6

Contemporary Theories of Leadership

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A leader's role is to raise people's aspirations for what they can become and to release their energies so they will try to get there.

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■ INTRODUCTION

The publication in 1978 of *Leadership*, James MacGregor Burns's bestselling book on political leadership, marked a major transition in the development of leadership theory. Much of the research in leadership since then has been largely influenced by his definition of "transforming leadership." Burns was the first to conceptualize leadership as a social process that involves both leaders and followers interacting and working together to achieve common interests and mutually defined ends. His theory clearly elevated the significance of followers and the leader–follower relationship in the leadership equation.

This chapter reviews Burns's transforming leadership theory and subsequent research that emerged as a result of his perspective. Also described are other contemporary leadership theories that emphasize the importance of the followers' role in leadership, such as the postindustrial paradigm of leadership, leader–member exchange (LMX) theory, followership, and servant leadership.

■ TRANSFORMING LEADERSHIP AND TRANSFORMATIONAL LEADERSHIP

Transforming Leadership

Burns (1978) is credited with revolutionizing scholars' and practitioners' view of leadership. Burns defined transforming leadership as occurring 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. 20). Although initially starting out separate (and perhaps even unrelated), the purposes of both leaders and followers become fused. Leaders play a major role in shaping the relationship with followers. Burns believed that leaders are commonly more "skillful in evaluating followers' motives, anticipating their responses to an initiative, and estimating their power bases, than the reverse" (p. 20).

Transforming leadership has an elevating effect on both the leader and the led because it raises the level of human conduct and interaction. In the end, transforming leadership is a moral process because leaders engage with

followers based on shared motives, values, and goals. Transforming leadership contrasts with transactional leadership, whereby the leadership relationship is limited to the leader's ability to appeal to followers' self-interest for the purpose of an exchange of valued things.

Burns asserts that only followers can ultimately define their true needs. This implies that followers must maintain freedom of choice between real alternatives. Transforming leaders operate at the highest stages of moral development. Burns (1978) asserted that transforming leaders are "guided by near-universal ethical principles of justice such as equality of human rights and respect of individual dignity" (p. 42).

Nonetheless, transforming leadership is grounded in conflict. Conflict is often compelling, because it galvanizes and motivates people. Leaders do not shun conflict; they embrace it by both shaping and mediating conflict. Leaders are able to discern signs of dissatisfaction among followers and take the initiative to make connections with followers. The power in transforming leadership comes by recognizing the varying needs and motives of potential followers and elevating them to transcend personal self-interests. Followers are mobilized by leaders' ability to appeal to and strengthen those motives through word and action.

Leadership Points to Ponder

Leadership is not magnetic personality that can just as well be a glib tongue. It is not "making friends and influencing people;" that is flattery. Leadership is lifting a person's vision to higher sights; the raising of a person's performance to a higher standard, the building of a personality beyond its normal limitations.

Peter F. Drucker (*from http://thinkexist.com*)

Transformational Leadership

Bass (1985, 1996) built upon Burns's (1978) original ideas of transforming leadership. He began empirically examining the theory and calling his revised theory "transformational leadership." These terms may seem nearly identical. However, there is an important distinction in that, whereas Burns's theory focuses more on social reform by moral elevation of followers' values and needs, Bass's transformational leadership focuses more on attaining practical organizational objectives (Yukl 2010).

Bass asserted that leaders demonstrating transformational leadership typically engage in several categories of behaviors. These behaviors typically enhance follower motivation and performance.

According to Bass (1985), transformational leaders are able to achieve three things: (1) make followers aware of the importance of task outcomes, (2) induce followers to transcend personal interest for the sake of the team or organization, and (3) move followers toward higher-order needs.

As a result, followers feel more confidence in the leader and report feeling greater trust, admiration, loyalty, and respect, especially when they are motivated to do more than they originally expected. Although numerous dimensions of transformational leader behaviors have been theorized and researched, it is commonly accepted that transformational leader behaviors comprise four categories: (1) idealized influence, (2) individualized consideration, (3) inspirational motivation, and (4) intellectual stimulation (Bass, 1997).

Transactional leadership behaviors refer to activities that help clarify expectations for direct reports, help direct reports achieve desired rewards and avoid punishments, and help facilitate desired outcomes (Avolio & Bass, 1988). Transactional leader behaviors commonly comprise three categories: (1) contingent reward, (2) management by exception—active, and (3) management by exception—passive.

Although transformational and transactional leader behaviors are distinct, they are not necessarily mutually exclusive. Effective leaders, Bass asserted, make use of both types of leadership. Whereas transformational leader behaviors enlist enthusiasm and commitment, transactional leadership behaviors achieve compliance with leader requests.

Recent versions of transformational and transactional theory include a third category of leadership: laissez-faire. This category represents an absence of effective leadership and describes the type of leader who is passive or indifferent to direct reports. Taken together, the three meta-categories (transformational, transactional, and laissez-faire) are sometimes called the Full Range Leadership model (Avolio, 1999; see **TABLE 6-1**).

Transformational and transactional leadership constitute the most widely researched models of leadership. They have been extensively studied in many different organizational contexts (e.g., corporations, militaries,

Table 6-1 Full Range Leadership Model

Transformational leadership	
Idealized influence	Leaders serve as outstanding role models for their followers. They display conviction, emphasize important personal values, and connect those values with organizational goals and ethical consequences of decisions.
Inspirational motivation	Leaders articulate an appealing vision of the future and challenge followers' high standards and high expectations. Leaders provide encouragement, optimism, and purpose for what needs to be done.
Intellectual stimulation	Leaders question old assumptions and stimulate new perspectives and innovative ways of doing things. They encourage followers to think creatively to address current and future challenges.
Individualized consideration	Leaders provide a supportive environment and carefully listen to followers' needs. Leaders also advise, teach, or coach their followers with the intention of advancing follower development.
Transactional leadership	
Contingent reward	Leaders offer followers rewards in exchange for desired efforts. Behaviors in this category revolve around clarifying expectations and exchanging promises.
Management by exception–active	Leaders observe follower behavior and take corrective action when followers deviate from expected performance.
Management by exception–passive	Leaders choose not to, or fail to, intervene until a problem becomes serious. In essence, leaders do not intervene until a problem is brought to their attention.
Laissez-faire leadership (nonleadership)	
Laissez-faire leadership	Leaders avoid accepting responsibility and delay or even fail to follow up on requests. This type of leader behavior also includes little or no effort to address followers' needs. It is essentially an absence of leadership.

Sources: Adapted from Bass (1997) and Northouse (2007).

government agencies, schools, and universities; Lowe, Kroeck, Sivasubramaniam, 1996) and cultures (e.g., the United States, Mexico, China, Japan, Indonesia, and Germany; Bass, 1997).

Transformational leadership is not limited to the upper echelons of organizations. Lowe and coauthors (1996) examined 23 published and unpublished studies examining transformational and transactional leadership. They found that leaders demonstrating transformational leader behaviors were more effective than those only demonstrating transactional leadership. Furthermore, they found that transformational leader behaviors were more common in public organizations compared to private organizations as perceived by the leaders' direct reports. The study also reported that leaders at lower levels of organizational hierarchy were more likely

to demonstrate transformational leader behaviors compared to executives holding higher-level positions. In addition, transformational leadership has been related to objective measures, such as financial performance (Rowold & Heinitz, 2007), sales performance (Yammarino & Dubinsky, 1994), and percent of goals met (Howell & Avolio, 1993).

Extensive research has been conducted examining the effect of transformational leader behaviors on followers and organizational outcomes. For example, Organ, Podsakoff, and MacKenzie (2006) found that transformational leader behaviors effected organizational citizenship behaviors among employees. Organizational citizenship behaviors are discretionary behaviors that are outside normal "in-role" job functions. In the aggregate, they promote effective organizational functioning (Organ,

1988). Organ and coauthors (2006) reported that transformational leadership directly influenced employee "altruism" citizenship behaviors. However, they also found that transformational leader behaviors directly affect employees' trust in their leader, which in turn also enhances employees' willingness to engage in other citizenship behaviors, such as "sportsmanship," "civic virtue," and "conscientiousness."

Other studies explained the impact of transformational leader behaviors on organizational outcomes differently. One study found that transformational leader behaviors directly affect employee "psychological capital" (Gooty, Gavin, Johnson, Frazier, & Snow, 2009). Positive psychological capital refers to positive-oriented human resource strengths and psychological capacities that improve the workplace (Luthans, 2002). These capacities include the dimensions of hope, self-efficacy, resiliency, and optimism. Psychological capital then increases employees' willingness to improve job performance and organizational citizenship behaviors directed at individuals and the organization (Gooty et al., 2009).

Bass (1997) reviewed literature that examined transformational leadership across cultures. He reported that although the mean and correlation strength may vary, the general pattern of the relationships between the transformational leader dimensions on measured outcomes (e.g., leader effectiveness, satisfaction, and extra effort) is the same.

However, there may be cultural contingencies on how each of the categories of transformational leader behaviors may be demonstrated. Yokochi (1989) reported that in a collectivist culture, such as Japan, there is an expectation that leaders will use individualized consideration. There is a mutual moral obligation between leaders and followers. Leaders are expected to help employees prepare for a career and counsel them about personal problems, and followers reciprocate with unquestioning loyalty and obedience. Additionally, Bass (1997) reported on other studies conducted across cultures that asked participants to describe their prototypical leaders. Avolio and Bass (1990) conducted extensive leadership development programs across the globe (e.g., Canada, Italy, Israel, Sweden, and Austria) and found that when individuals describe their ideal leaders, they commonly express transformational leadership qualities compared to transactional leadership qualities.

▉ RELATIONAL LEADERSHIP

Leader–Member Exchange

Original studies of LMX theory asserted that managers develop differentiated relationships with direct reports within their organizations. According to the theory, managers develop high-quality relationships with only a few, high-trust direct reports. Managers reporting high-quality relationships (in-groups) characterize the exchange with high mutual respect, trust, and obligation on one end of a continuum. Low-quality relationships (out-groups), at the other end of the spectrum, are characterized by a relatively low degree of mutual respect, trust, and obligation (Dansereau, Graen, & Haga, 1975). This theory was originally labeled "vertical dyad linkage" because it focused on the reciprocal influence of managers and their direct reports within vertical dyads whereby one has direct authority over another (Yukl, 2010). There are tremendous advantages for direct reports who establish high-quality relationships. They tend to receive more desirable tasks assignments; are delegated greater authority; receive greater tangible rewards (e.g., pay increases); and receive greater approval and support.

Scholars assert that the manager–direct report relationship develops in a three-stage process described as a "life cycle model" (Graen & Uhl-Bien, 1995). The "stranger" stage begins when leaders and members first come together. This relationship is purely contractual in nature, whereby leaders provide members with what they need, and members perform prescribed work activities. In the "acquaintance" phase, the second of the life cycle stages, there is an increase in social exchanges. The relationship begins to transcend formal job requirements as leaders and members share greater information on a personal level, in addition to the work level. The third and final phase is described as a "mature partnership." These exchanges are highly developed and characterized by a mutual sense of trust, respect, and obligation. Participants in such relationships can count on one another for loyalty and support. How a dyad advances through each of these stages varies. Some dyads may not progress past the "stranger" phase and may maintain only the contractually based relationship. Others may rapidly progress to the "partnership" phase and achieve the tremendous advantages of a mature relationship.

LMX theory is one of the most widely studied leadership models. Gerstner and Day (1997) conducted a

review of all published research on LMX and reported that high-quality LMX was positively related to such variables as performance ratings, objective performance, satisfaction with supervisor, overall satisfaction, organizational commitment, and role clarity. It was also positively related to organizational citizenship behaviors (Ilies, Nahrgang, & Morgeson, 2007). Low-quality LMX proved to be positively related to such variables as role conflict and turnover intentions.

There are many factors that influence the development of high-quality LMX. Research indicates that greater demographic similarity between the manager and direct reports, such as gender (Duchon, Green, & Taber, 1986; Green, Anderson, & Shivers, 1996), personality (Burns, 1995; Deluga, 1998), and attitudes (Dose, 1999; Steiner, 1988), were positively related to high-quality LMX. Other research focused on leader characteristics, such as attitudes, perceptions, and behavior, in the LMX relationship. For example, leader qualities, such as trust-building behavior (Deluga, 1994) and delegation (Bauer & Green, 1996), leader self-efficacy, and optimism (Murphy & Ensher, 1999) were positively related to LMX quality. Additional studies found that member characteristics, such as extraversion (Phillips & Bedeian, 1994), locus of control (Kinicki & Vecchio, 1994), self-efficacy (Murphy & Ensher, 1999), ingratiation (Deluga & Perry, 1994; Wayne, Liden, & Sparrowe, 1994), "in-role" behavior (Basu & Green, 1995), and subordinate performance (Basu & Green, 1995; Liden, Wayne, & Stilwell, 1993) were positively related to LMX quality. Finally, research examined the role of situational variables in the development of LMX. Perceived organizational support was positively related to high-quality LMX (Wayne, Shore, & Liden, 1997). Unit size was negatively related to high-quality LMX (Green et al., 1996). This means that the larger the departmental unit, the less likely leaders were to develop high-quality LMX relationships.

Leadership Points to Ponder

The single biggest way to impact an organization is to focus on leadership development. There is almost no limit to the potential of an organization that recruits good people, raises them up as leaders and continually develops them.

John C. Maxwell
The 17 Indisputable Laws of Teamwork (2001, p. 185)

People who have studied LMX have sought to assist managers in developing high-quality relationships with all members (Graen & Uhl-Bien, 1995). Expanding high-quality LMX beyond the typical select few who develop naturally provides two valuable benefits. First, it increases the perception of fairness among members and decreases suspicions of favoritism. Second, it increases the potential for "effective leadership and expanded organizational capability" (p. 229). Realistically, managers still develop differing relationships with their direct reports. Although theoretical models propose potential organizational (e.g., organizational culture and organizational structure), group (e.g., composition and size), and individual (e.g., leadership style and employees' desire for a high-quality relationship) antecedents to LMX differentiation and potential outcomes (Henderson, Liden, Glibkowski, & Chaudhry, 2009), further research is required to understand how these many different elements affect the development of LMX differentiation.

It is important to note that nearly all of the theory development and research examining LMX quality has been performed with the assumption of hierarchical relationships based on formal authority and reporting structures. Research is beginning to integrate both formally structured and informal relationships. Sparrowe and Liden (1997) theorized that leaders' and members' informal social networks affect the quality of LMX. Each is able to incorporate the other, through introductions and referrals, to their respective network of trusted contacts. As result, the added relational resources were theorized to enhance the work-related outcomes of the dyad members. Further, Balkundi, and Kilduff (2005) asserted that the range of one's social network across organizational boundaries will enhance personal benefits and organizational outcomes.

Research supports the notion that the breadth of one's informal social network positively affects LMX quality when the other member of the dyad is frequently sought for advice (Goodwin, Bowler, & Whittington, 2008). This indicates that leaders also recognize the value of members' social networks to the workings of the organization. Additionally, group leaders who were well connected in a friendship network of their peers at the same level in the organization outperformed their peers who were not as highly connected (Mehra, Dixon, Brass, & Robertson, 2006). This was likely because highly connected leaders

have "better and faster access to information, advice and support" (p. 74).

Relational leadership is another emerging view of leadership that focuses on processes, not on persons, by which "leadership is produced and enabled" (Uhl-Bien, 2006). Relational leadership theory is defined as "a social influence process through which emergent conditions (i.e., evolving social order) and change (i.e., new values, attitudes, approaches, behaviors, ideologies, etc.) are constructed and produced" (p. 668). It assumes that leadership can occur in any direction. From this perspective, "it is possible to see relationships other than those built from hierarchy . . . and to envision transformational phenomenon where the social change process occurs well outside the normal assumptions of command and control (Murrell, 1997, p. 39).

Although the knowledge gained from these studies and insights developed from theoretical models proves fruitful for leader–member relationships in the context of organizations, the understanding of leader–member relationships based on informal networks and other relationships that transcend organizations in community-level leadership initiatives is severely limited. One can draw inferences from the current LMX literature and other relational leadership theory, but further research is required to more comprehensively understand the process of how relationships develop and their role in the leadership process.

◼ POST INDUSTRIAL LEADERSHIP

Joseph Rost (1993) is credited with shifting scholars' focus from what he described as the industrial paradigm of leadership theory to the postindustrial paradigm. The subject of leadership did not exist before the 1890s, and the study of leadership has been a predominantly twentieth-century phenomena (Rost, 1997). Since that time, the basic ideas of leadership, in his view, had not changed much. He sharply criticized the popular assumptions about leadership at the time, which he described as (1) leadership is what great people do, (2) leadership and management are interchangeable, and (3) the terms "leadership" and "leader" are synonymous.

The concept of leadership in the industrial paradigm was bound up with what leaders do; the assumption was that no one else mattered. Therefore, followers had nothing to do with leadership and were typically perceived as being passive, submissive, and directed. After conducting an exhaustive review of leadership theory and research, Rost summarized the industrial paradigm definition of leadership as: "great men and women with certain preferred traits influencing followers to do what the leaders wish in order to achieve group/organizational goals that reflect excellence defined as some kind of higher-order effectiveness" (Rost, 1993, p. 180).

Rost contrasted the industrial paradigm of leadership with the radically different approach in the postindustrial age, which characterized leadership as relationship-based and focused on the noncoercive interaction of leaders and followers who develop common interests. Based on this perspective, Rost redefined leadership as "an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes" (Rost, 1993, p. 102). There are four critical elements that comprise this definition of leadership, and each component is essential in understanding the postindustrial perspective: (1) the relationship is based on influence, (2) leaders and followers are participants in this relationship, (3) leaders and followers intend real changes, and (4) leaders and followers develop mutual purposes.

Leadership Points to Ponder

You must unite your constituents around a common cause and connect with them as human beings.

James Kouzes and Barry Posner
(from *http://www.youreffectiveleadership.com*)

Relationships Based on Influence

A leadership relationship must be based on influence, which is characterized as a process of using persuasion to affect other people. Although persuasion is largely composed of rational discourse, it may also include other aspects of "power resources," such as content of the message, purpose, symbolic interaction, perception, and motivation. Influence relationships are multidirectional, meaning they involve interactions that are vertical, horizontal, diagonal, and circular. This implies that anyone can be a leader or a follower, because leaders persuade followers and followers influence leaders. In the postindustrial paradigm, leaders and followers can actually switch places. Furthermore, relationships based on influence are inherently noncoercive. Coercion is antithetical

to leadership because, according to Rost, it relies on authority or a power relationship that is dictatorial. Rost (1993) described dictatorial relationships as using people as objects, not as persons. As such, dictatorial relationships keep people in subservient roles. Freedom is necessary in influence relationships.

Leaders and Followers Are Participants

Leadership is a social process; therefore, leaders interact with other people. In the postindustrial paradigm, followers are no longer viewed as "the sweaty masses" or willing to let other people control their lives. Rather, followers must be active participants in the leadership process. Followers may fall anywhere on the continuum of the level of activity, but the important point is their willingness to be involved in the process and engage their power resources to influence other people. According to Rost (1993), followers do not "do followership." Rather, the interactions between leaders and followers comprise the leadership relationship. This does not mean that leaders and followers are equal in this relationship. Typically, leaders have more influence because they are willing to share (or perhaps even risk) more power resources than followers. However, there may be times when followers exert more influence in the relationship, particularly when they seize the initiative and drive the purposes in the relationship.

Participants Intend Real Change

There are two critical terms in this component of Rost's definition of leadership: intend and real. "Intend" indicates that leaders and followers are purposeful and desire certain changes in an organization or society. Because persons typically evaluate others' intentions by their words and deeds, intention must be demonstrated by action. The word "real" means that the purposes intended by leaders and followers must be significant and transforming. The postindustrial definition of leadership does not require participants to produce the changes for leadership to occur. Whereas intended changes are in the present and changes actually take place in the future (if at all), Rost's definition focuses more on the leadership process than the actual product or outcomes of the process. "A relationship wherein leaders and followers intend real changes but are unsuccessful or ineffective, or achieve only minimum changes, is still leadership" (Rost, 1993, p. 116).

Changes Reflect Mutual Interests

The final component of the postindustrial paradigm of leadership focuses on mutual purposes. For purposes to be mutual, they cannot rely solely on what leaders want or only on what the followers want. These mutual purposes emerge only through repeated and numerous interactions between leaders and followers. Rost carefully chooses the term "purposes" rather than "goals" because purposes are generally considered broader and more holistic and more closely related to the terms "vision" or "mission." Through noncoercive influence relationships, leaders and followers come to agreement and forge common interests and mutual purposes (Rost, 1997).

Proponents of the postindustrial paradigm of leadership also criticize leadership models purporting to view leadership as a social process, such as theories that focus on the dyadic relationship (e.g., LMX) between managers and their direct reports (Barker, 1997).

> *This concept of leadership is founded in the feudal touchstone of citizenship: one's relationship with one's king. This relationship implies several assumptions: (a) that the king deserves allegiance by virtue of rank, (b) that there is a natural, hierarchical difference in status, intelligence, and ability, (c) and that the subject's role is to serve the king's wishes. (Barker, 1997, p. 350)*

Barker differentiated leadership as a social relationship and leadership as a social process. He asserted that leadership as a social relationship tends to be contractual in nature based on role expectations. However, leadership as a social process, which includes social relationships, is much broader in that it provides flexibility in the creation of new relationships, roles, and expectations where none may have existed. These relationships look far beyond hierarchical, organizational structures to include informal social networks (within and outside an organizational context) and intraorganizational relationships, among other types of relationships not based on formal authority connections. Barker likened the leadership process to a river:

> *Contained by its bed (the culture), it can be said to be flowing in one direction, yet, upon close examination, parts of it flow sideways, in circles, or even backwards relative to the overall direction. It is constantly changing in speed and strength, and even reshapes its*

own container. Under certain conditions, it is very unified in direction and very powerful; under other conditions it may be weak or may flow in many directions at once. (Barker, 1997, p. 352)

The postindustrial paradigm of leadership developed by Rost and others has tremendous intuitive and practical appeal and offers valuable potential for leadership education. Effective leadership curricula ought to include three broad categories: (1) evolution of social change and development, (2) processes influencing social change, and (3) dynamics of human nature in change processes (Rost & Barker, 2000).

Unfortunately, scholars have been slow to embrace the postindustrial paradigm of leadership. One recent study examined historical records to describe the context and process of the Nez Perce leadership council as an exemplar of the paradigm (Humphreys, Ingram, Kernek, & Sadler, 2007). However, few have empirically investigated it to confirm or disprove the veracity of its components. Perhaps this perspective of leadership does not lend itself well to rational, scientific inquiry. If leadership is defined as a social process (as identified by Barker), one must view relationships and their potential creation and dissolution as a rather nebulous construct. This causes tremendous challenges for scholars applying the scientific method to not only describe its nature, but also predict potential antecedents and outcomes.
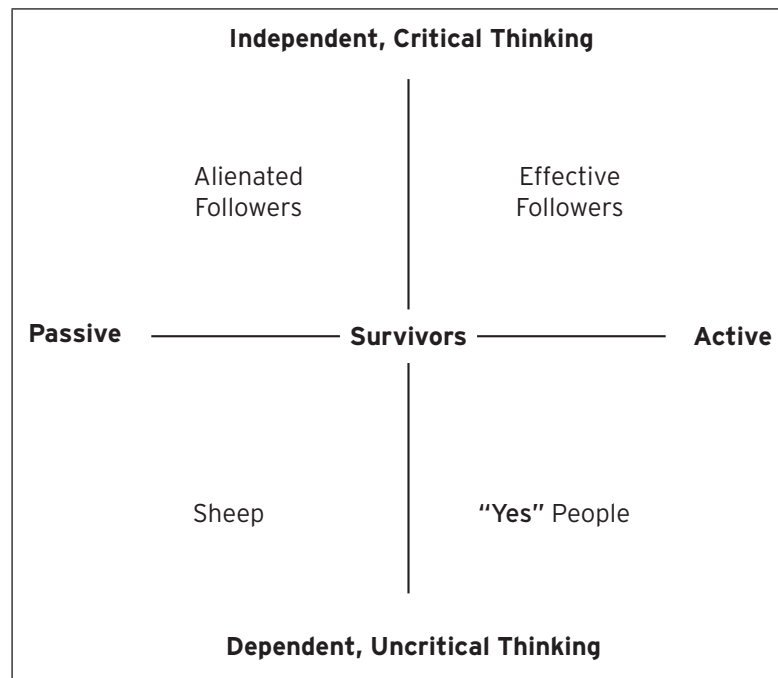
◼ FOLLOWERSHIP

To raise the importance of the role of followers in the leadership process, researchers have proposed several theories that describe the leadership capacities of followers. This is not to minimize the relevance of leaders, but rather to enhance the understanding of the vital role that followers play in the leadership relationship.

Effective Followership

Kelley (1988) asserted that what differentiated effective from ineffective followers were their enthusiasm, intelligence, and self-reliant participation. He described a two-dimensional model that explained follower

behavior. The first dimension describes the degree to which followers exercise independent and critical thinking. The second ranks them on a passive–active scale. Based on the two dimensions, four categories of followers emerge (**Figure 6-1**).

Sheep, according to Kelley, are passive and are generally unwilling to accept responsibility. They typically complete tasks given to them but rarely demonstrate initiative beyond those tasks. "Yes" people are more involved but are equally unwilling to demonstrate innovation or creativity. Alienated followers express critical and independent thinking but are passive in their roles; at some point, they were turned off. Although they rarely openly oppose the leader, they are often cynical and disgruntled. At the center of the diagram are survivors. They tend to adapt and survive change well but often live by the slogan "better safe than sorry." Effective followers, at the upper right quadrant of the diagram, effectively think for themselves in carrying out tasks and bring energy and enthusiasm while demonstrating initiative and assertiveness. Four qualities are shared by effective followers: (1) they manage themselves well; (2) they are committed to the organization or purpose outside themselves; (3) they build their competence; and (4) they are courageous, credible, and honest.

Independent, Critical Thinking

Alienated Followers — Effective Followers

Passive — Survivors — **Active**

Sheep — "Yes" People

Dependent, Uncritical Thinking

Source: Kelley (1998).

Figure 6-1 Follower behavior.

Effective followers tend to be actively involved in the life of the organization. They openly disagree with the leader and are not intimidated by hierarchy. Because they demonstrate initiative, they rarely need elaborate supervisory systems. Effective followers display commitment to a cause, product, or idea; however, they temper their loyalties to satisfy organizational needs.

Effective followers master important knowledge and skills necessary for their organization. These followers happily take on extra work that stretches their current capacities because they do not mind chancing failure. Further, effective followers establish themselves as credible and trustworthy and hold to ethical standards in which they believe.

Leadership Points to Ponder

The signs of outstanding leadership appear primarily among the followers. Are the followers reaching their potential? Are they learning? Serving? Do they achieve the required results? Do they change with grace? Manage conflict?

Max De Pree (from *Leadership is an Art,* 2004)

Courageous Followership

Challeff (1995) also asserted that "follower" is not a synonym for "subordinate." Followers are effective stewards for the organization and its resources. Challeff describes five dimensions of courage that are essential to effective followership:

1. Courage to assume responsibility: followers who discover and create new opportunities for themselves. They do not take a paternalistic view of their organization whereby they expect their supervisors to provide for their growth or permission to act.

2. Courage to serve: followers who are willing to work hard and serve their leader and organization. Effective followers display numerous behaviors in this dimension of courageous followership. For instance, followers can help the leader define and communicate the vision of the organization to all levels (Challeff, 2002). Courage to serve can also encompass behaviors intended to "conserve the leader's energy" by perhaps serving as a buffer and managing crises on the leader's behalf.

3. Courage to challenge: followers who engage in potential conflict as they voice their sense of what is right. Effective followers may risk rejection but nonetheless are willing to stand up for their beliefs. Although courageous followers value organizational harmony, they are willing to confront when individual or organizational activities violate the common purpose or integrity.

4. Courage to participate in transformation: followers who are involved in organizational transformation. Courageous followers may even serve as champions of organizational change, while still struggling with the discomfort and disequilibrium of the change process themselves.

5. Courage to take moral action: followers who know when to take a stand that is different from that of their leaders. This dimension of courage may put followers at risk because they may refuse a direct order, may seek to go above the leader's head, or may submit a resignation. Courageous followers are motivated by a higher purpose and are unwilling to compromise moral principles even in the face of tremendous risk to themselves.

Challeff described courageous followers as possessing tremendous power. Granted, followers do not possess formal power equal to that of leaders (1995). However, courageous followers appeal to other sources of power that are quite different from those of the leader. There is a wide range of followers' power:

- Power of purpose, common good
- Power of knowledge, skills, or resources
- Power of personal history, record of personal success in the organization
- Power of faith in self, integrity, commitment
- Power to speak the truth
- Power to set a standard that influences others
- Power to choose how to react in situations regardless of what is done or threatened
- Power to follow (or not)
- Power of relationships and networks
- Power to communicate through many channels
- Power to organize others
- Power to withdraw support

Numerous other conceptual models regarding effective followership have been published in the academic literature and popular press. Baker (2007) reviewed the various followership models and discovered that they shared four primary themes. First, followers and leaders are roles, not people with inherent characteristics. Most individuals, regardless of their positions in an organizational structure, have played the roles of both follower and leader in their organizations. Second, followers are active, not passive. This is contrary to popular views that followers are passive, obedient sheep. Demonstrating followership requires both parties (leaders and followers) to be active participants in the leader–follower relationship. Third, followers and leaders share a common purpose. Common purpose emerges out of an interdependent leader–follower relationship. Participants in followership remain committed to organizational goals. Finally, followership is built on the relational nature of both leaders and followers. The relationship is a two-way influence process. This collaborative partnership values the contributions of both leaders and followers.

Howell and Shamir (2005) contended that "understanding followers is as important as understanding leaders" (p. 110). Yukl (2010) rightly asserted that theories focusing almost exclusively on leaders or on followers are limiting, especially compared to more balanced explanations. Nonetheless, followership offers useful insights by describing qualities that are important for followers to be effectively engaged in the leadership process.

■ SERVANT LEADERSHIP

Greenleaf (1977) proposed the concept of servant leadership. For Greenleaf, the primary responsibility of leaders is to provide service to others. Spears (1995) asserted that the servant leader emphasizes "service to others, a holistic approach to work, a sense of community, and shared decision making power" (pp. 3–4). For the servant leader, taking care of other people's needs takes highest priority. Greenleaf (1977) described a series of questions that serve as a litmus test of the servant leader: "Do those served grow as persons? Do they, while being served, become healthier, wiser, freer, more autonomous, more likely themselves to become servants? And, what is the effect on the least privileged of society; will they benefit, or at least, not be further deprived?" (pp. 13–14).

Servant leadership, in essence, is a philosophic approach to life and work. Put differently, Spears (1995) stated, "at its core, servant-leadership is a long-term, transformational approach to life and work, in essence, a way of being that has the potential to create positive change throughout society" (p. 4). Servant leadership is a long-term pursuit of the improvement of corporate cultures and is not consistent with short-run profit motives (Giampetro-Meyer, Brown, Browne, & Kubasek, 1998).

Spears built on Greenleaf's original writing by identifying 10 characteristics of the servant leader.

1. Listening: The deep, heartfelt commitment to listening intently to others.
2. Empathy: Recognizing and accepting people for their special talents, gifts, and unique spirit.
3. Healing: People may have broken spirits or a variety of emotional hurts, thus an essential gift of the servant leader is not only to heal one's self, but also to assist in the healing of others.
4. Awareness: Refers primarily to self-awareness, which aides and strengthens the servant leader by providing an understanding of issues from a well-developed sense of ethics and values.
5. Persuasion: Servant leaders seek to convince rather than coerce and can be thought of as a "gentle persuasion" by challenging others to think of issues in different perspectives.
6. Conceptualization: The capacity to "dream great dreams." The servant leader is able to envision the future not only in the context of the individual, work group, or organization, but also within the context of the societal realm.
7. Foresight: The ability that enables servant leaders to glean lessons from the past, within the realities of the present, and understand potential consequences of future decisions.
8. Stewardship: The perspective that corporate institutions play a significant and vital role in affecting the greater good of society.
9. Commitment to growth of people: Every individual has an intrinsic worth beyond their contributions as workers. Servant leaders seek the holistic growth and development of others.
10. Building community: The servant leader takes advantage of opportunities to create community in the context of the given work institution.

Graham (1991) compared and contrasted servant leadership with other popular theories of leadership to explain the moral gaps in the other leadership theories. "Weberian charismatic authority" refers to individuals who gain and maintain their authority by proving their powers to be a divinely inspired mission (Weber, 1978). The genuineness of charismatic leaders' authority rests on how well they provide for the well-being of followers. Charismatic authority often emerges from periods of tremendous crisis, such as great socioeconomic unrest, when traditional authorities fail to meet people's needs. Charismatic leaders offer a "divinely inspired" vision and perhaps even practical solutions with them in charge (Tucker, 1968).

Personal celebrity charisma is a slightly different version of charismatic leadership. House (1977) asserted that it required four personal characteristics: "dominance, self-confidence, need for influence, and a strong conviction in the moral righteousness of his or her beliefs" (p. 205). Leaders with personal celebrity charisma commonly occupy higher levels of organizations with greater visibility. Followers are more likely to attribute the "aura of magic" to those who are at greater organizational distance because, according to Katz and Kahn (1978), intimacy destroys the illusion. Followers of this type of leader often respond with adulation and emulation, but over time followers become addicted to passivity (Graham, 1991).

Transformational leadership incorporated some principles of charismatic leadership theory but added leader behaviors, such as individualized consideration and intellectual stimulation. These changes in leadership theory occurred because scholars began to recognize and value the contributions of followers by recognizing that subordinates (often labeled as "followers") were educated with the capacity for creativity. However, there is nothing in transformational leadership that says leaders should serve the good of followers (Graham, 1991). Transformational leaders are typically more concerned with organizational goals.

Servant leadership, according to Graham (1991), restores the moral compass articulated by Burns's (1978) perspective of "transforming leadership." Burns asserted that effective (transforming) leaders focus on the ethical aspirations of both the leader and the led and stress end-values, such as liberty, justice, and equality. Servant leadership addresses this issue by focusing on the leader–follower relationship and on the ideal of service. Graham (1991) asserted, "leaders who not only listen to subordinates and other stakeholders, but allow themselves to be influenced by what they hear, are more powerful than those who rule by fiat" (p. 112). Servant leadership extends Bass's (1985, 1988) theory of transformational leadership in two ways: it recognizes the social responsibility in the call to serve, and it answers the question, Why should people grow even if they do not want to? (Graham, 1991). Greenleaf's (1977) claim that people should be served by someone who influences them to become wiser, freer, and more autonomous "is to say that it is in people's interest to change in those ways" (Graham, 1991, p. 113; TABLE **6-2**).

Servant leadership may be effective leadership theory that possesses nearly universal cultural appeal. Servant leaders focus more on humility, the needs of others, and higher-order values, such as duty and social responsibility, than on self-interest. Humane orientation refers to the concern for the welfare of other people and willingness to sacrifice self-interest to help others (House, Hanges, Javidan, Dorfman, & Gupta, 2004). As such, Winston and Ryan (2008) persuasively argue that servant leadership is compatible with the humane-oriented culture that resonates with some African (Ubuntu, Harambee), East Asian (Taoist, Confucianism), Mediterranean (Jewish), and Indian (Hindu) cultures.

Unfortunately, servant leadership has limited empirical research to support its effectiveness. Yukl (2010) noted that much of the evidence for servant leadership is based on anecdotal accounts and case studies of leaders or organizations. Only recently have questionnaires been created (Barbuto & Wheeler, 2006; Liden, Wayne, Zhao, & Henderson, 2008); however, they are at the early stages of development.

The few empirical studies that have been published suggest that servant leadership may be a promising

Table 6-2 Comparison of "Charismatic" Leadership Models

	Weberian Charismatic Authority	Celebrity-Based Charisma	Transformational Leadership	Servant Leadership
Source of charisma	Divine gift	Personality; social distance	Leader training and skills	Humility, spiritual insight
Situational context	Socioeconomic distress of followers	Low self-esteem of followers	Unilateral (hierarchical) power	Relational (mutual) power
Nature of charismatic gift	Visionary solution to distress	Daring; dramatic flair; forcefulness; appealing vision	Vision for organization; adept at human resource management	Vision and practice of a way of life focused on service
Response of followers	Recognition of genuine divine gift	Adulation of and identification with leader	Heightened motivation; extra effort	Emulation of leader's service orientation
Consequences of charisma	Followers' material well-being improved	Codependent relationship with leader perpetuated	Leader or organizational goals met; personal development of followers	Autonomy and moral development of followers; enhancement of common good
Applicability to work organizations	No	Yes	Yes	Yes
Representative authors and concepts	Tucker; Weber	Conger & Kanungo; House; Howell's "personalized charisma"; Schiffer	Bass & associates; Bradford & Cohen; Howell's "socialized charisma"	Burns's "transforming leaders"; Greenleaf

leadership perspective. Dimensions of servant leadership are related to positive outcomes in job performance, organizational commitment, and community commitment (Liden et al., 2008). In another study, elements of servant leadership were positively related to other organizational outcomes, such as extra effort, employee satisfaction, and organizational effectiveness (Barbuto & Wheeler, 2006). Nonetheless, further research is required to confirm the effectiveness of servant leadership.

■ SUMMARY

Burns revolutionized the understanding of effective leadership by conceptualizing it as transforming, a condition that 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" (1978, p. 20). This view lifts up the role of the follower to active participant in the leadership process. Followers are active in that they engage with leaders to develop mutual interests based on common values and needs.

The work of Bass and others refined Burns's concept of leadership and differentiated transformational leadership from transactional leadership. Transactional leadership refers to activities aimed at helping to clarify expectations and desired outcomes. It comprises categories of behaviors, such as contingent reward, management by exception—active, and management by exception—passive. Transformational leader behaviors, however, are intended to help instill confidence and enthusiasm in followers to rise above (transcend) what

they believe they would normally be capable of doing. Categories of transformational leader behaviors include idealized influence, individualized consideration, inspirational motivation, and intellectual stimulation.

Rost strongly criticized much of the prior leadership theory and scholarship by characterizing it as largely developed from an industrial paradigm. He asserted that scholars and practitioners of leadership need to reconceptualize it for the postindustrial age in which we live. He defined the postindustrial paradigm of leadership as "an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes" (1993, p. 102). Rost's paradigm comprises four critical elements: (1) leadership is based on influence (not coercion or authority); (2) leaders and followers are people in this relationship; (3) leaders and followers intend real change; and (4) leaders and followers develop mutual interests.

With the elevated status of the important role of followers, several models have sought to explain the specific roles of followers. According to Kelley (1988), effective followers manage themselves well, are committed to the organization or purposes outside themselves, build their own competence, and are credible and honest. Challeff (1995) also described the courage that effective followers must demonstrate. His model depicted effective followers as displaying the courage to assume responsibility, the courage to serve, the courage to challenge, the courage to participate in transformation, and the courage to take moral action.

Developed by Greenleaf, servant leadership is a model of leadership that describes leaders who are motivated primarily by providing service to others and taking care of other people's needs first. According to Greenleaf, the ultimate test of a servant leader is whether those being served were likely to "become healthier, wiser, freer, more autonomous, more likely themselves to become servants" (Greenleaf, 1977, pp. 13–14). Spears asserted that servant leadership requires "service to others, a holistic approach to work, a sense of community, and shared decision making power" (1995, pp. 3–4). Spears built on Greenleaf's original writing by identifying 10 characteristics of the servant leader: (1) listening, (2) empathy, (3) healing, (4) awareness, (5) persuasion, (6) conceptualization, (7) foresight, (8) stewardship, (9) commitment to growth of people, and (10) building community.

6

Wrap-Up

■ ACTIVITY

Transformational Leadership

Select a leader you consider to be highly effective. The person you select could be from your work or organization.

Describe the leader.

1. Explain how the leader is emotionally expressive.
2. Describe how clearly the leader articulates a vision for the future.
3. Detail how the leader communicates optimism and confidence in followers to achieve excellence.
4. Illustrate how the leader displays exceptional conceptual skills in approaching challenges in novel and unique ways.
5. Explain how the leader is able to draw out the best from the followers.

Describe the reaction of followers.

1. Elaborate on the followers' reaction to the leader.
2. Are followers likely to respect and admire the leader? Explain.

3. Does the leader instill pride in the followers? How does this occur?
4. Are followers more enthusiastic and eager for the work to be done? Explain.
5. Are the followers willing to exert extra effort for the leader?
6. Explain how the leader inspires innovative thinking to problems.

Leader–Member Relationships

Ask three employees in your organization (individuals who report directly to you) to complete the following survey regarding the quality of LMX (Figure 6-2). Answer the reflection questions.

1. Describe the highlights of your employees' perceptions regarding the LMX quality with you.
2. Which specific areas of your relationship with them could be improved?
3. What steps can you take to help improve the quality of LMX with your employees during the next month?

Affect								
1. I like my supervisor very much as a person.	0	1	2	3	4	5	6
2. My supervisor is the kind of person I would like to have as a friend.	0	1	2	3	4	5	6
3. My supervisor is a lot of fun to work with.	0	1	2	3	4	5	6
Loyalty								
4. My supervisor defends my work actions to a superior, even without complete knowledge of the issue in question.	0	1	2	3	4	5	6
5. My supervisor would come to my defense if I were "attacked" by others.	0	1	2	3	4	5	6
6. My supervisor would defend me to others in the organization if I made an honest mistake.	0	1	2	3	4	5	6
Contribution								
7. I do work for my supervisor that goes beyond what is specified in my job description.	0	1	2	3	4	5	6
8. I am willing to apply extra effort, beyond those normally required, to meet my supervisor's work goals.	0	1	2	3	4	5	6
9. I do not mind working my hardest for my supervisor.	0	1	2	3	4	5	6
Professional Respect								
10. I am impressed with my supervisor's knowledge of his/her job.	0	1	2	3	4	5	6
11. I respect my supervisor's knowledge of and competence on the job.	0	1	2	3	4	5	6
12. I admire my supervisor's professional skills.	0	1	2	3	4	5	6

Calculate a score for each of the four dimensions of LMX quality: strongly agree (6); moderately agree (5); somewhat agree (4); neutral (3); somewhat disagree (2); moderately disagree (1); strongly disagree (0). Consider the subtotal for each of the four dimensions.

Affect   _____ out of 18

Loyalty   _____ out of 18

Contribution   _____ out of 18

Professional respect   _____ out of 18

Source: Adapted from Liden & Maslyn (1998).

Figure 6-2 LMX–MDM Survey.

Servant Leadership

Watch the following clip from YouTube (http://www
.youtube.com/watch?v=BHIKRmEaC6Y) and reflect on
Tom Peters' perspective of servant leadership. What have
you done in the last 24 hours to be of service to those
around you? What will you do in the next 24 hours to be
of service to those around you?

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