

CHAPTER

3

PERSPECTIVES ON EFFECTIVE LEADERSHIP BEHAVIOR

Learning Objectives

After studying this chapter you should be able to:

- Understand what research methods have been used to study leadership behavior.
- Understand the findings in the early research on leadership behavior.
- Understand how leadership behavior can be described with either broad or specific categories.
- Understand the different methods for developing taxonomies of leadership behavior.
- Understand why task, relations, and change-oriented behaviors are important for leadership effectiveness.
- Understand how specific types of task and relations behavior can be used effectively.
- Understand why it is useful to classify leadership behavior in terms of a three-dimensional model.
- Understand the contributions and limitations of the behavior approach.

The preceding chapter reviewed descriptive research that was designed to identify typical activity patterns of managers, not to determine how effective leaders differ in behavior from ineffective leaders. The current chapter will review research on the types of leadership behavior most likely to influence subordinate satisfaction and performance. The methods used for this research include behavior description questionnaires, laboratory and field experiments, and critical incidents.

The chapter begins by examining some of the early research on leader behavior conducted by psychologists in the 1950s and 1960s. Much of the research on leadership behavior during the past five decades has followed the pattern set by the pioneering research programs at Ohio State University and the University of Michigan. These programs and subsequent research are briefly discussed. The methods used to develop taxonomies of leadership behavior are also described, as well as important findings from research on this subject. The final part of the chapter describes some aspects of task-oriented and relationship-oriented behaviors that are important for effective leadership.

Ohio State Leadership Studies

Questionnaire research on effective leadership behavior was strongly influenced by the early research at Ohio State University during the 1950s. The initial task of the researchers was to identify categories of relevant leadership behavior and develop questionnaires to measure how often a leader used these behaviors. The researchers compiled a list of about 1800 examples of leadership behavior, then reduced the list to 150 items that appeared to be good examples of important leadership functions. A preliminary questionnaire composed of these items was used by samples of military and civilian personnel to describe the behavior of their supervisors (Fleishman, 1953; Halpin & Winer, 1957; Hemphill & Coons, 1957).

Leadership Behaviors

Factor analysis of the questionnaire responses indicated that subordinates perceived their supervisor's behavior primarily in terms of two broadly defined categories labeled "consideration" and "initiating structure." The two types of behavior were relatively independent, which means that a leader's use of one behavior was not necessarily the same as his or her use of the other behavior.

Consideration. This category of behavior involves leader concern for people and interpersonal relationships. The leader acts in a friendly and supportive manner and shows concern for the needs and feelings of subordinates. Examples include doing personal favors for subordinates, finding time to listen to a subordinate with a problem, backing up or defending a subordinate, consulting with subordinates on important matters, being willing to accept suggestions from subordinates, and treating a subordinate as an equal.

Initiating Structure. This category of behavior involves leader concern for accomplishing the task. The leader defines and structures his or her own role and the roles of subordinates toward attainment of task goals. Examples include criticizing poor work, emphasizing the importance of meeting deadlines, assigning subordinates to tasks, maintaining definite standards of performance, asking subordinates to follow standard procedures, offering new approaches to problems, and coordinating the activities of different subordinates.

Based on the results of the initial studies, two revised and shortened questionnaires were constructed to measure consideration and initiating structure: the Leader Behavior Description Questionnaire (LBDQ), and the Supervisory Behavior Description (SBD

or SBDQ). Although these two questionnaires are often treated as equivalent, they differ somewhat with regard to the content of the behavior scales (Schriesheim & Stogdill, 1975). A third questionnaire, called the Leader Opinion Questionnaire (LOQ), has been treated by some researchers as a measure of behavior, but it is viewed more appropriately as a measure of leader attitudes.

Eventually, researchers at the Ohio State University developed a fourth questionnaire, called the Leader Behavior Description Questionnaire, Form XII. In the LBDQ XII, the scope of consideration and initiating structure was narrowed, and 10 additional scales were added (Stogdill, Goode, & Day, 1962). Some of the new scales measured aspects of leadership behavior (e.g., representation, integration), but other scales measured traits (e.g., uncertainty tolerance) or skills (i.e., predictive accuracy, persuasiveness). It is interesting to note that, even after the new scales were added, most researchers continued to use only the consideration and initiating structure scales.

Example of a Survey Study

A study by Fleishman and Harris (1962) provides one of the best examples of correlational field research on consideration and initiating structure. The study was conducted in a truck manufacturing plant of the International Harvester Company. The behavior of 57 production supervisors was described by subordinates who filled out the SBDQ. The criteria of leadership effectiveness included the number of written grievances and the amount of voluntary turnover during an 11-month period. Supervisors who were considerate had fewer grievances and less turnover in their work units than supervisors who were low on consideration. The relationship was in the opposite direction for initiating structure; supervisors who used a lot of structuring behavior had more turnover and grievances. Statistical analyses confirmed the existence of a significant curvilinear relationship. As noted by Fleishman and Harris (1962, p. 53), “There appear to be certain critical levels beyond which increased consideration or decreased initiating structure have no effect on turnover or grievance rate.” The relationship between leader behavior and turnover is shown in Figures 3-1 and 3-2. The results in this study were mostly corroborated by Skinner (1969) in a study of supervisors in a textile firm.

Results in Survey Research

The Ohio State leadership questionnaires and modified versions of them have been used in hundreds of survey studies by many different researchers. The results have been weak and inconsistent for most criteria of leadership effectiveness (Bass, 1990; Fisher & Edwards, 1988). In some studies, subordinates were more satisfied and performed better with a structuring leader, whereas other studies found the opposite relationship or no significant relationship at all. The findings were also inconsistent for the relationship between consideration and subordinate performance. The only consistent finding was a positive relationship between consideration and subordinate satisfaction. As suggested by the Fleishman and Harris study, subordinates are usually more satisfied with a leader who is at least moderately considerate. However, unlike Fleishman and Harris, most researchers neglected to test for the possibility of curvilinear relationships or an interaction between consideration and initiating structure.

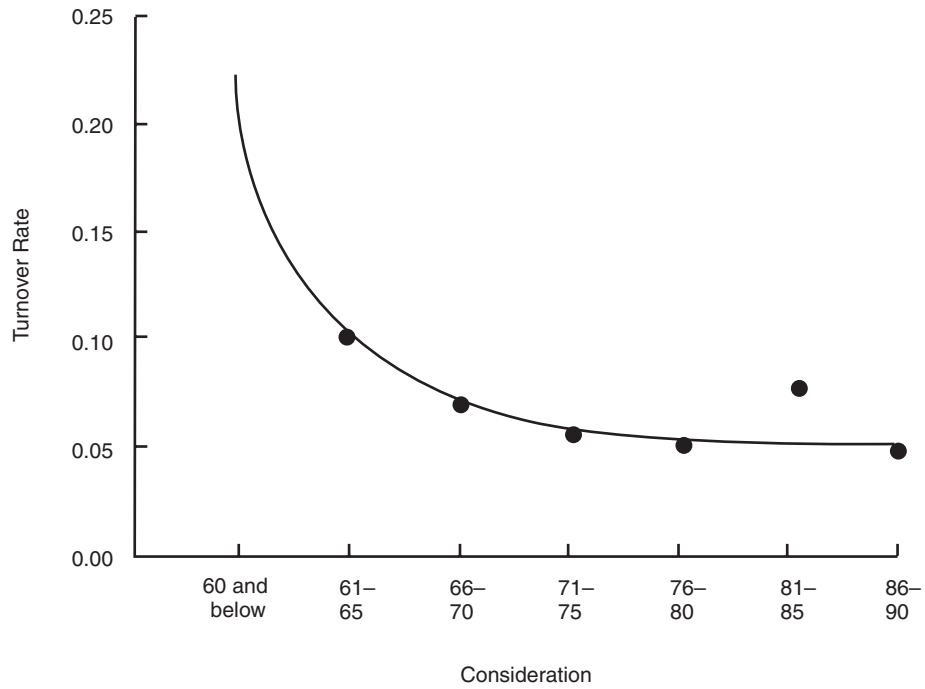
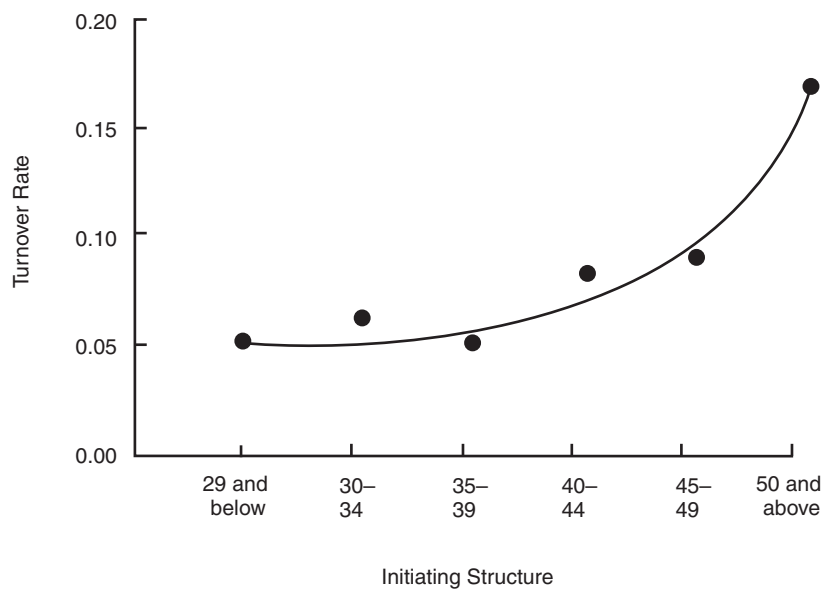


FIGURE 3-1 Relation Between Consideration and Turnover Rate

Source: From E.A. Fleishman and E.F. Harris "Patterns of Leadership Behavior Related to Employee Grievances and Turnover." *Personnel Psychology*, 1962, 15, 43-56.

FIGURE 3-2 Relation Between Initiating Structure and Turnover Rate



Source: From E.A. Fleishman and E.F. Harris "Patterns of Leadership Behavior Related to Employee Grievances and Turnover." *Personnel Psychology*, 1962, 15, 43-56.

Michigan Leadership Studies

A second major program of research on leadership behavior was carried out by researchers at the University of Michigan at approximately the same time as the Ohio State leadership studies. The focus of the Michigan research was the identification of relationships among leader behavior, group processes, and measures of group performance. The initial research was a series of field studies with a variety of leaders, including section managers in an insurance company (Katz, Maccoby, & Morse, 1950), supervisors in a large manufacturing company (Katz & Kahn, 1952), and supervisors of railroad section gangs (Katz, Maccoby, Gurin, & Floor, 1951). Information about managerial behavior was collected with interviews and questionnaires. Objective measures of group productivity were used to classify managers as relatively effective or ineffective. A comparison of effective and ineffective managers revealed some interesting differences in managerial behavior, which were summarized by Likert (1961, 1967).

Leadership Behaviors

The research found three types of leadership behavior differentiated between effective and ineffective managers.

- 1. Task-oriented behavior.** Effective managers did not spend their time and effort doing the same kind of work as their subordinates. Instead, the more effective managers concentrated on task-oriented functions such as planning and scheduling the work, coordinating subordinate activities, and providing necessary supplies, equipment, and technical assistance. Moreover, effective managers guided subordinates in setting performance goals that were high but realistic. The task-oriented behaviors identified in the Michigan studies appear similar to the behaviors labeled “initiating structure” in the Ohio State leadership studies.
- 2. Relations-oriented behavior.** The effective managers were also more supportive and helpful with subordinates. Supportive behaviors that were correlated with effective leadership included showing trust and confidence, acting friendly and considerate, trying to understand subordinate problems, helping to develop subordinates and further their careers, keeping subordinates informed, showing appreciation for subordinates’ ideas, allowed considerable autonomy in how subordinates do the work, and providing recognition for subordinates’ contributions and accomplishments. These behaviors are similar to the behaviors labeled “consideration” in the Ohio State leadership studies. Likert proposed that a manager should treat each subordinate in a supportive way that will build and maintain the person’s sense of personal worth and importance.
- 3. Participative leadership.** Effective managers used more group supervision instead of supervising each subordinate separately. Group meetings facilitate subordinate participation in decision making, improve communication, promote cooperation, and facilitate conflict resolution. The role of the manager in group meetings should be primarily to guide the discussion and keep it supportive, constructive, and oriented toward problem solving. However, use of participation does not imply abdication of responsibilities, and the manager remains responsible for all decisions and their results. Participative leadership will be examined more closely in Chapter 4.

Peer Leadership

Bowers and Seashore (1966) extended the investigation of leadership behavior by suggesting that most leadership functions can be carried out by someone besides the designated leader of a group. Sometimes a manager asks subordinates to share in performing certain leadership functions, and sometimes subordinates perform these functions on their own initiative. Group effectiveness will depend more on the overall quality of leadership in a work unit than on who actually performs the functions. However, the possibility of shared leadership does not imply that it is unnecessary to have a designated leader. According to Bowers and Seashore (1966, p. 249), “There are both common sense and theoretical reasons for believing that a formally acknowledged leader through his supervisory leadership behavior sets the pattern of the mutual leadership which subordinates supply each other.”

Bowers and Seashore were the first researchers to survey peer leadership as well as leadership behavior by the manager. The Survey of Organizations (Taylor & Bowers, 1972), a standardized questionnaire used extensively in organizations by researchers at the University of Michigan, has scales measuring two task-oriented behaviors (goal emphasis, work facilitation), and two relations-oriented behaviors (supportive leadership, interaction facilitation). In a review of results from research on 21 organizations, Bowers (1975) found that leadership behavior (by leaders and peers) was related to subordinate satisfaction and group processes, but the pattern of results varied, depending on the type of industry and the authority level of the manager.

Limitations of Survey Research

Survey research with questionnaires is by far the most common method used to study the relationship between leadership behavior and various antecedents (e.g., leader traits, attitudes) or outcomes of this behavior (e.g., subordinate satisfaction and performance). However, it is often difficult to interpret the meaning of the results in these survey studies. Two sources of error include limitations of the questionnaires and problems of determining causality.

Biases in Behavior Description Questionnaires

Behavior description questionnaires are susceptible to several types of bias and error (Luthans & Lockwood, 1984; Schriesheim & Kerr, 1977; Uleman, 1991). One source of error is the use of ambiguous items that can be interpreted in different ways by different respondents. Most leadership questionnaires have a fixed-response format that requires respondents to think back over a period of several months or years and indicate how often or how much a leader used the behavior described in an item. An accurate judgment is difficult to make, because the respondent may not have noticed the behavior at the time it occurred or may be unable to remember how many times it occurred during the specified time period (Shipper, 1991).

Another source of error for questionnaire items is response bias. For example, some respondents answer each item much the same way despite real differences in the leader’s behavior, because the respondent likes (or dislikes) the leader (Schriesheim, Kinicki, & Schriesheim, 1979). Responses may also be distorted by stereotypes and implicit theories about what behaviors occur together. Respondents may attribute

desirable behavior to a leader who is perceived to be effective, even though the behavior was not actually observed (Green & Mitchell, 1979; Lord, Binning, Rush, & Thomas, 1978; Mitchell, Larson, & Green, 1977).

Additional problems in behavior description questionnaires involve the way items are aggregated into scales, which is discussed later in this chapter. When the many sources of error are taken into account, it is easy to understand why retrospective behavior description questionnaires are not highly accurate measures of behavior.

Interpreting Causality in Survey Studies

Most of the research on effects of leadership behavior has measured behavior with questionnaires filled out by subordinates, and the resulting behavior scores have been correlated with criterion measures obtained at the same point in time. When a significant correlation is found, it is not possible to determine the direction of causality. There is often more than one plausible interpretation of causality, and more than one form of causality may occur at the same time.

When a positive correlation is found in a survey study, researchers usually assume that causality is from leader behavior to the criterion variable (Figure 3-3A). For example, a correlation between consideration and subordinate performance is usually interpreted as showing that considerate leaders cause subordinates to be more motivated

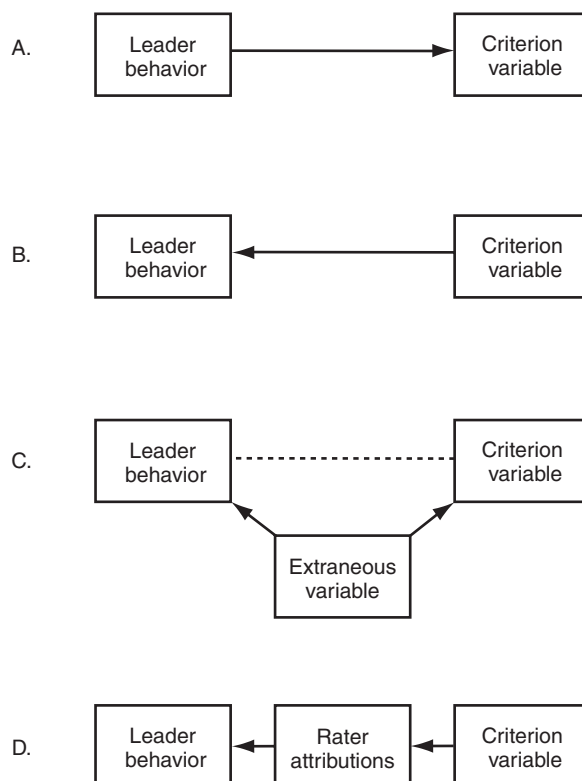


FIGURE 3-3 Possible Causes of a Correlation Between Leader Behavior and Criterion

and productive. However, it is also possible that causality is in the opposite direction (Figure 3-3B). This reverse causality occurs when leader behavior is influenced by the criterion variable. For example, the leader is more supportive to subordinates who demonstrate high performance.

Another possibility is that both leader behavior and the criterion variable are affected in the same way by a third variable (Figure 3-3C). In many studies the measures of leader behavior and the criterion variable are obtained from the same respondents. The correlation will be inflated if both measures are biased in the same way. For example, well-liked leaders are rated high on both consideration and effectiveness, whereas disliked leaders are rated low on both variables. This possibility is not likely when the criterion variable is measured independently of leader behavior. However, even when an independent criterion is used, the correlation between it and ratings of leader behavior may be inflated by rater attributions (Figure 3-3D). For example, raters who know the leader has a high-performing group may rate the leader higher on behaviors they perceive to be relevant for effective leadership (see section on follower attributions and implicit theories in Chapter 5).

Experiments on Task and Relations Behavior

The best way to determine causality is to conduct an experiment in which leader behavior is manipulated by the researcher. Several experiments were conducted in a laboratory setting with university students (Day, 1971; Day & Hamblin, 1964; Farris & Lim, 1969; Herold, 1977; Lowin & Craig, 1968; Misumi & Shirakashi, 1966; Sims & Manz, 1984). This research demonstrated that causality operates in both directions, from behavior to outcomes, and vice versa.

A limitation of most laboratory experiments on leadership is that they are unrealistic, which makes it difficult to generalize the findings to employees in real organizations. In an attempt to overcome this limitation, two studies were conducted with students hired to work in temporary, part-time jobs for a supervisor who was actually one of the researchers. Consideration and initiating structure were manipulated independently by having the supervisors display either high or low amounts of each leadership behavior to different subordinates. In one study (Lowin, Hrapchak, & Kavanagh, 1969), considerate leaders had more satisfied and productive subordinates, but there was no significant effect of leader structuring behavior. In the other study (Gilmore, Beehr, & Richter, 1979), neither type of leadership behavior had a consistent, significant effect on subordinate productivity or quality, perhaps because the manipulation of leader behavior was very weak.

Field experiments are difficult to conduct in real organizations, and only a small number of them have been used to investigate the effects of leadership behavior. In these field experiments, leadership behavior is usually manipulated with a training program. One study in a steel plant found that training increased the use of consideration by managers in the experimental group, and 18 months after the training was completed these managers were rated more effective than managers in the control group (Hand & Slocum, 1972). The results for task-oriented behavior were inconclusive. In a study of hospital supervisors, training increased consideration behavior, which resulted in higher subordinate satisfaction and attendance measured two months after training (Wexley & Nemeroff, 1975). In a study of first-line production supervisors, training

increased the use of some relationship-oriented behaviors (e.g., active listening, use of praise), and there was a significant increase in performance ratings for these supervisors one year after training (Latham & Saari, 1979). In another study of supervisors, human relations training resulted in more use of some relationship-oriented behaviors (e.g., active listening, praise, consultation), including a significant 17 percent increase in worker productivity (production per hour) six months after training was completed (Porras & Anderson, 1981). Finally, in a study of production supervisors in a furniture factory, productivity improved (for six months to two years after training) in three of the four departments in which supervisors were trained to use more praise with subordinates (Wikoff, Anderson, & Crowell, 1983).

In summary, the experimental research in laboratory and field settings found that increases in relations-oriented leadership behavior usually resulted in higher subordinate satisfaction and productivity. Task-oriented leadership was seldom manipulated in the experimental studies, and when it was manipulated, the results were mixed and inconclusive.

Research Using Critical Incidents

Another type of research on managerial behavior uses the critical incident approach (Flanagan, 1951). This method represents a bridge between descriptive research on what managers do and research on effective behavior. The method is based on the assumption that respondents such as subordinates, peers, and superiors can provide descriptions of effective and ineffective behavior for a particular type of manager (e.g., production supervisors, retail store managers, military officers). The behavior incidents are collected by interview or open-ended questionnaire from a large sample of respondents. Critical incidents are especially useful in exploratory research designed to examine specific, situationally relevant aspects of managerial behavior. The following examples of critical incidents for production supervisors are from a study by Kay (1959, pg. 26):

Aware that a change in setup was scheduled for the next day, a foreman checked a machine, noted a missing part, and ordered it. (positive incident)

A foreman failed to notify the relief shift foreman that a machine was in need of repair before it could be operated again. (negative incident)

In most critical incident studies, the incidents are grouped together on the basis of similar behavior content, either by the researchers or by a panel of the respondents. The resulting behavior categories differ greatly from study to study. These differences are due in part to the large variety of leaders who have been studied, including production supervisors (Gellerman, 1976; Heizer, 1972), grocery store managers (Anderson & Nilsson, 1964), department managers in retail stores (Campbell, Dunnette, Arvey, & Hellervik, 1973), and logging crew supervisors (Latham & Wexley, 1977). The differences in behavior categories are also due to the arbitrary and subjective nature of the classification process. Even so, a close examination of the results reveals a moderate degree of communality across studies. The following types of leader behavior were represented in most of the studies:

1. Planning, coordinating, and organizing operations
2. Supervising subordinates (directing, instructing, monitoring performance)

3. Establishing and maintaining good relations with subordinates
4. Establishing and maintaining good relations with superiors, peers, and outsiders
5. Assuming responsibility for observing organizational policies, carrying out required duties, and making necessary decisions

Limitations of Critical Incident Research

The critical incident method has a number of limitations. It assumes that most respondents know what behaviors are relevant for leadership effectiveness, and it assumes a behavior is important if it appears frequently in incidents reported by many different people. However, the respondents may be biased in their perception of what is effective, and respondents may tend to remember and report incidents that are consistent with their stereotypes or implicit theories about effective leaders. Researchers rarely follow up a critical incident study with additional research to verify that the behaviors differentiate between effective and ineffective leaders selected on the basis of an independent criterion, such as group performance. This follow-up approach was used successfully in one study by Latham and Wexley (1977) on logging crew supervisors.

Many of the behavior categories found in research with critical incidents are defined in terms that relate the behavior to the specific requirements of the job for the type of leader studied. Defining behavior categories at this level of specificity facilitates objectives such as developing a performance appraisal instrument or determining training needs, but it is difficult to compare the categories across studies with different types of leaders. This limitation can be overcome by coding the incidents into predetermined behavior categories that are widely applicable, as was done in the study by Yukl and Van Fleet (1982). The use of both situation-specific and more generic behavior categories makes it possible for critical incident research to serve multiple purposes.

The High-High Leader

The extensive research on task-oriented and relations-oriented leadership during the 1960s gave rise to the idea of the high-high leader. Blake and Mouton (1964) proposed a model called the *managerial grid* to describe managers in terms of concern for people and concern for production. According to the model, effective managers have a high concern for both people and production. Many researchers who were influenced by the managerial grid and the early Ohio State leadership studies decided to test the idea that effective leaders make frequent use of task-oriented and person-oriented behaviors. In Japan, a parallel program of behavior research led to the formulation of a similar, two-factor model called PM Leadership Theory (Misumi & Peterson, 1985). According to that theory, effective leaders are high in both performance behavior and maintenance behavior (the PM leader).

Even though most theorists agree that task and relations behavior are both important for effective leadership, there is disagreement about the way the two types of leadership behavior jointly affect subordinates (Larson, Hunt, & Osborn, 1976). Some theorists assumed that a leader's task-oriented behavior and person-oriented behavior have independent, additive effects on subordinates. In this additive model, a particular type of leadership behavior is relevant only for accomplishing the task or maintaining harmonious, cooperative relationships, but not for both concerns simultaneously. Person-oriented

behavior may result in higher job satisfaction, teamwork, and organizational commitment, whereas task-oriented behavior may result in better understanding of role requirements, better coordination among subordinates, and more efficient utilization of resources and personnel. Both types of outcomes are important for the overall performance of a work unit, and both types of behaviors are necessary to be an effective leader.

Other theorists have assumed that the two types of behavior interact and are mutually facilitative in their effects on subordinates. In this multiplicative version of the high-high leader model, one type of behavior enhances the effects of the other type of behavior. The reasons for a facilitative interaction were not well developed, but a number of plausible explanations have been provided over the years, and they are not mutually exclusive. One explanation involves the effect of supportive behavior on subordinate perception of task-oriented behavior. For example, detailed instruction and frequent monitoring may be perceived as helpful behavior from a leader who is supportive, but as punitive behavior from a leader who is not supportive (Fleishman & Harris, 1962; Misumi, 1985). A second explanation involves the effect of supportive behavior on the leader's potential influence over a subordinate. A supportive leader will have more referent power (see Chapter 6), which can be used to influence subordinates to improve their performance (Yukl, 1981).

Research on the High-High Leader

In most survey studies on leadership behavior, researchers have used measures and analyses that assume an additive model. In Western countries, results for the additive model have been inconclusive. Task and relations behavior tend to be correlated positively with subordinate performance, but the correlation is usually weak (Fisher & Edwards, 1988). Only a small number of studies have actually tested for an interaction between task-oriented and person-oriented behavior, and the results were inconsistent (e.g., Evans, 1970; Fleishman & Harris, 1962; Larson, Hunt, & Osborn, 1976). In Japan, survey and quasi-experimental studies have provided more consistent support for the additive model (Misumi, 1985), but the multiplicative model was not tested.

In summary, the survey research provides only limited support for the universal proposition that high-high leaders are more effective. In contrast, the research based on critical incidents and interviews strongly suggests that effective leaders guide and facilitate the work to accomplish task objectives while at the same time maintaining cooperative relationships and teamwork.

Evaluation of the Model and Research

The survey research on consequences of leader behavior does not provide an adequate test of the high-high model. Few studies have directly investigated whether the two types of leader behavior interact in a mutually facilitative way. Even when such an analysis is made, it is doubtful that the questionnaires used in the research provide an adequate basis for evaluating the theory (Blake & Mouton, 1982; Sashkin & Fulmer, 1988; Yukl, 1989).

Blake and Mouton (1982) proposed that an effective leader is not someone who merely uses a mix of task and relations behaviors, but rather someone who selects specific forms of behavior that simultaneously reflect a concern for both task and people. As we saw in Chapter 2, managers are overloaded with demands and must ration their time and select relevant behaviors. Whenever possible, an effective manager will select behaviors that accomplish task and relations concerns simultaneously. To determine whether a leader uses these high-high behaviors requires a questionnaire that includes them. Unfortunately, behavior items that reflect a high concern for both task and relations are unlikely to survive the procedures (e.g., factor analysis) used to select items for the scales.

Blake and Mouton (1982) also recognized the need for leaders to select specific forms of behavior that are appropriate for a particular time or situation. The usual assumption made with the behavior questionnaires is that all items in a scale are equally relevant regardless of the situation. This assumption fails to recognize the need for leaders to be flexible and adaptive in their behavior. A leader who uses only the most relevant forms of task and relations behavior will not get high mean scores on both scales, even though the leader fits the conception of a high-high leader.

The limitations of the survey research suggest that it may be more appropriate to test the model with other research methods such as experiments and behavior descriptions obtained from diaries or interviews. An example is provided by a recent study of 26 project teams using content coding of diary incidents recorded by team members for many weeks. The study found that specific types of task and relations behaviors were intertwined in complex ways (Amabile, Schatzel, Moneta, & Kramer, 2004). Effective leaders used more relations-oriented behaviors such as providing psychological support, consulting with team members, and providing recognition, but they also used more task behaviors such as clarifying roles and objectives, monitoring progress, and dealing with work-related problems. An analysis of positive and negative incidents showed that when and how the behavior was done was often more important than what type of behavior was done. Negative behavior (inappropriate or inept actions or failure to take appropriate action when it was needed) usually had a stronger influence on subordinate affect than positive behavior and could result in a negative spiral of actions and reactions between the leader and subordinates. This study and other descriptive research on effective leaders show that effective leadership requires the integration of relevant task and relations behaviors in a skillful and timely way.

The way in which leader behavior is conceptualized and measured is relevant for the controversy about universal versus situational models of leadership effectiveness. As noted in Chapter 1, universal models postulate that a particular leadership attribute is optimal in all situations, whereas situational models specify different attributes in different situations. The managerial grid has both universal and situational aspects. The universal aspect is the manager's dual concern for task and people, and the situational aspect is the selection of behaviors that are relevant for the situation as well as for these concerns. Unfortunately, Blake and Mouton did not develop propositions about appropriate behaviors for different situations.

We will make faster progress in understanding managerial effectiveness when specific aspects of managerial behavior are examined in the context of the situational

requirements and constraints faced by a manager. The next section of this chapter reviews research to develop more complex taxonomies of leadership behavior.

Leadership Behavior Taxonomies

A major problem in research on the content of leadership behavior has been the identification of behavior categories that are relevant and meaningful for all leaders. In the research on managerial activities in Chapter 2, we saw that each study produced a somewhat different set of behavior categories, making it difficult to compare and integrate the results across studies. A similar condition exists for the behavior research described in this chapter. As a consequence, the past half-century of research has produced a bewildering variety of behavior concepts pertaining to managers and leaders (see Bass, 1990; Fleishman et al., 1991). Sometimes different terms have been used to refer to the same type of behavior. At other times, the same term has been defined differently by various theorists. What is treated as a general behavior category by one theorist is viewed as two or three distinct categories by another theorist. What is a key concept in one taxonomy is absent from another. Different taxonomies have emerged from different research disciplines, and it is difficult to translate from one set of concepts to another. Table 3-1 lists several behavior taxonomies proposed during the past half-century.

TABLE 3-1 Overview of Behavior Taxonomies

<i>Authors and Date</i>	<i>Categories</i>	<i>Primary Purpose</i>	<i>Primary Method</i>
Fleishman (1953)	2	Describe effective behavior	Factor analysis
Stogdill (1963)	12	Describe effective behavior	Theoretical-deductive
Mahoney et al. (1963)	8	Describe job requirements	Theoretical-deductive
Bowers & Seashore (1966)	4	Describe effective behavior	Theoretical-deductive
Mintzberg (1973)	10	Classify observed activities	Judgmental classification
House & Mitchell (1974)	4	Describe effective behavior	Theoretical-deductive
Morse & Wagner (1978)	6	Describe effective behavior	Factor analysis
Yukl & Nemeroff (1979)	13	Describe effective behavior	Factor analysis
Luthans & Lockwood (1984)	12	Classify observed activities	Judgmental classification
Page (1985)	10	Describe job requirements	Factor analysis
Yukl et al. (1990)	14	Describe effective behavior	Factor analysis
Bass & Avolio (1990)	7	Describe effective behavior	Factor analysis
Wilson et al. (1990)	15	Describe effective behavior	Factor analysis
Podsakoff et al. (1990)	6	Describe effective behavior	Factor analysis
Fleishman et al. (1991)	13	Describe effective behavior	Theoretical-deductive
Conger & Kanungo (1994)	6	Describe effective behavior	Factor analysis
Yukl, Gordon, & Taber (2002)	12	Describe effective behavior	Factor analysis

Sources of Diversity Among Taxonomies

There are several reasons why taxonomies developed to describe leadership behavior are so diverse (Fleishman et al., 1991; Yukl, 1989). Behavior categories are abstractions rather than tangible attributes of the real world. The categories are derived from observed behavior in order to organize perceptions of the world and make them meaningful, but they do not exist in any objective sense. No absolute set of “correct” behavior categories can be established. Thus, taxonomies that differ in purpose can be expected to have somewhat different constructs. For example, taxonomies designed to facilitate research and theory on managerial effectiveness have a somewhat different focus from taxonomies designed to describe observations of managerial activities, or taxonomies designed to catalog position responsibilities of managers and administrators.

Another source of diversity among taxonomies, even for those with the same purpose, is the possibility that behavior constructs can be formulated at different levels of abstraction or generality. Some taxonomies contain a small number of broadly defined behavior categories, whereas other taxonomies contain a larger number of narrowly focused behavior categories. For example, initiating structure as defined by Fleishman (1953) is a broad category, clarifying work roles is a mid-range category, and setting concrete goals is a concrete, narrowly focused category. All three are abstract behavior categories, but goal setting is a component of clarifying, which is a component of initiating structure (see Table 3-2). The optimal level of abstraction for the behavior categories in a taxonomy depends upon the purpose of the taxonomy. Some taxonomies of leader or manager behavior contain a mix of constructs at different levels of abstraction, thereby creating additional confusion.

A third source of diversity among behavior taxonomies is the method used to develop them. Some taxonomies are developed by examining the pattern of covariance among behavior items on a behavior description questionnaire describing actual managers (factor analysis method); some taxonomies are developed by having judges group behavior examples according to perceived similarity in content or purpose (judgmental classification); and some taxonomies are developed by deduction from theory (theoretical-deductive approach). Each method has its own associated biases, and the use of different methods results in somewhat different taxonomies, even when the purpose is the same. When a combination of methods has been used, one method is usually more important than others for selecting the behavior categories.

When different taxonomies are compared, it is obvious that there are substantial differences in the number of behaviors, the range of behaviors, and the level of abstraction of the behavior concepts. Some taxonomies focus on a few, broadly defined behaviors, whereas other taxonomies have a larger number of behavior categories that

TABLE 3-2 Examples of Behaviors at Different Levels of Abstraction

Broad, Abstract Categories	Task-Oriented Behavior	
Mid-Range Categories	Clarifying	Monitoring
Concrete, Narrow Categories	Goal setting	Visiting facilities
Observed Incidents	The manager set a goal to increase sales 10% by March 1.	The manager walked through the new store to see if it was ready for the opening.

are more narrowly defined. Some taxonomies are intended to cover the full range of leader behaviors, whereas others only include the behaviors identified in a leadership theory (e.g., theories of charismatic or transformational leadership).

Limitations of Factor-Based Taxonomies

Factor analysis of survey questionnaires has been used to develop most of the behavior taxonomies. It is a useful statistical tool, but it has some serious limitations, which helps to explain the lack of consistency even among the taxonomies that were developed with the same method for the same purpose. The results are affected by subjective choices among the various factor analysis procedures. The results are also affected by the content of the item pool, the amount of ambiguity in the behavior items, the format and response choices used in the questionnaire, the sample size and identity of the respondents, the experience and cognitive complexity of the respondents, the intended use and confidentiality of the data, and the initial expectations of the researcher.

The content of the behavior questionnaire can affect the factor structure in significant ways. When a wide variety of leadership behavior is well represented in the item pool, a simple factor solution is less likely to be found. When the initial questionnaire includes sets of similarly worded items, a separate factor is more likely to be found for each set. However, it is difficult to conclude that these factors represent distinct and meaningful behavior categories, especially when the resulting scales are highly intercorrelated.

The results from factor analysis of behavior description questionnaires are also affected by the experience of respondents and their implicit theories about leadership (see Chapter 5). It is difficult to rate leadership behavior even under the best of conditions. People with limited experience and simple ideas about effective leadership are unlikely to notice and remember subtle aspects of leader behavior that happened months or years earlier. When people are asked to rate behaviors that are difficult to understand and remember, the ratings are more likely to be biased by general impressions of leader competence and how satisfied respondents are with the leader.

A Three-Dimensional Taxonomy

The large number of specific behaviors identified in leadership research makes it difficult integrate results across studies. Metacategories make it easier to “see the forest for the trees.” The distinction made between task-oriented and people-oriented behaviors during the 1950s has been helpful for organizing specific types of leadership behavior into broader categories. However, something important was still missing. The two metacategories do not include behaviors directly concerned with encouraging and facilitating change. By the 1980s, change-oriented behavior was implicit in some theories of charismatic and transformational leadership, but it was still not explicitly recognized as a separate dimension or metacategory. That discovery was made independently in the 1990s by researchers in Sweden (Ekvall & Arvonen, 1991) and the United States (Yukl, 1997, 1999a).

Verification that change-oriented behavior is a distinct and meaningful metacategory extended the earlier research and provided important insights about effective leadership. Each of the three metacategories was not clearly linked to a different outcome, and each outcome was relevant for effective leadership (see Chapter 12). Task-oriented behavior is primarily concerned with accomplishing the task in an efficient and reliable way. Relations-oriented behavior is primarily concerned with increasing

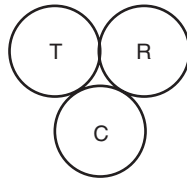
mutual trust, cooperation, job satisfaction, and identification with the organization. Change-oriented behavior is primarily concerned with understanding the environment, finding innovative ways to adapt to it, and implementing major changes in strategies, products, or processes.

Figure 3-4 provides two alternative ways to graphically show how the three meta-categories relate to specific types of leadership behavior. A *categorical model* is most useful when specific behaviors have a single objective or an obvious primary objective. This model is consistent with a hierarchical taxonomy in which each specific behavior is a component of only one metacategory. Table 3-3 lists specific leader behaviors that represent each metacategory.

A *multidimensional model* is more useful when many leader behaviors strongly affect more than one objective. For example, when a leader consults with team members about the action plan for a project, the result may be more commitment to the project (human relations), better use of available personnel and resources (task efficiency), and discovery of more innovative ways to satisfy the client (adaptation). When a leader provides coaching for an employee, the result may be improved productivity (task efficiency), an increase in employee skills relevant for career advancement (human relations), and better implementation of an innovative new program (adaptive change). In the dimensional model shown in the figure, any specific behavior can be located in three-dimensional space in order to show how much the behavior reflects a concern for task efficiency, human relations, and adaptive change. Note that unlike managerial grid theory (Blake & Mouton, 1982), this model is used to classify specific leadership behaviors rather than to classify managers in terms of their general concern for tasks and relationships.

Yukl, Gordon, and Taber (2002) recently conducted a study to assess support for the hierarchical taxonomy and the three-dimensional model. They constructed a questionnaire

A. Three-Factor Model



B. Three-Dimensional Model

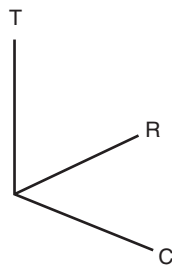


FIGURE 3-4 Two Alternative Conceptions of Task-, Relations-, and Change-Oriented Behavior

TABLE 3-3 Examples of Task-, Relations-, and Change-Oriented Behaviors**Task-Oriented Behaviors**

- Organize work activities to improve efficiency.
- Plan short-term operations.
- Assign work to groups or individuals.
- Clarify what results are expected for a task.
- Set specific goals and standards for task performance.
- Explain rules, policies, and standard operating procedures.
- Direct and coordinate work activities.
- Monitor operations and performance.
- Resolve immediate problems that would disrupt the work.

Relations-Oriented Behaviors

- Provide support and encouragement to someone with a difficult task.
- Express confidence that a person or group can perform a difficult task.
- Socialize with people to build relationships.
- Recognize contributions and accomplishments.
- Provide coaching and mentoring when appropriate.
- Consult with people on decisions affecting them.
- Allow people to determine the best way to do a task.
- Keep people informed about actions affecting them.
- Help resolve conflicts in a constructive way.
- Use symbols, ceremonies, rituals, and stories to build team identity.
- Recruit competent new members for the team or organization.

Change-Oriented Behaviors

- Monitor the external environment to detect threats and opportunities.
- Interpret events to explain the urgent need for change.
- Study competitors and outsiders to get ideas for improvements.
- Envision exciting new possibilities for the organization.
- Encourage people to view problems or opportunities in a different way.
- Develop innovative new strategies linked to core competencies.
- Encourage and facilitate innovation and entrepreneurship in the organization.
- Encourage and facilitate collective learning in the team or organization.
- Experiment with new approaches for achieving objectives.
- Make symbolic changes that are consistent with a new vision or strategy.
- Encourage and facilitate efforts to implement major change.
- Announce and celebrate progress in implementing change.
- Influence outsiders to support change and negotiate agreements with them.

with scales for specific behaviors identified in earlier research on effective leadership. A confirmatory factor analysis was used to determine whether each specific behavior could be sorted into one of the three metacategories in a way that is consistent with assumptions about the primary objective of the behavior. The study found support for 12 specific behaviors, but results were inconclusive for some other behaviors included in the questionnaire.

The results provided moderate support for the proposed hierarchical taxonomy, which is a categorical model. However, the pattern of factor results for items and scales

also indicated that some of the specific behaviors were relevant for more than one objective, which is consistent with a dimensional model. At the present time it appears that both the categorical and dimensional models can be useful for describing the complex interrelationships among different types of leadership behavior.

Comparison of Recent Taxonomies

Because most of the behaviors identified in earlier research on effective leadership were also included in the study by Yukl and colleagues (2002), the results from that study provide insights about similarities and differences among the behavior taxonomies. Table 3-4 shows how the 12 behaviors identified in the survey research correspond to

TABLE 3-4 Approximate Correspondence Among Leadership Behaviors in Four Taxonomies			
<i>TRCQ</i>	<i>MLQ</i>	<i>CK Inventory</i>	<i>MPS</i>
Supporting	Individualized consideration	Sensitivity to members	Supporting
Developing	Individualized consideration	NI	Developing & Mentoring
Recognizing	Contingent rewarding	NI	Recognizing & Rewarding
Consulting	NI	NI	Consulting
Delegating & Empowering	NI	NI	Delegating
Clarifying roles & objectives	NI	NI	Clarifying roles & objectives
Short-term planning	NI	NI	Planning
Monitoring	Active managing by exception	NI	Monitoring
Envisioning Change	Inspirational motivation	Strategic vision articulation	Inspiring & Motivating
Encouraging innovative thinking	Intellectual stimulation	NI	NI
External monitoring	NI	Environmental Sensitivity	Networking & interfacing
Taking risks & leading by example	Idealized influence behaviors	Personal risk taking	NI

Note: NI means that a behavior is not explicitly included in a taxonomy. The heavy lines indicate the classification and sorting of behaviors into relations-, task-, or change-oriented metacategories.

observable effective behaviors in three other taxonomies, and how each behavior is related to the three metacategories. The table does not include behaviors that are ineffective (e.g., laissez-faire leadership, passive monitoring by exception), or behaviors that are vague and difficult for subordinates to observe (e.g., nontraditional behavior, attributed idealized influence).

The Managerial Practices Survey (MPS) is used primarily for multisource feedback to managers (Yukl, Wall, & Lepsinger, 1990), but it has also been used for research on effective leadership (e.g., Kim & Yukl, 1995). The MPS has good representation of task and relations behaviors, but it does not measure some strategic change-oriented behaviors. The C-K inventory (Conger & Kanungo, 1994) is used for research on charismatic leadership, and it has the narrowest range of behaviors. The the Multifactor Leadership Questionnaire (MLQ) is used for research on transformational leadership (Bass & Avolio, 2000). The taxonomy of behaviors measured by the MLQ has been labeled the “full-range model” (Avolio, 1999), but it does not include several task-, relations-, and change-oriented behaviors found to be relevant in the past half-century of behavior research (Yukl, 1998; Yukl et al., 2002).

The remaining two sections of this chapter describe in greater detail several specific leadership behaviors that are primarily task-oriented or relations-oriented. Change-oriented behaviors are described in Chapters 9 and 10. The challenge for leaders of balancing and integrating all three types of behavior is discussed in Chapter 12.

Specific Task Behaviors

This section of the chapter describes three specific types of task-oriented behaviors that are especially relevant for effective leadership. The behaviors include (1) short-term planning, (2) clarifying roles and objectives, and (3) monitoring operations and performance. The behaviors are explained and research on each type of behavior is briefly reviewed.

Planning Work Activities

Short-term planning of work activities means deciding what to do, how to do it, who will do it, and when it will be done. The purpose of planning is to ensure efficient organization of the work unit, coordination of activities, and effective utilization of resources. Planning is a broadly defined behavior that includes making decisions about objectives, priorities, strategies, organization of the work, assignment of responsibilities, scheduling of activities, and allocation of resources among different activities according to their relative importance. Special names are sometimes used for subvarieties of planning. For example, *operational planning* is the scheduling of routine work and determination of task assignments for the next day or week. *Action planning* is the development of detailed action steps and schedules for implementing a new policy or carrying out a project (see guidelines in Table 3-5). *Contingency planning* is the development of procedures for avoiding or coping with potential problems or disasters. Finally, planning also includes determining how to allocate time to different responsibilities and activities (“time management”).

Planning is largely a cognitive activity involving processing of information, analyzing, and deciding. Planning seldom occurs in a single behavior episode; rather it tends to be a prolonged process that occurs over a period of weeks or months. We saw in Chapter 2

TABLE 3-5 Guidelines for Action Planning

- Identify necessary action steps.
- Identify the optimal sequence of action steps.
- Estimate the time needed to carry out each action step.
- Determine starting times and deadlines for each action step.
- Estimate the cost of each action step.
- Determine who will be accountable for each action step.
- Develop procedures for monitoring progress.

that most planning involves formulation of informal and implicit agendas, rather than formal, written documents and agreements. Because planning is a cognitive activity that seldom occurs as a single discrete episode, it is difficult to observe (Snyder & Glueck, 1980). Nevertheless, some observable aspects include writing plans, preparing written budgets, developing written schedules, and meeting with others to formulate objectives and strategies. Planning is most observable when a manager takes action to implement plans by communicating them to others and making specific task assignments.

The importance of planning and organizing has long been recognized in the management literature (Carroll & Gillen, 1987; Drucker, 1974; Fayol, 1949; Quinn, 1980; Urwick, 1952). Evidence of a relationship between planning and managerial effectiveness is provided by a variety of different types of studies (e.g., Boyatzis, 1982; Carroll & Gillen, 1987; Kim & Yukl, 1995; Kotter, 1982; Morse & Wagner, 1978; Shipper & Wilson, 1992; Yukl, Wall, & Lepsinger, 1990).

Clarifying Roles and Objectives

Clarifying is the communication of plans, policies, and role expectations. Major subcategories of clarifying include (1) defining job responsibilities and requirements, (2) setting performance goals, and (3) assigning specific tasks. Guidelines for each type of clarifying are shown in Table 3-6. The purpose of this clarifying behavior is to guide and coordinate work activity and make sure people know what to do and how to do it. It is essential for each subordinate to understand what duties, functions, and activities are required in the job and what results are expected. Even a subordinate who is highly competent and motivated may fail to achieve a high level of performance if confused about responsibilities and priorities. Such confusion results in misdirected effort and neglect of important responsibilities in favor of less important ones. The more complex and multifaceted the job, the more difficult it is to determine what needs to be done.

Clarifying behavior is likely to be more important when there is substantial role ambiguity or role conflict for members of the work unit. Less clarifying is necessary if the organization has elaborate rules and regulations dictating how the work should be done and subordinates understand them, or if subordinates are highly trained professionals who have the expertise to do their jobs without much direction from superiors. Contingency theories about the amount of clarifying behavior needed in different situations are described in Chapter 8.

Clarifying is a core component of initiating structure. As noted earlier, the research on broadly defined measures of task-oriented behavior was mostly inconclusive. However, research on specific aspects of clarifying behavior has found stronger results. A number

TABLE 3-6 Guidelines for Clarifying Roles and Objectives**Defining Job Responsibilities**

- Explain the important job responsibilities.
- Clarify the person's scope of authority.
- Explain how the job relates to the mission of the unit.
- Explain important policies, rules, and requirements.

Assigning Work

- Clearly explain the assignment.
- Explain the reasons for an assignment.
- Clarify priorities and deadlines.
- Check for comprehension.

Setting Performance Goals

- Set goals for relevant aspects of performance.
- Set goals that are clear and specific.
- Set goals that are challenging but realistic.
- Set a target date for attainment of each goal.

of different types of studies have found a positive relationship between clarifying and managerial effectiveness (Alexander, 1985; Bauer & Green, 1998; Kim & Yukl, 1995; Van Fleet & Yukl, 1986b; Wilson et al., 1990; Yukl, Wall, & Lepsinger, 1990). Strong evidence from many studies (including some field experiments) indicates that setting specific, challenging goals results in higher performance (see Locke & Latham, 1990).

Monitoring Operations and Performance

Monitoring involves gathering information about the operations of the manager's organizational unit, including the progress of the work, the performance of individual subordinates, the quality of products or services, and the success of projects or programs. Monitoring behavior can take many forms, including observation of work operations, reading written reports, watching computer screen displays of performance data, inspecting the quality of samples of the work, and holding progress review meetings with an individual or group. The appropriate type of monitoring depends on the nature of the task and other aspects of the situation. Some guidelines for monitoring operations are provided in Table 3-7.

Monitoring provides much of the information needed for planning and problem solving, which is why it is so important for managerial effectiveness (Meredith & Mantel, 1985). Information gathered from monitoring is used to identify problems and opportunities, as well as to formulate and modify objectives, strategies, plans, policies, and procedures. Monitoring provides the information needed to evaluate subordinate performance, recognize achievements, identify performance deficiencies, assess training needs, provide coaching and assistance, and allocate rewards such as a pay increase or promotion. When monitoring is insufficient, a manager will be unable to detect problems before they become serious (problems such as declining quality, low productivity, cost overruns, behind-schedule projects, employee dissatisfaction, and conflicts among employees).

The appropriate degree of monitoring will depend on the competence of the subordinate and the nature of the work. More frequent monitoring is desirable when

TABLE 3-7 Guidelines for Monitoring Operations

- Identify and measure key performance indicators.
- Monitor key process variables as well as outcomes.
- Measure progress against plans and budgets.
- Develop independent sources of information about performance.
- Observe operations directly when it is feasible.
- Ask specific questions about the work.
- Encourage reporting of problems and mistakes.
- Conduct periodic progress review meetings.

subordinates are inexperienced and insecure, when mistakes have serious consequences, when the tasks of subordinates are highly interdependent and require close coordination, and when disruptions in the workflow are likely, due to equipment breakdowns, accidents, materials shortages, personnel shortages, and so forth. Monitoring of performance is most difficult when the work involves unstructured, unique tasks for which results can be determined only after a long time interval. For example, it is more difficult to evaluate the performance of a research scientist or human resource manager than the performance of a sales representative or production manager. Monitoring too closely or in ways that communicate distrust can undermine subordinate self-confidence and reduce intrinsic motivation.

As noted previously, monitoring indirectly affects a manager's performance by facilitating the effective use of other behaviors. Some evidence also shows that monitoring affects performance directly. In a laboratory experiment, Larson and Callahan (1990) found that performance increased on a task that was monitored closely but not on a task that was subject to little monitoring. The effect on performance was greater when monitoring was followed by praise or criticism, but it occurred even when there were no associated consequences for the workers. The amount of research on the effects of monitoring by leaders is still limited. Some evidence that monitoring is related to managerial effectiveness is provided by several studies and a variety of research methods including field surveys, observation, and diary incidents (e.g., Amabile et al., 2004; Jenster, 1987; Kim & Yukl, 1995; Komaki, 1986; Komaki, Desselles, & Bowman, 1989; Komaki & Minnich, 2002; Yukl, Wall, & Lepsinger, 1990).

Specific Relations Behaviors

This section of the chapter describes three specific types of relations-oriented behaviors that are especially relevant for effective leadership. The behaviors include (1) supporting, (2) developing, and (3) recognizing. The behaviors are explained and research on the behaviors is briefly reviewed. Other relations-oriented behaviors are described in subsequent chapters, including consulting (Chapter 4) and team building (Chapter 11).

Supporting

Supporting includes a wide variety of behaviors that show consideration, acceptance, and concern for the needs and feelings of other people. Supporting is the core

TABLE 3-8 Guidelines for Supporting

- Show acceptance and positive regard.
- Be polite and considerate, not arrogant and rude.
- Treat each subordinate as an individual.
- Remember important details about the person.
- Be patient and helpful when giving instructions or explanations.
- Provide sympathy and support when the person is anxious or upset.
- Express confidence in the person when there is a difficult task.
- Provide assistance with the work when it is needed.
- Be willing to help with personal problems.

component of consideration, as defined by Fleishman (1953) and Stogdill (1974), and it is also the core component of supportive leadership, as defined by Bowers and Seashore (1966) and House and Mitchell (1974). Table 3-8 shows guidelines for supportive behavior by leaders.

Supportive leadership helps to build and maintain effective interpersonal relationships. A manager who is considerate and friendly toward people is more likely to win their friendship and loyalty. The emotional ties that are formed make it easier to gain cooperation and support from people on whom the manager must rely to get the work done. It is more satisfying to work with someone who is friendly, cooperative, and supportive than with someone who is cold and impersonal, or worse, hostile and uncooperative. Some forms of supporting behavior reduce the amount of stress in the job, and other forms help a person cope with stress. Higher job satisfaction and stress tolerance are likely to result in less absenteeism, less turnover, less alcoholism, and less drug abuse (Brief, Schuler, & Van Sell, 1981; Ganster, Fusilier, & Mayes, 1986; Kessler, Price, & Wortman, 1985).

As noted earlier in this chapter, the effects of supportive leadership have been studied extensively with a variety of research methods. The studies show that subordinates of supportive leaders are usually more satisfied with their leader and with their job. The findings regarding the effects of supporting behavior on subordinate performance are less consistent, especially when controlling for the effects of other person-oriented behaviors such as developing and recognizing. Although no firm conclusions can be drawn, supportive leadership probably has a weak positive effect on subordinate performance. Unfortunately, few studies have measured the mediating processes that could explain the reasons for this effect or when it is most likely to occur. Supportive leadership may increase a subordinate's self-confidence, stress resistance, acceptance of the leader, trust of the leader, and willingness to do extra things for the leader. How these mediating processes can contribute to effective performance by a subordinate is described in more detail in subsequent chapters.

Developing

Developing includes several managerial practices that are used to increase a person's skills and facilitate job adjustment and career advancement. Component behaviors include coaching, mentoring, and career counseling. Guidelines for coaching are shown in Table 3-9, and guidelines for mentoring appear in Table 3-10.

TABLE 3-9 Guidelines for Coaching

- Help the person analyze his or her performance by asking questions or suggesting aspects to examine more closely.
- Provide constructive feedback about effective and ineffective behaviors exhibited by the person.
- Suggest specific things that could help to improve the person's performance.
- Demonstrate a better way to do a complex task or procedure.
- Express confidence the person can learn a difficult task or procedure.
- Provide opportunities to practice difficult procedures before they are used in the work.
- Help the person learn how to solve a problem rather than just providing the answer.

TABLE 3-10 Guidelines for Mentoring

- Help the person identify relevant strengths and weaknesses.
- Help the person find ways to acquire necessary skills and knowledge.
- Encourage attendance at relevant training courses.
- Provide opportunities to learn from experience.
- Provide helpful career advice.
- Promote the person's reputation.
- Serve as a role model (demonstrate appropriate behavior).

Developing is usually done with a subordinate, but it may also be done with a peer, a colleague, or even with a new, inexperienced boss. Responsibility for developing subordinates can be shared with other members of the work unit who are competent and experienced. For example, some leaders assign an experienced subordinate to serve as a mentor and coach for a new employee.

Developing offers a variety of potential benefits for the manager, the subordinate, and the organization. One benefit is to foster mutually cooperative relationships. Potential benefits for subordinates include better job adjustment, more skill learning, greater self-confidence, and faster career advancement. The leader can gain a sense of satisfaction from helping others grow and develop. Potential benefits for the organization include higher employee commitment, higher performance, and better preparation of people to fill positions of greater responsibility in the organization as openings occur.

There has been extensive research on the effects of skill training in organizations (see reviews by Goldstein, 1992). This literature suggests that skill development usually increases the satisfaction and performance. Managers play an important role in the development of subordinates. Empirical research on the effects of coaching and mentoring by managers is still limited. A few survey studies have examined the correlation between developing behavior and an independent criterion of leadership effectiveness, but the results were not consistent across samples (e.g., Javidan, 1992; Kim & Yukl, 1995; Wilson, O'Hare, & Shipper, 1990; Yukl, Wall, & Lepsinger, 1990). Descriptive research involving effective managers suggests that they take a more active role in developing the skills and confidence of subordinates (Bradford & Cohen, 1984; McCauley, 1986). Additional research on coaching and mentoring is described in Chapter 13.

Recognizing

Recognizing involves giving praise and showing appreciation to others for effective performance, significant achievements, and important contributions to the organization. Although it is most common to think of recognition as being given by a manager to subordinates, this managerial practice can also be used with peers, superiors, and people outside the work unit. The primary purpose of recognizing, especially when used with subordinates, is to strengthen desirable behavior and task commitment. Some guidelines for recognizing are presented in Table 3-11.

Three major forms of recognizing are praise, awards, and recognition ceremonies. Praise consists of oral comments, expressions, or gestures that acknowledge a person's accomplishments and contributions. It is the easiest form of recognition to use. Most praise is given privately, but it can be used in a public ritual or ceremony as well.

Awards include things such as a certificate of achievement, a letter of commendation, a plaque, a trophy, a medal, or a ribbon. Awards can be announced in many different ways, including an article in the company newsletter, a notice posted on the bulletin board, a picture of the person (e.g., "employee of the month") hung in a prominent place, over a public address system, in regular meetings, and at special ceremonies or rituals. Giving formal awards is a symbolic act that communicates a manager's values and priorities to people in the organization. Thus, it is important for awards to be based on meaningful criteria rather than favoritism or arbitrary judgments. An award that is highly visible allows others to share in the process of commending the recipient and showing appreciation for his or her contributions to the success of the organization. The basis for making the award is more important than the form of the award. Some managers are creative about using awards, and they look for new and unusual awards to use with "planned spontaneity." Examples include donuts, home-baked bread, flowers, a bottle of champagne, a new chair, and a picture of the employee shaking hands with the CEO.

A recognition ceremony ensures that an individual's achievements are acknowledged not only by the manager but also by other members of the organization. Recognition ceremonies can be used to celebrate the achievements of a team or work unit as well as those of an individual. Special rituals or ceremonies to honor particular employees or teams can have strong symbolic value when attended by top management, because they demonstrate their concern for the aspects of behavior or performance being recognized. A rather unique version of a recognition ceremony is used by Milliken and Company (Peters & Austin, 1985).

TABLE 3-11 Guidelines for Recognizing

- Recognize a variety of contributions and achievements.
- Actively search for contributions to recognize.
- Recognize specific contributions and achievements.
- Recognize improvements in performance.
- Recognize commendable efforts that failed.
- Provide recognition that is sincere.
- Provide recognition that is timely.
- Use a form of recognition appropriate for the person and situation.

Once each quarter a Corporate Sharing Rally is held to allow work teams to brag about their achievements and contributions. Each of the “fabulous bragging sessions” has a particular theme such as improved productivity, better product quality, or reduced costs. Attendance is voluntary, but hundreds of employees show up to hear teams make short five-minute presentations describing how they have made improvements relevant to the theme. Every participant receives a framed certificate, and the best presentations (determined by peer evaluation) get special awards. In addition to celebrating accomplishments and emphasizing key values (represented by the themes), these ceremonies increase the diffusion of innovative ideas within the company.

Praise is often given along with tangible rewards, and it is difficult to separate their effects on subordinate effort and satisfaction in much of the research literature. Most studies that measure contingent reward behavior with leader behavior questionnaires find a positive correlation with subordinate satisfaction, but results for performance are not consistent (e.g., Kim & Yukl, 1995; Lowe, Kroeck & Sivabramaniam, 1996; Podsakoff & Todor, 1985; Podsakoff, Todor, Grover, & Huber, 1984; Yukl et al., 1990). A meta-analysis of laboratory and field studies on praise as a form of feedback found little support for its effectiveness; praise was more likely to have a negative effect on performance than a positive effect (Kluger & DeNisi, 1996). In contrast, descriptive studies in organizations (Kouzes & Posner, 1987; Peters & Austin, 1985) suggest that effective leaders provide extensive recognition to subordinates for their achievements and contributions. A rare field experiment by Wikoff, Anderson, and Crowell (1983) found that praise by the supervisor increased subordinate performance. In summary, the results of empirical research on the effects of praise are inconsistent, but they suggest that it can be beneficial when used in a skillful way under favorable conditions.

Evaluation of the Behavior Approach

The early fixation on consideration and initiating structure appears to have ended, and most researchers now examine a broader range of behavior and more specific types of behaviors. Additional research on specific leadership behaviors is reviewed in later chapters of this book. Unfortunately, there are serious weaknesses in much of the behavior research conducted during the past two decades. The proliferation of taxonomies and lack of agreement about what behaviors to study has made it more difficult to integrate the research on leader behavior. Most researchers continue to use an available, “validated” questionnaire for their research without careful consideration about the relevance of the content for their research question and sample. Field studies that measure only the behaviors included in an available questionnaire (or selected scales from it) usually miss the opportunity to examine a wide range of behaviors, or to collect rich, descriptive information about leadership behavior. When the analysis involves only scale scores from questionnaires, it is often difficult to interpret the results, and there is little opportunity for inductive discoveries about effective leadership.

Like the trait research (see Chapter 7), the behavior research suffers from a tendency to look for simple answers to complex questions. Most research on leadership effectiveness has examined behaviors individually rather than examining how effective leaders use patterns of specific behaviors to accomplish their agendas. It is likely that

specific behaviors interact in complex ways, and that leadership effectiveness cannot be understood unless these interactions are studied. For example, monitoring is useful for discovering problems, but unless something is done to solve the problems monitoring will not contribute to leader effectiveness. Planning is likely to be ineffective unless it is based on timely, accurate information gathered from monitoring, consulting, and networking, and developing plans is pointless unless the leader also influences people to support and implement them. Delegating is not likely to be effective unless the leader clarifies the subordinate's new responsibilities; ensures that the subordinate accepts them; monitors progress in an appropriate way; and provides necessary support, resources, and assistance.

Descriptive studies of managerial work suggest that complementary behaviors are woven together into a complex tapestry such that the whole is greater than the sum of the parts (Kaplan, 1986). A leader's skill in selecting and enacting appropriate behaviors is related to the success of the outcome, but different patterns of behavior may be used to accomplish the same outcome (the idea of equifinality). In future research it is essential to pay more attention to the overall pattern of leadership behavior rather than becoming too preoccupied with any particular component of it. Measures of how often a particular type of behavior is used are not enough; it is also essential to consider whether the behavior is used when and where it is appropriate, and in a skillful way.

Summary

From the 1950s to the mid-1980s, research on leader behavior was dominated by a focus on two broadly defined categories of behavior. Most studies of leadership behavior during this period used questionnaires measuring leader consideration and initiating structure. Hundreds of studies were conducted to see how these behaviors were correlated with criteria of leadership effectiveness such as subordinate satisfaction and performance. Other researchers used critical incidents, laboratory experiments, or field experiments to investigate how leader behavior affects subordinate satisfaction and performance. Results from this massive research effort have been mostly inconclusive. However, the overall pattern of results suggests that effective leaders use a pattern of behavior that is appropriate for the situation and reflects a high concern for task objectives and a high concern for relationships.

Recent research has identified a third general category of leadership behavior that is concerned primarily with change and innovation. This type of leadership behavior was not explicitly represented in the early research and theory about leadership behavior, and it is an essential element in more recent theory and research (see Chapters 9, 10, and 12). However, a more comprehensive set of metacategories does not mean that specific behaviors can be ignored in leadership theory and research. Much of the research on leader effectiveness indicates that for a given situation some specific behaviors are more relevant than others. Thus, to determine what form of leadership is appropriate in a particular situation, it is still necessary to study the specific behaviors rather than merely looking at the metacategories.

Behavior taxonomies are descriptive aids that may help us analyze complex events and understand them better. However, it is important to remember that all leader behavior constructs are subjective. Despite claims of validity for widely used scales, the type of research needed to assess whether behavior constructs are accurately measured

(free of respondent bias) and meaningful for explaining effective leadership is seldom done. In the research on leader behavior there has been too much reliance on a small number of well-known questionnaires that measure a limited range of behaviors. This strategy is equivalent to assuming that we already know what types of behavior will be most useful for studying leadership. To facilitate interpretation of results and inductive discoveries, it is essential to be more flexible about what behaviors are examined in the research and the methods used to measure them.

Planning, clarifying, and monitoring are specific task-oriented behaviors that jointly affect subordinate performance. Planning involves deciding about objectives, priorities, strategies, allocation of resources, assignment of responsibilities, scheduling of activities, and allocation of the manager's own time. Clarifying includes assigning tasks, explaining job responsibilities, explaining rules and procedures, communicating priorities, setting specific performance goals and deadlines, and giving instructions in how to do a task. Monitoring involves getting information needed to evaluate the operations of the work unit and the performance of individual subordinates.

Supporting, developing, and recognizing are key relations-oriented behaviors. Supporting includes a wide range of behaviors by which a manager shows consideration, acceptance, and concern for someone's needs and feelings. A manager who is considerate and personable toward people is more likely to win their friendship and loyalty. Developing includes behavior that is intended to increase job-relevant skills and facilitate a person's job adjustment and career advancement. Examples include coaching, mentoring, and career counseling. Recognizing involves giving praise and showing appreciation to others for effective performance, significant achievements, and important contributions to the organization. Recognizing helps to strengthen desirable behavior, improve interpersonal relationships, and increase job satisfaction.

Review and Discussion Questions

1. What did we learn about leadership effectiveness from the early Ohio State and Michigan leadership studies?
2. What problems have impeded questionnaire research on leadership behavior?
3. What are critical incident studies, and what do they tell us about the behavior of effective leaders?
4. Explain the high-high theory of leadership effectiveness, and evaluate the research evidence for this theory.
5. How can a leader's behavior reflect a high concern for both task and relations at the same time?
6. Why are taxonomies of behavior constructs important for research and theory on managerial effectiveness?
7. Why do the taxonomies proposed by different theorists show so many differences?
8. Why are planning, clarifying, and monitoring relevant for leadership effectiveness?
9. Why are supporting, developing, and recognizing important for leadership effectiveness?
10. In general, what has been learned from research on effective leadership behavior?
11. To what extent are the findings consistent for this chapter and the previous one?

Key Terms

- behavior taxonomies
- change-oriented behavior
- clarifying
- consideration
- critical incidents
- developing

- high-high leader
- initiating structure
- Leader Behavior Description Questionnaire (LBDQ)
- monitoring
- Multifactor Leadership Questionnaire (MLQ)
- participative leadership
- peer leadership
- planning
- recognizing
- relations-oriented behavior
- supportive leadership
- task-oriented behavior

CASES

Consolidated Products

Consolidated Products is a medium-sized manufacturer of consumer products with nonunionized production workers. Ben Samuels was a plant manager for Consolidated Products for 10 years, and he was well liked by the employees. They were grateful for the fitness center he built for employees, and they enjoyed the social activities sponsored by the plant several times a year, including company picnics and holiday parties. He knew most of the workers by name, and he spent part of each day walking around the plant to visit with them and ask about their families or hobbies.

Ben believed that it was important to treat employees properly so they would have a sense of loyalty to the company. He tried to avoid any layoffs when production demand was slack, figuring that the company could not afford to lose skilled workers that are so difficult to replace. The workers knew that if they had a special problem, Ben would try to help them. For example, when someone was injured but wanted to continue working, Ben found another job in the plant that the person could do despite having a disability. Ben believed that if you treat people right, they will do a good job for you without close supervision or prodding. Ben applied the same principle to his supervisors, and he mostly left them alone to run their departments as they saw fit. He did not set objectives and standards for the plant, and he never asked the supervisors to develop plans for improving productivity and product quality.

Under Ben, the plant had the lowest turnover among the company's five plants, but the second worst record for costs and production levels. When the company was acquired by another firm, Ben was asked to take early retirement, and Phil Jones was brought in to replace him.

Phil had a growing reputation as a manager who could get things done, and he quickly began making changes. Costs were cut by trimming a number of activities such as the fitness center at the plant, company picnics and parties, and the human relations training programs for supervisors. Phil believed that training supervisors to be supportive was a waste of time. His motto was: "If employees don't want to do the work, get rid of them and find somebody else who does."

Supervisors were instructed to establish high performance standards for their departments and insist that people achieve them. A computer monitoring system was introduced so that the output of each worker could be checked closely against the standards. Phil told his supervisors to give any worker who had substandard performance one warning, then if performance did not improve within two weeks, to fire the person. Phil believed that workers don't respect a supervisor who is weak and passive. When Phil observed a worker wasting time or making a mistake, he would reprimand the person right on the spot to set an example. Phil also checked closely on the performance of his supervisors. Demanding objectives were set for each

department, and weekly meetings were held with each supervisor to review department performance. Finally, Phil insisted that supervisors check with him first before taking any significant actions that deviated from established plans and policies.

As another cost-cutting move, Phil reduced the frequency of equipment maintenance, which required machines to be idled when they could be productive. Because the machines had a good record of reliable operation, Phil believed that the current maintenance schedule was excessive and was cutting into production. Finally, when business was slow for one of the product lines, Phil laid off

workers rather than finding something else for them to do.

By the end of Phil's first year as plant manager, production costs were reduced by 20 percent and production output was up by 10 percent. However, three of his seven supervisors left to take other jobs, and turnover was also high among the machine operators. Some of the turnover was due to workers who were fired, but competent machine operators were also quitting, and it was becoming increasingly difficult to find any replacements for them. Finally, talk of unionizing was increasing among the workers. ■

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QUESTIONS

1. Describe and compare the managerial behavior of Ben and Phil. To what extent does each manager display specific relations behaviors (supporting, developing, recognizing) and specific task behaviors (clarifying, planning, monitoring)? To what extent does each manager use participative or inspirational leadership?
2. Compare Ben and Phil in terms of their influence on employee attitudes, short-term performance, and long-term plant performance, and explain the reasons for the differences.
3. If you were selected to be the manager of this plant, what would you do to achieve both high employee satisfaction and performance?

Air Force Supply Squadron

Colonel Pete Novak was assigned to command an air force squadron that airlifted supplies to combat units during the Korean War. The squadron had more than 200 men and several cargo planes. When he assumed command, the situation was bleak. They were short of supplies, personnel, and replacements. Organization and coordination were poor, and there was little cooperation and teamwork among different sections. Morale was low due to the unrelenting workload, the constant bickering and disagreements, and the stress of flying into combat zones.

Colonel Novak held a meeting of the squadron to introduce himself and talk about how important their mission was to the success of the war effort. He talked about how the men in the front lines were counting on the squadron to bring them the supplies and ammunition they needed to keep the enemy from overrunning the country. He reminded them that every man had a vital function in the operation of the squadron.

Then Colonel Novak set out to learn more about the men in his unit, beginning with the officers. He held frequent staff meetings with

the section heads and some key noncommissioned officers (NCOs) to discuss the methods used to carry out the mission of the squadron. He visited the enlisted men at work and off duty, talking to them and showing a personal interest in them. He listened to their complaints, and whenever possible tried to deal with their concerns about the poor living conditions at the base. He flew along with the airplane crews on some of the supply missions. On one occasion when supplies were desperately needed at the front lines and the squadron was shorthanded, he pitched in and worked beside the men all during the night to load the planes.

It was not long before Colonel Novak had learned each person's name, what his job was, and something about his background. As he found out more about the capabilities of the men, he reorganized the squadron to place

people where the best use could be made of their skills and experience. In staff meetings, disagreements were discussed and worked out, and responsibilities were assigned when all concerned were present. Authority was clearly delegated to reduce confusion and duplication of orders. The NCOs were held responsible for the actions of their men and, within limits, their decisions were enforced without question.

Within two months the effects of the changes were evident. The officers and enlisted men learned what was expected of them and began to see themselves as an essential part of a well-run organization. They began to take pride in their ability to accomplish their mission despite the hardships. Morale and teamwork improved. Before long the squadron became one of the most efficient in Korea. ■

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QUESTIONS

1. What effective leadership behaviors were exhibited by Colonel Novak?
2. What does this case illustrate about effective leadership?
3. Compare the leadership behavior in this case with the leadership behavior in the preceding case.

