Leadership in Organizations

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Ninth Edition

Leadership in Organizations

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Library of Congress Cataloging-in-Publication Data

Names: Yukl, Gary A., author. | Gardner, William L., III, author.
Title: Leadership in organizations / Gary Yukl and William Gardner, University of Albany, State University of New York.
Description: Ninth edition. | Boston : Pearson Education, Inc., [2020] | Includes bibliographical references and index.
Identifiers: LCCN 2018041734 | ISBN 9780134895130 | ISBN 0134895134
Subjects: LCSH: Leadership. | Decision making. | Organization.
Classification: LCC HD57.7 .Y85 2020 | DDC 658.4/092—dc23
LC record available at https://lccn.loc.gov/2018041734

1 19

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ISBN 10: 0-13-489513-4
ISBN 13: 978-0-13-489513-0

For their support, devotion, and love, this book is dedicated to Maureen and Claudia.

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ABOUT THE AUTHORS

Gary Yukl

After more than 45 years of studying leadership, Dr. Gary Yukl is highly qualified to write about the subject. His highest academic degree is a Ph.D. in Industrial-Organizational Psychology from the University of California, Berkeley. He is an emeritus professor at UAlbany, State University of New York, where before retiring he taught courses in leadership at the undergraduate, MBA, and doctoral level. He is a member of the editorial boards for several important journals that publish articles on leadership theory and research. His own publications include many articles on leadership, and he has received a number of awards for best research article, most-cited article, and best convention paper. He has also received two lifetime achievement awards for his research and publications: the 2007 Walter Ulmer Applied Research Award from the Center for Creative Leadership, and the 2011 Eminent Leadership Scholar Award from the Academy of Management Network of Leadership Scholars. He has consulted with several business and public-sector organizations to help improve the effectiveness of their managers, and the leadership development programs he designed for a consulting company were used by managers and administrators in many organizations. Some of the practical guidelines presented in this book are from management development programs found to improve the effectiveness of the participants. For his exceptional research and scholarship he was elected a Fellow of the American Psychological Association, the American Psychological Society, the Society for Industrial-Organizational Psychology, and the Academy of Management.

William L. Gardner, III

Drawing on his 40-plus years of teaching and researching leadership, Dr. William (Bill) Gardner is well positioned to share his insights on leaders and effective leadership. His highest academic degree is a Doctor of Business Administration (DBA) from Florida State University. He holds the Jerry S. Rawls Chair in Leadership and serves as the Director of the Institute for Leadership Research in the Rawls College of Business at Texas Tech University. He previously held faculty positions at Southern Illinois University, the University of Mississippi, and the University of Nebraska–Lincoln. During his career, he has taught leadership and management courses at the undergraduate, masters, professional MBA, and doctoral levels. Currently, he serves as the Editor-in-Chief for *Group & Organization Management* and as an Associate Editor for *The Leadership Quarterly.* He has published numerous high-impact articles focused on leadership in top-tier journals and received several best-paper and most-cited-article awards. In 2011, he received the Distinguished Doctoral Alumni Award from the College of Business at Florida State University. In 2015, Texas Tech recognized him as an "Integrated Scholar," an honor bestowed to "a faculty member who not only demonstrates outstanding teaching, research, and service, but is able to generate synergy among the three functions." In recognition of his extensive contributors to the Southern Management Association (SMA), including his service as President and an SMA Fellow, he received the "James G. (Jerry) Hunt Sustained Outstanding Service Award" in 2017.

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PREFACE

This book is about leadership in organizations. Its primary focus is on managerial leadership as opposed to parliamentary leadership, leadership in social movements, or emergent leadership in informal groups. The book presents a broad survey of theory and research on leadership in formal organizations. Topics of special interest are the determinants of leadership effectiveness and how leadership can be improved. William Gardner was added as a second author for this edition to incorporate his knowledge and perspective on effective leadership.

The book is appropriate for use as the primary text in an undergraduate or graduate course in leadership. Such courses are found in many different schools or departments, including business, psychology, sociology, educational administration, public administration, and health-care administration. The book is on the list of required or recommended readings for students in many doctoral programs in leadership, management, and industrial-organizational psychology. With its focus on effective leadership in organizations, the book is especially relevant for students who expect to become a manager or administrator in the near future, for people who will be responsible for training or coaching leaders, and for people who will be teaching courses or workshops that include leadership as one of the key topics. The book is also useful for practicing managers and consultants who are looking for something more than vague theories and superficial answers to difficult questions about leadership. The book is widely used in many different countries, and some editions were translated into other languages, including Chinese, Korean, Indonesian, Spanish, Greek, Croatian, and Swedish.

The content of the book still reflects a dual concern for theory and practice. We have attempted to satisfy two different audiences with somewhat different perspectives. Most academics prefer a book that explains and evaluates major theories and relevant empirical research. They are most interested in how well the research was done, what was found, how well the research supports the theoretical basis for it, and what additional research is needed. Academics tend to be skeptical about the value of prescriptions and guidelines for practitioners and may consider them premature in the absence of further research. In contrast, most practitioners want some immediate answers about what to do and how to do it in order to be more effective as leaders. They need to deal with the current challenges of their job and cannot wait for decades until the academics resolve their theoretical disputes and obtain definitive answers. Practitioners are more interested in finding helpful remedies and prescriptions than in finding out how this knowledge was discovered. Readers who desire to improve their leadership effectiveness will find this edition of the book is even more useful than previous editions.

The different preferences are one of the reasons for the much-lamented gulf between scientists and practitioners in management and industrial-organizational psychology. We believe it is important for managers and administrators to understand the complexity of effective leadership, the source of our knowledge about leadership in organizations, and the limitations of this knowledge. Likewise, we believe it is important for academics to think more about how their theories and research can be used to improve the practice of management. Too much of our leadership research is designed to examine narrow, esoteric questions that only interest a few other scholars who publish in the same journals.

Academics will be pleased to find that major theories are explained and evaluated, findings in empirical research on leadership are summarized, and many references are provided to help readers find sources of additional information about topics of special interest. The field of leadership is still in a state of ferment, with many continuing controversies about conceptual

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and methodological issues. The book addresses these issues, but the literature review was not intended to be comprehensive. Rather than detailing an endless series of weak theories and inconclusive studies like most handbooks of leadership, this book describes major findings about effective leadership and how they can be applied by readers.

For practitioners and students who desire to become effective managers, we attempted to convey a better appreciation of the complexity of managerial leadership, the importance of having theoretical knowledge about leadership, and the need to be flexible and pragmatic in applying this knowledge. The current edition provides many guidelines and recommendations for improving managerial effectiveness, but it is not a "practitioner's manual" of simple techniques and secret recipes that guarantee instant success. The purpose of the guidelines is to help the reader understand the practical implications of the leadership theory and research, not to prescribe exactly how things must be done by a leader. Most of the guidelines are based on a limited amount of research and they are not infallible or relevant for all situations. Being a flexible, adaptive leader includes determining which guidelines are relevant for each unique situation.

Most chapters end with two short cases designed to help the reader gain a better understanding of the theories, concepts, and guidelines presented in the chapter. Most of the cases describe events that occurred in real organizations, but some cases were modified to make them more useful for learning basic concepts and effective practices. For many of the cases, the names of organizations and individuals were changed to keep the analysis focused on the events that occurred in a defined time period, rather than on recent events that may involve different leaders and a different situation. The cases ask a reader to analyze behavioral processes, identify examples of effective and ineffective behavior, and suggest effective ways to handle the situation that is depicted.

In this ninth edition, the basic structure of most chapters remains the same, but the order of some chapters was changed, a few topics were moved to a different chapter, some new topics were added, and the discussion of some other topics was expanded. Since the book is not intended to be a history of leadership, it seemed appropriate to reduce the amount of detail about early research programs and old theories that are no longer popular, and focus more closely on what we now know about effective leadership.

New to This Edition

Following is a list of changes we made to make the book easier to understand and more useful to most readers:

- The number of chapters was reduced from 16 to 15 to improve the organization of content.
- The order of chapters was modified to improve the explanation of related topics.
- Every chapter has been updated and revised for clarity and understanding.
- New examples of effective and ineffective leadership were added to most chapters.
- Personal Reflection exercises were added to most chapters to help students think critically and apply the leadership concepts.
- Several new cases were added, and there are now two cases for all but the introduction and overview chapters.
- Over 500 citations to recent research were added throughout.
- The design of the book was updated, and two colors are used for this edition.

Chapter by Chapter Changes

- In Chapter 1 (*The Nature of Leadership)* we added a discussion of the research methods used to study leadership, including new methods such as social networks, biosensor

methods, and behavioral genetics. The description of different theoretical approaches for studying leadership was expanded.

- In Chapter 2 (*Leadership Behavior*) the description of distinct types of leadership behavior was revised to include new knowledge and theories about these subjects. A new case on leadership behavior was added to the chapter.
- In Chapter 3 (*The Leadership Situation and Adaptive Leadership*) the ways in which leaders are influenced by the leadership situation was expanded to include the discussion of leadership in extreme situations such as hospital emergency rooms, SWAT teams, and police work. This chapter also includes some theories of situational determinants and adaptive leadership that were included in a separate chapter on managerial work in the previous edition.
- In Chapter 4 (*Decision Making and Empowerment by Leaders*) we added a discussion of the threshold effect of participative leadership, which explains how there is a minimum level of participative leadership that must be reached before the positive effects on employee performance are realized. In addition, we expanded the discussion of psychological empowerment and empowering leadership.
- In Chapter 5 *(Leading Change and Innovation)* we added a discussion of the differences among developmental, transitional, and transformational change, and organizational cynicism about change was added as another reason for rejecting change. A discussion of the strategic fitness process is included, and it involves a nine-step process of organizational change that combats the "silent killers" of organizational effectiveness. This chapter also includes a new case about leading change.
- In Chapter 6 (*Power and Influence Tactics*) the description of how leaders can effectively use their power and several different influence tactics was expanded. A new case about power and influence was added to the chapter.
- In Chapter 7 *(Leader Traits and Skills)* we added a discussion of core self-evaluations about a leader's worthiness, effectiveness, and capacity as a person. In addition, the concept of political skill is discussed in more detail, along with the associated research and practical implications of this skill.
- In Chapter 8 *(Charismatic and Transformational Leadership*) we added a discussion of specific charismatic leadership tactics that leaders use to manage impressions. We also describe how leaders can learn to effectively use these tactics. The discussion of contextual factors that contribute to the emergence and impact of charismatic leadership was expanded to include attributional ambiguity.
- In Chapter 9 (*Value-Based and Ethical Leadership)* we added an explanation of the factors that increase the moral intensity of an ethical issue and the effects of moral intensity on ethical leadership. The constructs of ethical culture and ethical climate, and the differences between them, are discussed, along with their effects on leader and follower behaviors in organizations. We also refined the discussion of authentic leadership by describing the four components: self-awareness, balanced processing, relational transparency, and an internalized moral perspective.
- In Chapter 10 *(Dyadic Relations and Followership)* we added a discussion of how a leader's affective expressions serve as cues about the leader's enthusiasm for the relationship, which in turn evoke emotional reactions from followers. We also describe how leaders and followers sometimes attribute performance problems to their relationship rather than to internal or external causes, and how leaders and followers may engage in relational work for the purpose of improving the relationship and future performance.

- In Chapter 11 (*Leadership in Teams and Decision Groups*) we added a discussion of how a team's composition affects the emergence of identity-based, resource-based, and knowledge-based subgroups, and the implications of these subgroups are explained. A new case was also added to this chapter.
- In Chapter 12 (*Strategic Leadership in Organizations*) we added a detailed discussion of strategic human resource management, which calls for an alignment and coordination of the firm's human resource practices across organizational levels to ensure that human capital is deployed strategically to foster enhanced competitiveness.
- In Chapter 13 (*Cross-Cultural Leadership and Diversity*) we introduced the concept of global leadership and added a set of guidelines for effective global leadership and the practical challenges that confront leaders of multinational organizations. We also added a discussion of the "glass cliff" phenomenon, which refers to the tendency of women to be more likely to be appointed to leadership positions that are risky and precarious. We included a discussion of findings from research that investigates the relationships between gender composition on corporate boards and key organizational outcomes. A new case was also added to this chapter.
- In Chapter 14 (*Developing Leadership Skills*) we added a discussion of how return on development investment (RODI) can be used as a metric for assessing the impact of leadership development programs and activities. In addition, we expanded the description of factors that facilitate leader development to include the concept of developmental readiness, which is a function of the leader's ability and motivation to develop. We also added a new case to this chapter.
- In Chapter 15 (*Overview and Integration*) we updated the summary of major findings about effective leadership to include new findings since the eighth edition was written. Ways to improve leadership research in the future are suggested, and we briefly summarize some general guidelines for effective leadership.

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August, 2018

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