go around the room and determine the true statement for each of the other students in the class. They can ask others any question they want, other than to tell them which statement is true and which is false. Students should be given 15 minutes to ask others questions. Instructors should then have students reveal their true and false statements, and tally how many true statements students got correct.

This exercise takes about 25 minutes to complete.

**Exercise 1-2**

**Exercise Title:** Getting Acquainted

**Purpose:** To allow students to get to know each other and introduce different views of leadership.

**Summary:** Have students respond to one or more (but probably not all) of the following tasks:

1) Describe the best leader you have personally known.

2) Describe your favorite leader from history, a novel, or a film.

3) Identify a favorite quotation pertaining to leadership.

4) Describe your own best leadership experience.

5) Draw a visual symbol of your view of leadership.

If there are too many in the class for everyone to participate, instructors may choose to break them into manageable groups. If space and materials permit, it is helpful for students to “publish” their responses, or a least a summary phrase of them, on a blackboard or poster paper. This is critical, of course, for the visual symbol. By the way, it is quite helpful for instructors to participate in this activity; they may even go first to “break the ice.”

This kind of activity works best if you encourage students to elaborate on their responses. It is interesting and revealing to find out, for example, why a particular leader is admired, not just who that leader may be.

This exercise takes 20–40 minutes, depending on the number of tasks completed.

**Exercise 1-3**

**Exercise Title:** Getting to Know You

**Purpose:**  To introduce participants to many leadership concepts and to each other.

**Summary:**  This is an ice-breaking exercise which serves as a nice introduction to leadership, norms, communication, planning, problem solving, etc. Break the class into 10−12 person groups, and give them 10 minutes to learn everyone else's name in the group. At the end of the ten minute period, instructors should ask 3 people at random to name the other participants in their group and should keep a tally of the number of names correctly versus incorrectly identified (this element of competition often spurs groups to work harder and practice more during the planning period—which ultimately will help them to better know each others' names). Instructors should comment on the different strategies groups used as well as asking participants how leadership, followership, norms, planning, and problem solving were exhibited during the 10 minute planning period.

This exercise takes about 20 minutes.

**Exercise 1-4**

**Exercise Title:** Point North

**Purpose:** To demonstrate how people differ in their definitions of leadership.

**Summary:** Ask everyone in the room to stand up and close their eyes. Once they have done this, the instructor should then ask students to point north. Then have them open their eyes and note where everyone was pointing. They should then close their eyes again and attempt to point north. They should again open their eyes and look to see where everyone is pointing. The instructor should ask those who are not certain to sit down and those who are “experts” at direction to remain standing, close their eyes, and point north again. Chances are there will be considerable disagreement on where north is in the first two rounds, and there will even be some disagreement among the “experts” as to where north is. The same is true for leadership—people, even experts, disagree as to what does or does not constitute leadership.

Discussion questions include:

- Why do people disagree?

- How do we know what the truth is?

- Are we surprised that even “experts” disagree to some degree?

- What does this have to do with the study of leadership?

This exercise takes about 5–10 minutes to complete.

**Exercise 1-5**

**Exercise Title:** Leadership is Leadership (or Is It?)

**Purpose:** To introduce the context of leadership, as well as implicit theories of leadership.

**Summary:** Divide the class into groups. Assign each group one of the following categories (or any others): (1) government; (2) sports; (3) private industry; (4) the military; (5) the ministry. Have each group discuss and list traits and behaviors they associate with leaders in their respective categories. After 15 minutes of small group discussion, ask each group to post their list of traits and behaviors such that each group can easily review the other groups' lists. Lead a discussion reviewing the similarities and differences between the lists. It may be useful to address similarities and differences in the nature of the tasks in the different categories, measures of success in each one, etc.

This exercise takes about 25 minutes.

Alternative Uses: This exercise could be used with Chapter 2 to examine the interactional framework of leadership.

**Exercise 1-6**

**Exercise Title:** The Lineup

**Purpose:** A physical icebreaker that raises issues of group leadership, communication, and teamwork.

**Summary:** This is an effective icebreaker if the group has 15−30 people. Instructors will need to create a “balance beam” that consists of a set of boards about 8−12 inches in width and long enough for everyone in the group to stand on in single file. The “beam” can sit on cement blocks and be no more than one foot above the ground.

Begin by asking the group to line up on the “balance beam” in any order whatsoever. After the group has done so, announce that the group's task will be to rearrange itself in some other order without stepping off the “beam” onto the ground. If anyone loses balance and steps onto the ground, everyone must return to the original order and start over. Some possibilities for the new order include: (1) birth dates; (2) in the exact reverse of the order the group is presently in; (3) height; (4) age, etc.

Instructors should do an exercise debrief around who played leadership roles, how the group reacted to requests to change the order of the lineup, etc.

This exercise takes about 20 minutes to complete.

Alternative setup: Instead of having a balance beam, instructors might want to just place two strips of masking tape on the floor. The strips should be about 12 inches apart, and students are not to step outside the tape while doing the exercise.

**Exercise 1-7**

**Exercise Title:** Chernobyl

**Purpose:** To demonstrate leadership, management, followership, trust, visioning, communication, delegation, and the situational factors affecting leadership behaviors.

**Summary:** You will need a 5 gallon plastic bucket, a koosh ball, a transportation device made of surgical rubber tubing and rope, a loop of rope 15 feet in diameter, a loop of rope 4 feet in diameter, and 5−7 blindfolds (this varies depending upon the number of people in the exercise). Place the koosh ball on top of the overturned bucket, and place the bucket in the middle of the 15-foot loop of rope. The 4-foot loop of rope should be placed about 20 yards away from the 15-foot loop. The koosh ball represents a radioactive isotope that must be moved from the containment area (the 15 foot loop) to the customer service area (the 4 foot loop). Anyone touching the bucket, the koosh ball, or entering the containment area is contaminated and is removed from the exercise. The team must use the transportation device to pick up the bucket and isotope and move it to the customer service area. (To make the transportation device, tie the surgical tubing so that it forms a loop approximately 1 foot in diameter. Then tie 5−7 fifteen-foot ropes to the surgical tubing loop at equal intervals.)

The transportation team is made up of three hierarchical levels. Appoint one or two leaders to oversee the overall project, 5−7 first-line supervisors, and 5−7 workers (the number of supervisors, workers, blindfolds, and tails on the transportation device must match). The workers are blindfolded *before* they see the exercise, and they are the only ones who can touch the transportation device. Thus, blindfold the workers at least 50 yards from the containment area, and assign a supervisor to help each worker get to the containment area and work on the problem.

Give the leaders and supervisors 25−30 minutes to plan and implement a solution. To successfully solve the problem, the leaders must communicate an overall plan, the supervisors must constantly communicate instructions to their “blind” workers, and the workers must work together to position the transportation device over the bucket, pick the bucket up and move the bucket to the customer service area. Instructors have the option of giving the team more time to implement the solution, but only if the leaders ask for more time with more than 10 minutes left in the exercise. (Teams should not tell their customers they would not be delivering products on time just before the scheduled delivery date.) In terms of penalties, workers, supervisors, or leaders entering the containment area can be eliminated from the exercise. Thirty second time penalties (where all work ceases) can be assessed every time a supervisor touches the transportation device. The bucket and isotope may be returned to the containment area and the transportation device removed if the isotope falls off the bucket on the way to the customer service area.

The instructor should comment on how the team came up with and implemented solutions, how the situation and the followers affected the leadership process, how supervisors and workers communicated with and listened to each other, what role teamwork and trust played in the process, how real organizations have members who are “blind” to organizational goals, whether or not leaders micromanaged or supervisors emerged as leaders, etc. Instructors can also use this exercise to compare and contrast the LMX Theory, normative decision model, the Situational Leadership Theory, the contingency model, and the path−goal theory in Chapter 14.

This exercise takes 50 minutes to complete, and is adapted from The Center for Creative Leadership’s Outdoor Leadership Training Module.

**Chernobyl Diagram**

Surgical Tubing

15’ Diameter Rope

5 Gallon Bucket with Koosh Ball

4’ Loop of Rope

**Transportation Device**

**Exercise 1-8**

**Exercise Title:** *The Blind Men and the Elephant*

**Purpose:** To demonstrate 1) leadership is a complex process and 2) the value of multiple perspectives to the study of leadership (and other important issues related to the leadership process).

**Summary:** You will need a copy of the poem on the following page—individual copies can be distributed to students or the poem can be displayed on an overhead (or through a similar multimedia outlet).

This exercise can be completed in small groups or as a classroom discussion.

After reading the poem, students should focus their discussions on two specific issues: 1) what does this poem mean and 2) what does it have to do with the study of leadership. Simply stated, the poem strikes at the heart of something that is crucial to the study of just about anything—in our case, leadership. The notion is that the world and its associated issues/questions are often very complex and given this complexity it is unlikely simple, one-sided solutions will lead to good solutions. Leadership is a complex phenomenon, and it too requires careful attention and review from **multiple perspectives**. As examples, one can think about leadership in the following ways: as an art and science, on stages large and small, distinctions between leadership and management, and as rational and emotional. Finally, this notion of multiple perspectives can serve as a useful bridge or introduction to the Interactional Framework and the importance of using various lenses (or perspectives) in evaluating and understanding leadership situations.

If the initial discussions occur in small groups, make sure to take some time to bring the discussion (and conclusions) back to the front of the classroom to be sure all of the students benefit from the unique points addressed by each small group.

This exercise takes 25–30 minutes to complete.

The Blind Men and the Elephant

American poet John Godfrey Saxe (1816-1887) based the following poem

on a fable which was told in India many years ago.

It was six men of Indostan / To learning much inclined,

Who went to see the elephant / (Though all of them were blind),

That each by observation / Might satisfy his mind.

The First approached the Elephant / And happening to fall

Against his broad and sturdy side, / At once began to bawl;

“God bless me! But this elephant / Is nothing but a wall!”

The Second, feeling of the tusk, / Cried “Ho! What have we here

So very round and smooth and sharp! / To me ‘tis mighty clear

This wonder of an Elephant / Is very like a spear!”

The Third approached the animal, / And happening to take

The squirming trunk within his hands, / Thus boldly up and spake;

“I see,” quoth he, “the elephant / Is very like a snake!”

The Fourth reached out his eager hand, / And felt about the knee:

“What most this wondrous beast is like / Is mighty plain,” quoth he;

“’Tis clear enough the elephant / Is very like a tree.”

The Fifth, who chanced to touch the ear, / Said, “E’en the blindest man

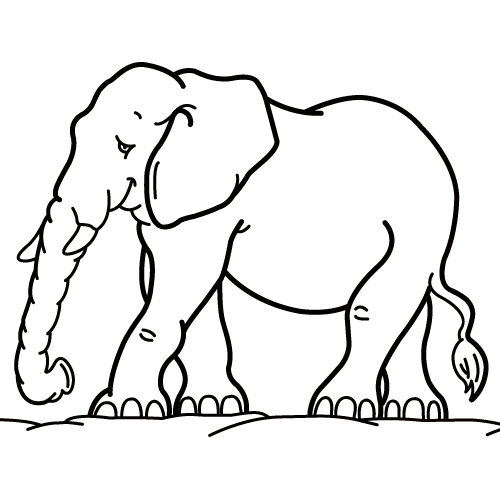
Can tell what this resembles most; / Deny the fact who can,

This marvel of an elephant / Is very like a fan!”

The Sixth no sooner had begun / About the beast to grope,

Than, seizing on the swinging tail / That fell within his scope,

“I see,” quoth he, “the elephant / Is very like a rope!”



And so these men of Indostan / Disputed loud and long,

Each in his own opinion / Exceeding stiff and strong,

Though each was partly in the right, / And all were in the wrong!

So, oft in theologic wars /

The disputants, I ween

Rail on in utter ignorance /

Of what each other mean,

And prate about an elephant /

Not one of them has seen!

**Exercise 1-9**

**Exercise Title:** *Leaders, Followers, and Managers*

**Purpose:** To identify (as well as compare and contrast) the attributes of leaders, followers, and managers.

**Summary:** Divide students into small groups (4−5 students per group) and provide each group with a flipchart or white/chalk board space to construct their lists.

**Part I:** Student groups should be instructed to identify individual attributes for each of the following categories: leaders, followers, and managers. Each list should contain between 5−7 attributes. Once the lists are composed, students should compare and contrast their lists and attempt to draw some conclusions about what “kinds” of attributes are listed—are there any overarching themes?

This portion of the exercise should last 10−15 minutes.

**Part II:** Ask one student from each group to report on their key findings. After all of the groups have reported their individual findings, a class-wide summary discussion (with an emphasis on what was generated by the groups) can be pursued. Potential points to consider:

- Was any one group described by more emotional or rational terms—are they mutually exclusive?

- Did the list of leader attributes focus on “large stage” issues to the exclusion of “small stage” issues?

- Where any of the myths of leadership addressed?

- This portion of the exercise should last 10–15 minutes.

Total exercise time is 25–30 minutes.

Additional References/Resources

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Websites

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The Gallup Leadership Institute (University of Nebraska—Lincoln): <http://digitalcommons.unl.edu/gallupleadership/policies.html>

The James MacGregor Burns Academy of Leadership (University of Maryland): <http://www.academyofleadership.org/>