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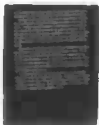
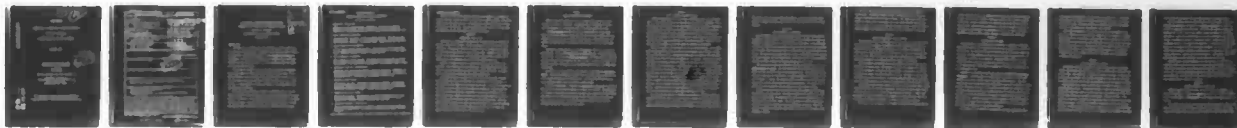
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FINAL REPORT

Preparation of a Manuscript on Leadership Dynamics

By Edwin P. Hollander

State University of New York at Buffalo

November 1977

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20. ABSTRACT (Continue on reverse side if necessary and identify by block number) The task of this contract was to integrate a major part of the literature on leadership in the form of a book aimed at leaders or would-be leaders who wish to know more about the process of leadership. A wide range of topics is covered, including a variety of current and older approaches to leadership. Primary emphasis is given to a more dynamic view of leadership as a two-way influence process involving the leader and those who are followers in a social exchange relationship. This is called a transactional approach, and its practicalities are stressed within the theme of leadership effectiveness.		

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Final Report -- ONR Contract N00014-76-C-0868

PREPARATION OF A MANUSCRIPT ON LEADERSHIP DYNAMICS

By Edwin P. Hollander

State University of New York at Buffalo

November 1977

Introduction

For some years, the author has been involved in a line of research on leadership with a primary focus on leader-follower relations under a variety of conditions. This emphasis has been called a transactional approach to leadership. It stresses a more dynamic view of leadership as an influence process involving two-way influence and social exchange between the leader and those who are followers.

The manuscript prepared under this contract is designed to integrate much of the research on leadership within this more dynamic view. As the Table of Contents below indicates, a wide range of topics is considered in the manuscript, including a variety of older and current approaches to leadership. A large context of findings and theories is provided, apart from the transactional approach.

From a practical standpoint, this work is intended primarily for the leader or would-be leader who wants to learn more about leadership as a social process. Therefore, it is oriented mainly toward the practicalities of leader-follower relations. The essential point is to deal with the kind of issues and concerns which are relevant to the theme of leadership effectiveness.

**LEADERSHIP DYNAMICS:
A PRACTICAL GUIDE TO EFFECTIVE RELATIONSHIPS***

by Edwin P. Hollander

1. Leadership: What Is It?

Leadership Is an Influence Process. Background. Varieties of Leadership. Leadership and the Leader. Leaders and Followers. The Leader-Follower Transaction. Sharing Leadership Activities. Responsibility and Accountability.

2. Ways of Approaching Leadership

The Person and/or the Times? Traits and Leader Functions. The Description of Leader Behavior. Leader Style. The Situational Approach. Contingency Models. The Transactional Approach. Idiosyncrasy Credit: Earned Status and Innovation.

3. Leader Authority and Followership

Authority and Legitimacy Among Followers. The Perception of Status and Credibility. Becoming and Staying a Leader. Effects of Appointed or Elected Leadership. Effects of Followers' Behavior on Leader Behavior.

4. Social Exchange in Leadership

Basic Concepts of Social Exchange. What Makes for a "Fair Exchange" in Leadership? Leadership as a Transaction. System Progress and Leader-Follower Team Effectiveness. Distributive Justice and Equity. Leader-Follower Roles and Power

5. Leadership Functions in Organizations

Leadership Roles and Group Maintenance. Resources and Powers in Management and Administration. Defining Group Functions and Goals Adaptively. The Leader's Task and Human Relations Functions. Participative Leadership. Job Satisfaction and Dissatisfaction. Job Enrichment and Management by Objectives.

6. Leadership Effectiveness

Effectiveness for What? Identifying Leadership Effectiveness. Interpersonal Qualities in Leadership Effectiveness. Enablement, Restraint, and Autocratic Leadership. Foresight and Planning. Leader Training and the Identification of Effective and Ineffective Leaders. Maintaining the Leader Role.

7. Leadership and Social Change

Making Needed Changes. Organizational and Institutional Responses to Change. Organizational Renewal. Group Dynamics and Change. Charismatic Leaders. Organizational Structure, Control, and Limits to Innovation.

8. Leadership Dynamics: A Summing Up

How the Transactional Approach Is Different. Variations on Leader Competence. Variations on Leader Style. Variations on Leadership Effectiveness. Parting Thoughts.

*To be published by the Free Press, a Division of the Macmillan Co., Inc., in Spring 1978.

Summaries of the Chapters

Each of the first seven chapters concludes with a summary of its essential points. The last chapter is relatively brief and is itself a summary. As a short exposition of the major material in the manuscript, these summaries are a useful indication of its contents. They are reproduced here by chapter, with some summary remarks from the last chapter concluding this report.

Chapter I

Leadership: What is it?

Leadership is a process of influence which involves an ongoing transaction between a leader and followers. The key to effective leadership is in this relationship. Although most attention is given to the leader, leadership depends upon more than a single person to achieve group goals. Therefore, the followers as well as the leader are vital to understanding leadership as a process. Followers support the leadership activities and the leader's position.

Members of a group involved in a joint task operate within a leadership structure, which includes rules and traditions. A structure indicates the patterns of influence and status and the different roles to be filled. It should help in achieving good performance and member satisfaction.

The leader is usually the most influential person in the group. However, being a leader and being a follower are not inconsistent with one another. In many situations individuals must show qualities of both. Although the leader role is usually directive, there are other aspects of leadership, including problem solving and conflict resolution. Leadership functions may be shared, but the leader is especially responsible for maintaining the group, defining the situation, setting goals, reducing uncertainty, and providing stability. With the leader's greater responsibility goes the necessity to be accountable to followers. This is part of the leader-follower transaction and the sense of a "fair exchange" of benefits on both sides of the relationship.

Chapter 2

Ways of Approaching Leadership

Beginning with the "great man" theory, various approaches to leadership have been pursued over the years. This chapter deals with several of them in historic perspective, including the issue of the person and/or the times.

The trait approach stressed the personal characteristics of the leader. It dealt both with who becomes a leader and what qualities make a leader effective, sometimes disregarding the difference between the two. A hereditary basis for leader qualities was part of the classic trait approach, as in the "great man" theory.

The lack of generalizability of the trait approach led to two interrelated developments. First was the description of leader behavior, in varying organizational roles. Second was the situational approach, which emphasized the characteristics of the particular situation and task in which the leader and followers were mutually involved. The stress was on the demands made for particular leader characteristics.

An extension of the situational approach was the development of contingency models. These models attempted to specify what leader attributes are appropriate, given certain contingencies in the situation. They emphasized factors calling forth different leader qualities to achieve effectiveness.

A parallel development in time was the transactional approach which considered the quality of the relationship between the leader and followers. The perceptions by followers of the leader's status and legitimacy are significant to this concept. One example of the transactional approach is the "idiosyncrasy credit" model of leader-follower relations. It emphasizes sources of earned status, and the latitude provided for innovation by the leader.

Chapter 3

Leader Authority and Followership

Authority requires that the leader have a legitimate basis. Legitimacy may come from appointment, election, or from the willing support of followers. It is the basis for the acceptance of the leader's assertions of influence. Acceptance of influence also is related to the nature of the rules governing the activity. Also pertinent are the followers' perceptions of the leader's direction as consistent with organizational and individual goals. With authority go responsibilities, which may or may not be matched by the authority granted. Authority is enhanced by the followers' view of the leader as competent and motivated.

Status is related to having credibility as an influence source. It is determined by the way that leaders are perceived and reacted to by followers, as part of a transactional process. Emergent leaders especially depend on the followers' perceptions of their motivation and capability. An emergent leader may be the one who speaks up first and/or most in a group, and stands out as highly motivated. Individuals can be encouraged in leader-type acts by various means, including support from others, and then behave like a leader and be perceived as one. Individual motivation to be a leader is also important in becoming one. There are differing qualities involved in the processes of assuming and maintaining the leader role. A leader's actions are usually seen to be more the result of his or her intentions, and will produce reactions different from those before a person was a leader. Another distinction is made regarding leaders who come from inside or outside, with advantages and disadvantages associated with each.

The processes and effects of leadership are affected by whether a leader is appointed or elected. Election gives followers a greater sense of responsibility for the leader and higher expectations regarding his or her performance. Elected leaders may have to be more accountable to followers, but may still feel freer to

act because their legitimacy comes from followers. As part of a transactional process, followers can affect leader behavior by requiring accommodation to their behavior.

Chapter 4

Social Exchange In Leadership

Social exchange refers to benefits which are given and received as rewards. In leadership, social exchange involves two-way influence between the leader and followers, with due recognition of the contribution they make. A "fair exchange" involves these elements and the leader's efforts to bring about favorable outcomes for the group. Some followers may have a closer relationship with the leader than others. This may produce greater benefits to them, in part because of the resource the leader commands, but also higher costs. The actual "profit" may be no greater than for the other followers who receive less but have lower costs.

The transaction between the leader and followers includes the two factors of system progress and equity. The first deals with attaining group goals and the second with the follower's sense of being treated fairly. As a resource providing benefits to the group or organization, the leader receives greater esteem, status, and influence. In return, the followers expect the leader to give direction, define reality, and set goals aimed at effective performance. If a leader fails to perform well, he or she still has the capacity to retain some following.

Followers require a sufficient sense of being fairly rewarded to remain inside the group and be satisfied. This sense of equity often depends upon a comparison with what others, of comparable characteristics and responsibility, are receiving relative to their inputs. The leader needs to be alert to perceived inequities, and may be blamed for them as a determiner of rewards. These perceptions are subjective judgments since rewards and costs are always relative to the people involved.

Roles in leader-follower relations are affected by the use of power to exert control. Resistance to power is also important as part of a process involved in the two-way nature of social exchange. Bold assertions of power by a leader can create costs to the leader and to the leader-follower relationship. Social exchange helps to check egoism and the abuse of power. Power can be diffused and shared in an organization, rather than being localized in one place.

Chapter 5

Leadership Functions in Organizations

Organizational leaders fill various roles, the major one of which is managing the activities of others. The leader's role also includes facilitation of work, and attention to the important function of the group's maintenance as a cohesive unit. This function is carried on within the limits of time and available resources. There are other roles played by both leaders and group members which can contribute to or affect maintenance, and group performance.

The performance and satisfaction of group members does not depend upon the actions of the leader alone. Furthermore, the powers of a leader still require the use of persuasion. There are two other factors in the context of work which are important, namely, the task and social structure. The task is a main element in establishing a basis for action. A structure involves reporting relationships, and communication channels, but also concepts people hold about the way things are.

There needs to be a balance between conformity to organizational rules and the flexibility needed for individual expression. Otherwise, the group loses the capacity for taking innovative action and the organization suffers. A leader must encourage and retain the potential for adaptability, recognizing that innovative thinking is not disloyalty but rather is in the organization's interests.

The leader's task and analytic skills need to be balanced by human relations

skills. Both are important in implementing decisions and facilitating concerted action. Human relations ability is part of a process of translating a program into action. It also is necessary for increasing job satisfiers and reducing dissatisfiers. More satisfying conditions of work may be created through such activities as job enrichment and management by objectives. These activities represent a productive use of social exchange in organizational leadership.

Chapter 6

Leadership Effectiveness

Effectiveness can be gauged by various standards. In general, leadership effectiveness depends more on the way things are done by leaders and followers to achieve goals. It involves attention to benefits for the individuals comprising the group. Although leadership effectiveness contributes to organizational effectiveness, it differs in its emphasis. Leadership effectiveness may be concerned more with a comparison between a group's actual and potential performance. Organizational effectiveness is gauged more with regard to efficiency in achieving productivity.

Leadership effectiveness requires goal-setting, implementation, evaluation, and feedback. These are steps in a communication link between the leader and followers to provide a unified view of the group's common purpose. There are interpersonal qualities of leadership effectiveness important to exerting influence. However, influence is not sufficient by itself but depends upon the perception of a leader's competence, fairness, and identification with the group and its goals. The content of each is determined by the special circumstances which exist in a given situation. In most situations a leader is expected to show enough competence on the task, and to have sufficient interpersonal skill, to help in gaining group goals with attention to the needs of followers.

The effectiveness of leadership is associated with open communication and

with signs of fairness and of dependability on the leader's part. Enablement is provided by the leader's willingness to have others contribute and develop their capabilities. Although an autocratic leadership style may be necessary at times, it can thwart such developments in the long run.

The skills of leadership also include the ability to show foresight and planning in dealing with new conditions. Imagination and a sense of what might be are essential to this process. Training individuals in skills for leadership effectiveness is quite possible, even though some individuals can be identified who have the potential to be effective with regard to capacity and experience. Maintaining the role of leader is another important aspect of effectiveness. It depends upon fulfilling expectations for performance, and being adaptable to changing requirements.

Chapter 7

Leadership and Social Change

An important function of leadership is to facilitate efforts for planned change. Some changes occur whether or not people initiate them, because of life circumstances. But change may be planned or resisted, or shaped, by the efforts of concerned individuals. Where a need is recognized, they take the initiative in seeking imaginative ways to meet new circumstances, and new leaders may arise.

Organizations may be typed as "mechanistic" or "organic" according to their responsiveness to change. The mechanistic type is highly controlled, emphasizes obedience to superiors, and can function well only under stable conditions. The organic type is more open and adaptive to change. Although difficult, it is possible to move from a mechanistic to an organic type if there is an appropriate leadership process. Organizational renewal is necessary to avoid rigidity and decline. It involves deliberate attention to adaptive change through recruitment and development of talented individuals, an environment that encourages individual-

ity of ideas, organizational self-criticism, and fluidity of organization.

In group dynamics there are three aspects in making a change. One is to introduce an innovation, the second is to overcome resistance to it, and the third is to establish the new practice. The person who is able to accomplish these actions is most likely to be a leader who has the support of the group. That person's perceived trustworthiness can be a major component in organizing change. A leader also can have a significant effect in reducing or maintaining intergroup conflict. The concern with credibility in the group can be a pivotal element in the leader's stance as the group's advocate. In a crisis, with a shared sense of urgency, charismatic leaders may be influential in bringing about change, especially in social and political movements. Such leaders have a strong emotional appeal to their followers, though others may not feel it.

Organizational rules are necessary, but they may have unintended effects. Techniques used to monitor performance can cause those being observed to try to out-manuever the system. When a leader relies excessively on rules, the effect is to limit initiative and dampen prospects for reacting appropriately to unforeseen conditions. A balance needs to be struck between established procedures and requirements for innovation and change.

Chapter 8

Leadership Dynamics: A Summing Up

Leadership requires more attention in dynamic terms, as a process. One source of confusion in the study of leadership has been the failure to distinguish it as a process from the leader who is the occupier of a central position in it.

The transactional approach to leadership emphasizes persuasion, and the two-way influence and social exchange relationships between leaders and followers. In these relationships there is an exchange of benefits in which the leader gives

something and gets something. He or she is usually expected to provide competence in the main task, and fairness in dealing with others, among other expectations. In return, the leader receives the greater influence which goes with status, recognition, and esteem. These are part of a leader's legitimacy in exercising authority.

In addition to legitimacy, leaders have personal qualities which are perceived by followers and affect their responsiveness to the leader. Indeed, there now is a resurgence of interest in people who fill the leader role, especially where it is possible to relate their characteristics to task demands and other aspects of the situation. This development is seen in contingency models, as well as in the transactional approach. Both approaches are essentially "neo-situational" efforts to represent more of the richness of the leadership process.

A leader's perceived competence is likely to be the most significant factor in leadership effectiveness. Although subjective, judgments about "getting results," "showing ability," and other such qualities carry weight in followers' perceptions of the leader. This factor is also the main initial source of idiosyncrasy credit, which allows the leader latitude for influence and innovation. While there is usually a greater sense of investment in someone that followers have put in the leader's position, an elected leader remains vulnerable to being replaced. For continued support from followers, a leader's perceived competence and motivation is particularly crucial.

The effect of a leader's style depends on qualities which are appropriate to the leader-follower relationship in a given situation. The concept of leader style usually involves bi-polar comparisons, such as autocratic or democratic, task- or human relations-oriented, and close or distant supervision. Each of these needs to be understood in a particular context. Style is a relational concept, and the response of followers matters a great deal for effectiveness. It is risky to make

sweeping statements about a quality needed for a leader to have an effective style unless more is known about follower expectations and the nature of the situation.

Two common ways of dealing operationally with the effectiveness of leadership are through measures of influence and performance, but neither is entirely satisfactory. A leader is not effective merely by being influential. The outcomes of that influence, and the activities along the way, cannot be overlooked. On the other hand, just knowing about outcomes, independently of what resources the leader and group have available, also provides only a limited view. Although centered in the leader, an entire interpersonal system is involved in the question of effectiveness.

Communication is a particularly important element in leadership effectiveness, and the ability to give clear expression to what is intended is valued. Studies of persuasive communication indicate that the receiver of a communication will actively select and process it, as well as giving attention to its source. Therefore, while a leader communicates a definition of the situation to followers, they are not passive but process the information for its relevance to goal-setting and the attainment of group objectives.

The transactional approach therefore affirms an active role for followers. Every benefit is not seen to depend upon the leader. Initiatives are not expected to come only from the leader. Being a leader and being a follower are not viewed as mutually exclusive categories. This more active sense of the followers' role is important in understanding the leadership process.

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