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Leadership Characteristics Essential to Executive Success

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**LEADERSHIP CHARACTERISTICS ESSENTIAL TO
EXECUTIVE SUCCESS**

BY

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Thesis Advisor

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**Submitted in partial fulfillment of the requirements
for the degree of Master of Arts in Corporate and Public Communication
Seton Hall University**

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Author's Note

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"Hazard Zet Forward!"

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Chapter I

INTRODUCTION

At some point in our life, everyone is exposed to an individual considered to be a "leader." Whether this person is a leader of a company, a leader of a university, a leader of a nation, or even a leader of a household, the question can arise: What makes this person a good leader? Experts argue whether a person is born to be a leader (nature) or whether a person becomes a leader (nurture). A world-class athlete, for instance, is born with certain physical characteristics to achieve athletic prowess and greatness. The same world-class athlete, however, needs to work diligently to develop and perfect the skills necessary to achieve greatness. Usually, leaders are born with certain inherent characteristics, but they must develop and perfect leadership skills to become an effective leader. Danzig (1998) agrees, noting that "leaders may be born with leadership powers, but without the proper development, their potential may be blunted" (p. xix). Bennis and Nanus (1989) warn that "becoming a leader isn't easy, just as becoming a doctor or a poet isn't easy, and anyone who claims otherwise is fooling himself" (p.3). Individuals must cultivate the skills given to them by nature.

Effective corporate leadership also depends on both inborn leadership characteristics and developed leadership skills. Some people are naturally given to inspiring the company's troops and leading corporate charges, but business leaders must also create a clear purpose and direction for organizations (Farkas & Wetlaufer, 1996).

Corporate leadership is the ability to inspire confidence and support among the people who are needed to achieve organizational goals. Though many definitions and theories exist on leadership, the focus of this study is to explore fundamental leadership characteristics found in successful leaders in a specific industry: the pharmaceutical industry. As a result of both personal observations and extensive research on the subject of leadership, it is the author's belief that "natural born leaders" do possess certain traits necessary to effectively lead. However, all leaders need to perfect and nurture these traits in order to have a positive effect on the individuals they intend to lead. Effective leadership skills must be developed and refined. The review of the literature in this study presents the perspectives and opinions of many thought-leaders on the topic of leadership and its inherent characteristics.

Research Question

What are the inherent leadership characteristics essential to executive success in a Fortune 100 pharmaceutical company? This study will highlight various aspects of leadership and its noted characteristics.

Subsidiary Questions

In an attempt to understand if certain leadership characteristics are more common than others are, this study will also work to address the following questions:

1. How is leadership defined?
2. What does history reveal about leaders and leadership?

3. Is leadership a product of nature or nurture?
4. Do life experiences, whether positive or negative, create a leader?
5. Can exposure to effective leaders enable a person to adopt leadership abilities and traits?
6. What are the most necessary characteristics for leadership?
7. Are certain leadership characteristics common among successful leaders?
8. What inherent characteristics do leaders at GlaxoSmithKline Pharmaceuticals believe to be essential to effectively lead the company?

Purpose of the Study

The author's interest and exploration of leadership characteristics, specifically whether leaders are born or made, has peaked as a result of exposure to both ineffective and competent management styles. The distinct differences between the styles of managers and leaders have motivated the author to take a more in-depth look at these styles. According to Zaleznik (1977), "managers relate to people according to the role they play in a sequence of events or in a decision-making process, while leaders, who are concerned with ideas, relate in more intuitive and empathetic ways" (p.73). Kotter (1990) takes the differentiation between management and leadership a step further, noting that:

leadership and management are two distinctive and complementary systems of action. Each has its own function and characteristic activities. Both are necessary for success in an increasingly complex and volatile business environment. Most U.S. corporations today are overmanaged and underled.

Thus, with a lack of effective leadership in corporations throughout the United States, it becomes apparent that there is a need to find and develop more leaders. Successful corporations don't wait for leaders to come along. They actively seek out people with leadership potential and expose them to career experiences designed to develop that potential. (pp. 124-125)

The author intends to evaluate theories of leadership and inherent characteristics, and to present profiles in leadership within a Fortune 100 company to gain a better understanding of what it might take to be considered an effective leader.

Objective

In designing a study that examines inherent leadership characteristics essential to executive success, the author identified two main objectives. The first of these objectives is to explore whether individuals are born with leadership characteristics or whether individuals learn and develop leadership abilities. Second, the author intends to speak with leaders at a Fortune 100 company, GlaxoSmithKline Pharmaceuticals, through one-on-one, focused interviews with those he views as competent leaders.

Definition of Terms

1. Character: Distinctive qualities of a person or thing; certificate of qualifications (Webster, 1990).
2. Characteristics: Distinctive qualities of a person or thing (Webster, 1990).
3. Communicate: To cause to be common to others; to bestow; to reveal

(Webster, 1990).

4. Confidence: Firm belief or trust; self-reliance; boldness; assurance
(Webster, 1990).
5. Contingency: "An explanation of leadership specifying the conditions under which a particular style of leadership will be effective" (DuBrin, 1998, p.430).
6. Decision-making: The ability to choose between what is right or wrong for a desired outcome.
7. Energy: Inherent power to operate or act; power exerted; force; vigor
(Webster, 1990).
8. GlaxoSmithKline Pharmaceuticals: A Fortune 100 corporation that researches, develops, markets, and sells medications to the healthcare industry.
9. Inherent: Naturally pertaining; innate (Webster, 1990).
10. Integrity: State of being entire; an unimpaired state; honesty; probity
(Webster, 1990).
11. Leader: Someone who empowers, motivates, and organizes people to achieve a common objective (Barron, 1990).
12. Leadership: "The ability to inspire confidence and support among the people who are needed to achieve organizational goals" (DuBrin, 1998, p. 2).
13. Nature: The inherent or essential qualities of anything (Webster, 1990).
14. Nurture: To nourish; to educate; to bring or train up (Webster, 1990).
15. Passion: A strong feeling or emotion; ardor; vehement desire; love
(Webster, 1990).

16. Pharmaceutical: Pertaining to the knowledge or art of pharmacy.
(Webster, 1990). A pharmaceutical company researches, develops, markets, and sells medications to the healthcare industry.
17. Situational: "How the activity of leadership differs depending on the situation" (Heifetz, 1994, p.19).
18. Thought-leader: A person considered to be an expert on a particular subject or body of work.
19. Traits: "The observation that leadership effectiveness depends on certain personal attributes such as self-confidence" (DuBrin, 1998, p.432).
20. Vision: The ability to manage different and better conditions and the ways to achieve them (DuBrin, 1998).

Limitations of the Study

A limitation to this study is that it includes only information pertaining to general leadership theories and characteristics. Contending that leadership is a word that has come to mean all things to all people, Rost (1991) emphatically offers interesting perspectives about leadership. Continuing on, Rost (1991) reports that "even worse, leadership has increasingly become a very 'hot' word since about 1960, with an ability to produce a passionate reaction that draws people to it through an emotional attraction" (p. 7). Keeping this in mind, Rost (1991) also points out that "scholars have not provided a definition of leadership that is (1) clear, (2) concise, (3) understandable by scholars and practitioners, (4) researchable, (5) practically relevant, and (6) persuasive" (p. 99). Due to the overwhelming amount and

difference in theories and ideas about leadership, the author has limited the research to seminal works on leadership and subsidiary studies related to these seminal works.

A second limitation to the research was an apparent inconsistency in the views of leadership thought-leaders, such as Bennis and Nanus (1989), Burns (1978), Bass (1990), and Maxwell (1993), pertaining to whether leaders are born or made. It is evident to the author that there has been no full-scale, in-depth research conducted to debate the nature versus nurture idea. In joining this debate, a crucial lack of rigorous, longitudinal studies of leaders is encountered, and studies might prove one or the other point of view. Without such studies, we have no accurate measure of the forces that have shaped individuals (Conger, 1992). Conger (1992) points out that:

unfortunately, what Warren Bennis wrote in 1959 about our understanding of leadership remains true today: 'Of all the hazy and confounding areas in social psychology, leadership theory undoubtedly contends for top nomination. And, ironically, probably more has been written and less known about leadership than any other topic in the behavioral sciences.

Always, it seems the concept of leadership eludes us or turns up in another form to taunt us again with its slipperiness and complexity.' (p. 15)

Another limitation to this study pertains to the historical background and perspectives on leadership. Minimal works have been published regarding the origins of leadership in a historical context, greatly limiting the authors' breadth and depth of research. However, the author has been able to provide a historical content related to leadership through his readings.

A fourth limitation to this study is gender bias and under-representation of

women related to leadership. Historically, those considered to be effective leaders pertained to president's, war heroes, and corporate executives, which have been overwhelmingly male-specific positions. Unfortunately, the author found it very difficult to profile an equal amount of female leaders, however, the author has made an attempt to profile effective female leaders at GlaxoSmithKline through one-on-one interviews.

A fifth limitation to this study is a genuine lack of information on leadership specific to the pharmaceutical industry. However, a solid leadership structure exists within the author's current employer, GlaxoSmithKline Pharmaceuticals. More about the leadership program at GlaxoSmithKline Pharmaceuticals will be discussed in Chapter IV. As a result of career choice, the author was able to combine the leadership principles within GlaxoSmithKline and compare these principles to other successful U.S. corporations to help complete the research on leadership. The author acknowledges the appearance of a natural bias, given that he works for the company on which this study is being focused, and reports to one of the individuals profiled.

Chapter II

A LITERATURE PERSPECTIVE ON LEADERSHIP

The Definition of Leadership

No one spends much time debating whether managers, administrators, and bureaucrats are born or made. Shift the focus to leaders, however, and the issue of natural talent or special gifts (such as charisma) becomes central. Discussing the hotly debated topic of leadership, McCall (1998) questions whether leaders are born or made or, in slightly altered form, "Can leadership be taught?" (p. 109). Is leadership a product of nature or nurture? Is effective leadership an innate skill or is it learned through life experiences? Can a person develop effective leadership skills to impact an organization, or must that person possess leadership characteristics from childhood to motivate others to achieve organizational goals?

Farkas and Wetlaufer (1998) contend there is no shortage of schools for business people of every specialty: accountants, engineers, financiers, technologists, information specialists, marketers, and, of course, general managers, who have their choice of hundreds, if not thousands, of MBA programs. But where is the school for the person in charge of getting the best results from all these members of the organization? It has been questioned and argued that there is no one, acceptable school on how to lead effectively. The author was not surprised to learn that key thought-leaders present very different theories and ideas about leadership. Nevertheless, the first step in understanding this concept is to establish a definition of the term leadership, to better understand whether leaders are born or made.

In terms of defining leadership, Conger (1992) argues that leadership is largely an intuitive concept for which there can never be a single, agreed-upon definition. "It was Nanus and Bennis in their book Leaders who reported some 350 definitions of leadership that leadership researchers have generated over the last 30 years" (p. 18). While on the topic of leadership, Maxwell (1993) makes the statement, "everyone talks about it; few understand it. Most people want it; few achieve it. There are over 50 definitions and descriptions of it in my personal files. What is this intriguing subject we call 'leadership'?" (p. 1). In Handbook of Leadership, we find that Bass (1990) intends to put the leadership argument in a different perspective. "There are almost as many different definitions of leadership", purports Bass (1990), "as there are persons who have attempted to define the concept" (p.11).

Supporting the thoughts of Bass (1990) regarding definitions of leadership, Maxwell (1993) urges people to "ask ten people to define leadership and you'll probably receive ten different answers" (p.1). The challenge for leadership scholars (and for this author) is to understand what leadership really is amidst an overwhelming amount of information about this subject. Leadership did not come into popular usage until the turn of the century, and even then lacked the connotations people attach to the word today. Dictionary definitions of leadership have been, and continue to be, very simple and, as a result, are not very helpful in understanding the concept. The dictionaries have contributed to the notion that leadership is a bundle of traits by defining leadership as the ability to lead (Rost, 1991).

Though many definitions of leadership have been established, we find that

Rost (1991) believes "definitions are boring to many people" (p. 37). Rost (1991) expands on his thoughts by stating that "as much as people are uninterested in a discussion of definitions, the issue of defining leadership is central to the problems both scholars and practitioners have had with conceptualizing and practicing leadership" (p.37). Perhaps Rost (1991) expresses the feeling of this author best by concluding that "actually, the issue of leadership definitions is rather exciting, assuming that the notion of controversy is in one's understanding of exciting" (p.37). To that end, it can be deduced that historical and modern definitions of leadership create controversy when attempting to determine whether a person is born a leader or transformed into one. This controversy further challenged the author to conduct extensive research into a distinct definition of the term leadership.

Many leadership scholars and critics consider Bennis and Nanus (1989) and Burns (1978) to be classic theorists of leadership (Bass, 1990; Burns, 1978; Conger, 1992; Kouzes & Posner, 1995; Maxwell, 1993; McCall, 1998; Phillips, 1992; Rost, 1991). In support of the above statement, Bass (1990) notes that according to Bennis, "leadership can be defined as the process by which an agent induces a subordinate to behave in a desired manner" (p.13). Looking ahead, Bennis offers an analogy to paint a clear picture of leadership. Bennis and Nanus (1989) claims that "to an extent, leadership is like beauty: it's hard to define, but you know it when you see it" (p.1). Not surprisingly, many of Bennis and Nanus's (1989) colleagues agree with his feelings about leadership.

"My favorite leadership proverb is: He who thinketh he leadeth and hath no one following him is only taking a walk" (Maxwell, 1993, p. 1). Maxwell (1993)

confirms in the book Leaders, that Bennis and Nanus (1989) agree that "the truth is that leadership opportunities are plentiful and within reach of most people" (p.4). Further research of Bennis and Nanus's (1989) work reveals a more detailed definition of leadership. Arguing that, "as I see it, leadership revolves around vision, ideas, direction", Bennis and Nanus (1989) insist that leadership "has more to do with inspiring people as to direction and goals than with day-to-day implementation" (p.139).

Like his colleagues Bennis and Nanus (1989), the leadership expert Burns (1978) defines leadership as leaders inducing followers to act for certain goals that represent the values and the motivations – the wants and needs, the aspirations and expectations – of both leaders and followers. "The genius of leadership lies in the manner in which leaders see and act on their own and their followers' values and motivations" (Burns, 1978, p.19). Burns (1978) offers an alternative to his own and his colleagues' view about the definition of leadership. Burns (1978) states that "leadership - especially transforming leadership - is far more pervasive, widespread - indeed, common - than we generally recognize; it is also much more bounded, limited, and uncommon" (p. 426). "Some define leadership", details Burns (1978), "as leaders making followers do what followers would not otherwise do, or as leaders making followers do what the leaders want them to do" (p. 19).

Delivering a powerful message, Rost (1991) announces, "I found several significant inconsistencies between the reality that he researched and knew from daily experience and Burns' definition of leadership" (p. 101). That inconsistency posed the question: What is Burns' real definition of leadership? Many scholars and

practitioners who have read Burns' book think that his most accurate definition of leadership is his definition of transformational leadership, in which leadership is learned through distinct experiences. Burns (1978) introduced the concept of transformational leadership, describing it as not a set of specific behaviors but rather a process by which "leaders and followers raise one another to higher levels of morality and motivation" (p.20). He affirmed that transformational leaders are individuals who appeal to higher ideals and moral values such as justice and equality and who can be found at various levels of an organization.

Taking a piece of Burns' (1978) revelation of transformation leadership, Rost (1991) attempted to construct his own definition of leadership and "yet remained somewhat faithful to Burns' thought" (p. 101). Rost (1991) regards his definition as a development of Burns' (1978) definition. The new definition presented by Rost (1991) could not have been constructed without thoroughly studying the concept of leadership as developed in Burns' (1978) book. Thus, Rost (1991) imparts his definition of leadership as "an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes" (p. 102).

There are similarities in the definitions of Rost (1991) and Burns (1978) and a clear analogy. In this case, Burns can be considered the leader, whereas Rost is the follower. From Burns' (1978) definition, we can conclude that Burns (1978) believes nurturing leads to effective leadership. However, research still confirms that nature also plays an important role in the life of an effective leader.

Leadership has been defined in terms of individual traits, behaviors, influence over others, interaction patterns, role relationships, hierarchical position, and the

perception of others regarding the legitimacy of influence (Conger, 1992). From Conger's (1992) thoughts, individual traits and behaviors may be a product of the nature of a person (born leaders), whereas interaction patterns and hierarchical position can be nurtured in an individual (transformational leaders). According to Conger's (1992) definition, the author can infer that both nature and nurture can influence a person's ability to effectively lead others.

Roberts (1985) defines leadership as "the privilege to have the responsibility to direct the actions of others in carrying out the purposes of the organization, at varying levels of authority and with accountability for both successful and failed endeavors" (p. xiv). Roberts' (1985) definition does not reference individual traits or mentored abilities; it simply states that leaders are responsible for their subordinates and must accept consequences for the results of the team.

On the leadership website, dynamicleadership.com, Barron (1990) notes that "leadership also empowers, motivates, and organizes people to achieve a common objective, and provides moral guidance" (p. 1). Essential to the definition of leadership is an understanding of the relationship between leaders and constituents (Kouzes & Posner, 1995). Without leaders, constituents have no energizer to ignite their passions, no exemplar to follow, no compass by which to be guided. Thus, Kouzes and Posner (1995) define leadership as the art of mobilizing others to struggle for shared aspirations.

Additionally, Phillips (1992) proposes that Burns (1978), in his landmark book Leadership, is on track when he states:

Leadership is leaders inducing followers to act for certain goals that represent the values and the motivations— the wants and needs, the aspirations and expectations — of both leaders and followers. And the genius of leadership lies in the manner in which leaders see and act on their own and their followers' values and motivations. (p. 3)

Further explaining this point, Phillips (1992) feels “as close as Burns comes to a pure definition of leadership, it still seems a shade unfinished or incomplete” (p. 3). Such is the case, however, with virtually every attempt at interpreting, clarifying, or defining the true meaning of leadership. It is Phillips' (1992) belief that “leadership is an elusive concept that, at times, can be vague and ambiguous” (p. 3). As a result, leaders follow no rules or formulas. There are only “guidelines and concepts, perceptions and ideas, abstractions and generalities” (p. 3). Leadership gives people a sense of power, hope, and makes things happen. Like Phillips (1992), we find Barron (1990) makes the case that “leadership creates the future, provides guidance, direction, inspiration, and empowers people to realize their leadership potential” (p. 3).

Barron (1990), Bass (1990), Bennis and Nanus (1989), Burns (1978), Conger (1992), Kouzes and Posner (1995), Maxwell (1993), McCall (1998), Phillips (1992), and Rost (1991) define leadership both in terms of human traits and transformational theories. These authors continuously reference one another and willingly uphold each other's beliefs and definitions of leadership. However, there is currently no single, pervasive school of thought on leadership for scholars to model on how to lead, which would help settle the argument of whether leaders are born or made.

Historical models of effective leadership do exist, and began at some point in history, but scholars continue to argue exactly where and when these models emerged. It is apparent that diverse theories of leadership exist among those considered to be thought-leaders. In order to interpret these models of leadership, the author (and leadership scholars) found it necessary to gain a brief understanding of the history of leadership – the beginnings – before attempting to determine whether leaders are born or made.

A Historical Perspective of Leadership

Bass (1990) dubs leadership one of the world's oldest preoccupations. In fact, leadership has figured strongly in the quest for knowledge. "Purposeful stories have been told through the generations about leaders' competencies, ambitions, and shortcomings; leaders' rights and privileges; and the leaders' duties and obligations" (p. 3). Bass (1990) deems leaders as prophets, priests, chiefs, and kings served as symbols, representatives, and models for their people in the Old and New Testaments.

"Abraham, Moses, David, Solomon, and the Macabees, were singled out in the Old Testament for a detailed exposition of their behavior and relations with God and their people" (Bass, 1990, p.5). Greek concepts of leadership include Homer's Iliad, and that "later, Greek philosophers, such as Plato in the Republic, looked at the requirements for the ideal leader of the ideal state" (Bass, 1990, p. 4). The leader was to be the most important element of good government, educated to rule with order and reason.

Though leadership has roots dating back to Greek and Roman times, there has been little agreement about the practice of leadership even to this day. The challenge

of effective leaders, and those who aspire to be effective leaders, is to understand where these leadership theories and definitions come from. Burns' (1978) study of leadership hypothesizes that:

For two millennia at least, leaders of thought did grapple with the vexing problems of rulers vs. the ruled. Long before modern sociology Plato analyzed not only philosopher-kings but the influences on rulers of upbringing, social and economic institutions, and responses of followers. Confucian thinkers were examining the concept of leadership in moral teaching and by example. (p.2)

In support of Burns' (1978) expert findings, Conger (1992) believes that leadership dates further back in history, noting that the ancient Greeks were not the first people to have thoughts about the need to train leaders. Conger (1992) does, however, give credit for the first recorded leadership training program to Plato, the Greek philosopher. Plato set his vision of training leadership in The Republic. Plato clearly leaned toward the belief that genes and childhood are important determinants of leadership ability. But he also believed that "training and work experiences were critical" (p.37). A rich literature on rulership and leadership began to develop and then flourished in the classical and middle ages.

Conger (1992) ascertains that ancient and medieval armies, for instance, had various programs to teach their younger officers the arts of war, with the focus primarily on physical skills, such as swordsmanship. "The real art of leadership, especially strategic leadership, was learned largely under the tutelage of senior officers during battle (p. 39). Bass (1990) contends that military writings about

leadership stretch from the Chinese classics to the present. Napoleon listed 115 qualities that are essentials for a military leader. Clearly, leadership principles and practice have had an enormous influence on American history and on the world.

In order to comprehend modern leadership theory and be successful in the future, Phillips (1992) believes that leaders must look to the past. President Abraham Lincoln, for example, routinely practiced nearly all of the revolutionary thinking techniques that have been preached to American industry in the last 10 to 15 years. Lincoln can be looked to as the ideal model for desirable, effective leadership.

The leadership literature of the 1970s and 1980s, with its focus on effective leaders, revisited personal traits as determinants of leadership abilities. This literature primarily contributed to "understanding the impact of personal characteristics and individual behaviors of effective leaders and their role in making organizations successful" (Southwestern Educational Development Laboratory, 1999, p. 3). Moreover, the training of leaders for business enterprises has a relatively recent history. Conger (1992) suggests that leadership training outside of universities most often has occurred on the job. Most U.S. companies attempt to implement some sort of leadership principal into the company's corporate structure. A better leadership structure, and implementation of that structure, most often leads to a more successful company.

A historical background of leadership, along with a clear definition, enables researchers and practitioners to develop various theories of leadership. Theories of leadership have been developed by leadership experts (those considered to be thought-leaders on the subject) to determine how and where a person becomes an

effective leader. From this, leadership scholars can begin to form a basis of whether a leader is born or made.

Leadership Theories

Bass (1990) proposes that theories of leadership attempt to explain the factors involved either in the emergence of leadership or in the nature of leadership and its consequences. Researchers have examined leadership skills from a variety of perspectives. Early analyses of leadership, from the 1900s to the 1950s, differentiated between leader and follower characteristics (Southwestern Educational Development Laboratory, 1999).

Attempts to isolate specific individual traits led to the conclusion that no single characteristic can distinguish leaders from non-leaders. Bass (1990), Burns (1978), Conger (1992), DuBrin (1998), Heifetz (1994), Kouzes and Posner (1995), McCall (1998), and Rost (1991) present and dispute several approaches to determining whether nature or nurture (or both) play a vital role in leadership development. These authors offer their opinions on certain factors that may influence successful leadership. Some significant differences exist among the approaches and the means of implementation. However, the author found recurring leadership themes and theories presented by several esteemed leadership practitioners. The theories that are being challenged are: (a) traits theory; (b) situational theory; (c) contingency theory; (d) transactional versus transformational theory.

Though some other leadership theories exist and have enabled researchers and practitioners (as well as the author) to better understand leadership, the theories listed

above helped the author investigate and communicate the “nature versus nurture” debate. By uncovering information pertaining to the traits theory of leadership, McCall (1998) brings another concept of leadership to light: the behaviorist theory.

McCall (1998) insists that the behaviorist theory of leadership is “concerned more with overt behavior than with the predispositions that might underlie it” (p. 119). It matters less to the behaviorist what traits lead to behavior than what behaviors the person actually exhibits, and the underlying theory again rests on the notion that the identified behaviors cause effective job performance. The contradiction between specific traits and behavior leads the author to further investigate the behaviorist approach.

Rost (1991) maintains that when the researchers of the early 1900s could not agree on the essential traits of leadership, behaviorists scholars in various disciplines decided, later in the 1960s, to concentrate on leadership as a behavior act. These researchers studied what specific behaviors in what combinations produced effective leadership. Though McCall (1998) and Rost (1991) contend that behaviors may contribute to the effectiveness of a leader, the author found enough credible information supporting that a person’s traits were more of a factor than their behavior.

Traits Theory

Whether the leadership focus is on traits or behaviors (or “motives,” as some prefer) makes a difference. McCall (1998) points out that trait advocates believe “certain traits result in desired behaviors which, in turn, lead to success” (p. 119). The trait approach to leadership was among the first theories to receive scientific

scrutiny. "This approach", as reported by McCall (1998), "was discredited for a time in the 1960s and 1970s, when research failed to find strong and consistent relationships between any of a vast array of personality traits and various measures of effectiveness" (p. 119). In consideration of the thoughts of McCall (1998), it is noted that leadership literature of the 1970s and 1980s, with its focus on effective leaders, revisited personal traits as determinants of leadership abilities (Southwestern Educational Development Laboratory, 1999).

It is the belief of Rost (1991) that Bennis and Nanus (1985a), Kotter (1988), Kouzes and Posner (1987), and Maccoby (1981, 1988) were very concerned with leader traits and behavior during their studies. To the contrary, Rost (1991) notes that "not one of the 312 definitions from the 1980s that he collected articulated a traits concept of leadership, yet the leadership literature of the 1980s is littered with a traits orientation" (p.82). The hypothesis of Rost (1991) that traits are a determinant of leadership ability raises questions on whether traits actually play as important a role as previously thought.

Taking the traits theory of leadership one step further, Bass (1990) believes that if "the leader is endowed with superior qualities that differentiate him from his followers, it should be possible to identify these qualities" (p.38). This assumption gave rise to the trait theories of leadership, which explains leadership in terms of traits of personality and character. In Bass (1990) two questions were posed: What traits distinguish leaders from other people? What is the extent of those differences? Initial investigations of leadership considered leaders as individuals endowed with

certain personality traits that constituted their abilities to lead (Southwestern Educational Development Laboratory, 1999).

DuBrin (1998) recommends that understanding the traits of effective leaders serves as an important guide to leadership selection. If we are confident that honesty and integrity, and creativity and imagination are essential leadership traits, then we can concentrate on selecting leaders with those characteristics. "An important strength of the trait approach to leadership is that it can help people prepare for leadership responsibility and all of the issues that accompany it" (p. 47). Rost (1991) offers that leadership produces excellent organizations because leaders are great executives who have certain traits (high energy, trustworthiness, charismatic persona, visionary purpose, honest communication, and obsession with goals) that help them choose the correct behaviors.

Alternatively, extensive research conducted at the Southwest Educational Development Laboratory (SEDL) (1999) reveals "the attempts to isolate specific individual traits led to the conclusion that no single characteristic can distinguish leaders from non-leaders" (p.1). Instead of asserting that leaders share a common set of traits, Heifetz (1994) claims that situationalists suggest that "the times called forth an assortment of people with various talents and leadership styles (p. 17). Bass (1990) concluded that both person and situation had to be included to explain how leadership can emerge. In line with the thoughts of Bass (1990), trait investigations were followed by examinations of the 'situation' as the determinant of leadership abilities, leading to the concept of situational leadership (Southwestern Educational Development Laboratory, 1999).

The most popular leadership books of the 1980s were undoubtedly the source of many people's understanding of leadership. As a result, it does not take a very sophisticated analysis to assess why the traits approach of leadership is so firmly entrenched in leadership practitioners. The transition of thought from traits playing the primary role in effective leadership was beginning to give way to the notion that a particular situation a person was in may bring out individual leadership abilities.

Situational Theory

Heifetz (1994) asserts that "beginning in the 1950s, theorists began to synthesize what was known as the trait approach to leadership with the situationalist view" (p.17). Studies attempted to identify some distinct characteristics of the setting to which the leader's success could be attributed. According to Bass (1990), the controversy over which is more important, personality or situation, is an ancient one. The situationalists advanced the view that the emergence of a great leader is a result of time, place, and circumstance, maintaining that leadership is determined not so much by the characters of the individuals as by the requirements of the social situation (Southwestern Educational Development Laboratory, 1999). Theorists now realize how different situations demand different personalities and call for different behaviors.

The situation can influence which leadership behavior or style a leader emphasizes. For instance, the quality of the work force and the competitiveness of the environment might have a significant influence on the behavior of the leader. Therefore, DuBrin (1998) can contend that a manager who has the privilege of

supervising competent employees may be able to practice leadership effectively, whereas a manager who faces a competitive environment might find it easier to align people to pursue a new vision. Regardless of the outcome, the factor most influencing the leaders' behavior is the environment.

"There have been, and are, the 'situational leadership' programs, such as those developed by Paul Hersey and Kenneth Blanchard" (Conger, 1992, p. 41). By the 1960s and 1970s, programs like theirs had become the standard for leadership training in companies. According to the Hersey-Blanchard Situational Leadership Model, "the most effective behavioral style of leaders is one that varies with the situation" (Bass, 1981, p.488).

Conger (1992) upholds that proponents of this model believe that if leaders are to be successful, their styles need to be appropriate to the situation and the maturity of group members. Conger (1992) defines the situation as the leader, followers, superiors, associates, job and organizational demands and also defines the maturity of their group members as the ability and willingness of people to take responsibility for directing their own behavior. Therefore, in certain situations, they need to be more task-oriented; in other situations, more people-oriented.

In summary, the situation approach to leadership supported the contention that effective leaders are able to address both the tasks and human aspects of their organizations. Situational leadership began to reveal a complex nature of leadership but proved insufficient because theories could not predict which leadership skills would be more effective in certain situations (Southwestern Educational Development Laboratory, 1999). Therefore, contingency theories began to surface.

Contingency Theory

As a consequence of inconclusive research and data on the effects of situations on leadership, other research efforts to identify leadership characteristics focused on the fit between personality characteristics, leader's behaviors, and situational variables. On the web site for the Southwest Educational Development Laboratory (www.sedl.org), it is stated that the situational leadership approach contains an underlying assumption that different situations require different types of leadership. The contingency approach attempts to specify the conditions of situational variable that moderate the relationship between leader traits or behaviors and performance criteria (Southwestern Educational Development Laboratory, 1999).

According to Heifetz (1994), contingency posits that the appropriate style of leadership is contingent on the requirements of the particular situation. For example, some situations require controlling or autocratic behavior and others participative or democratic behavior.

Bass (1990), Conrad and Poole (1998), DuBrin (1998), and Heifetz (1994) reveal that Fred E. Fiedler developed a widely researched and quoted contingency model that holds that the best style of leadership is determined by the situation in which the leader is working. Bass (1990) contends that Fiedler's contingency model of leadership has been the most widely researched model on leadership. In conjunction with this, DuBrin (1998) notes that Fiedler's theory classifies a manager's leadership style as relationship-motivated or task-motivated.

The Fiedler Contingency Model, as presented by Conrad and Poole (1998), has two situational factors; "good" versus "bad" leader-group member relationships

and "strong" versus "weak" formal power of the leader, and a third factor that Fiedler called "task structure" (p.100). The model also contains what Fiedler termed the least-preferred coworker (LPC) scale, in which a description of one's least preferred coworker is made by marking a list of 16 different items. This, in turn, influences a person's job performance and leadership capabilities. Bass (1990) also points out that:

leaders are assessed as task-oriented or relations-oriented according to the way they judge their least-preferred co-worker. The task-oriented leader is most likely to be effective in situations that are most favorable or most unfavorable to him or her. The relations-oriented leader is most likely to be effective in situations between the two extremes. A situation is favorable to the leader if the leader is esteemed by the group to be led; if the task to be done is structured, clear, simple, and easy to solve; and if the leader has legitimacy and power owing to his or her position. (p.47)

Furthermore, DuBrin (1998) concludes that leader-member relations contribute as much to situation favorability as do task structure and position power combined. The leader therefore has the most control in a situation in which his or her relationships with members are the best. This enables the leader to more effectively lead constituents. Nevertheless, controversy continues about whether Fiedler's LPC questionnaire measures task orientation or something else. This controversy, in turn, affects the ability to understand its contribution to effectiveness in different situations. In addition to these insights on leadership, a new theory

emerged – transformational leadership – which adds to the argument of whether a leader is born or made.

Transactional versus Transformational Theory

Bass (1990) begins by stating that “by 1960, the dominant paradigm for the study of leadership had evolved from research on the traits and situations that affect leadership to something more dynamic. Leadership was now seen as contingent on a condition of traits and situations involving a transaction or exchange between the leader and the led” (p. 53).

The analysis of transactional leaders versus transformational leaders raises questions about which style provides effective leadership to constituents. DuBrin’s (1998) point of view is that transformational leadership is depicted as “the influence a leader acquires through being respected and admired by group members” (p. 168). In contrast, transactional leadership is largely based on “exchanges between the leader and group members, such as using rewards and punishments to control behavior” (p.168). A clear difference is noticed as a result of DuBrin’s analysis of the two theories, and Bass (1990) adds to this discussion.

Bass (1990) states that the “transformational-transactional differentiation has formed the basis of sundry other books” and that “in exchanging promises for votes, the transactional leader works within the framework of the self-interests of his or her constituency, whereas the transformational leader moves to change the framework” (p. 23)

Conrad and Poole (1998) point out that mutual exchanges take place and relationships develop between the parties, which is the primary assumption underlying the transactional views of leadership. Transactional leadership takes place when "leaders, according to this model, must legitimize their position – formal rank alone does not make one a leader– but legitimation is a 'two-way street'" (p. 99). Both parties demonstrate that they share the same values and loyalties to one another through communication. It is the pattern of mutual transactions that leads to the development of different kinds of relationships. Supervisor and subordinate communication is a two-way, interactive process and allows leadership and followership to prosper.

Bass (1990) notes that Burns (1978) first provided a comprehensive theory to explain the differences between transactional and transformational political leaders and Burns (1978) challenges that transactional leaders:

approach followers with an eye to exchanging one thing for another; jobs for votes, or subsidies for campaign contributions. Such transactions comprise the bulk of relationships among leaders and followers, especially in groups, legislatures, and parties. (p.23)

Expanding on his analysis of transactional leadership, Bass (1990) makes the point that "the transformational leader also recognizes the need for a potential follower, but he or she goes further, seeking to satisfy higher needs, in terms of Maslow's (1954) need hierarchy, to engage the full person of the follower" (p. 23). Though the theory of transactional leadership has been established, it is still unclear whether or not it lends itself to effective leadership.

Transactional views of leadership focus on the development of particular kinds of supervisor-subordinate relationships, as suggested by Conrad and Poole (1998). It recognizes that neither person is wholly in charge of the process, and that supervisors often will have different kinds of relationships with different subordinates.

Similar to the thoughts of Conrad and Poole (1998), Burns (1978) believes the object in these cases is not a joint effort for persons with common aims acting for the collective interests of followers but a bargain to aid the individual interests of persons or groups going their separate ways. This is transactional leadership. Until now, most of the research has focused on transactional leadership, whereas the real movers and shakers of the world are transformational leaders. Although both types of leaders sense the felt needs of their followers, it is the transformational leader who raises consciousness (about higher considerations) through articulation and role modeling. "Through transformational leaders, levels of aspirations are raised, and turned into political demand" (Bass, 1990, pp. 24-25).

Rost (1992) suggests that Burns (1978), in describing transformational leadership, consistently developed the notions that leaders "shape and alter and elevate the motives and values and goals of followers through the vital teaching role of leadership"; that "transformational leadership is more concerned with end-values such as liberty, justice, equality"; and that "transforming leaders 'raise' their followers up through levels of morality" (p. 121). Rost (1992) also points out that Burns states "leaders and followers are engaged in a common enterprise; they are dependent on each other, their fortunes rise and fall together" (p. 121).

However, Bass (1990) argues that many of the great transformational leaders, including Abraham Lincoln, Franklin Dellano Roosevelt, and John F. Kennedy, did not shy away from being transactional as well as transformational. In summarizing transformational leadership, Bass (1990) insists:

transformational leadership is closer to the prototype of leadership that people have in mind when they describe their ideal leader and is more likely to provide a role model with which subordinates want to identify (Bass & Avolio, 1988). In practice, this means that leaders develop in their subordinates an expectation of high performance rather than merely spend time praising or reprimanding them (Gilbert, 1985). For Bradford and Cohen (1984), the manager must be more than a hero of technical competence and organizing skills. He or she must become a developer of people and a builder of teams. (p. 54)

Concluding, Burns (1978) declares that the result of transforming leadership is a relationship of mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agent. If organizations, whether corporate or civil, implemented the transformational approach to leadership/management, more successful results may emerge. Interestingly, Bass (1990) notes that “transformation-like leadership resulted in more productivity at lower costs than did authoritarian or democratic styles imposed on simulated business firms” (p. 219). The transformational presidents of simulated business firms, according to Avolio, Waldman, and Einstein (1998), generated more profitability, a greater share of the market, and better debt-to-equity ratios than did transactional presidents.

As previously pointed out by the author, it is the opinion of Phillips' (1992) that Lincoln can be looked at as the ideal model for desirable, effective leadership when he suggests:

He is a perfect example of what James MacGregor Burns termed a "transformational leader" - a person who aims for the evolution of a new level of awareness and understanding among all members of an organization. Such a leader rejects the use of naked power and instead attempts to motivate and mobilize followers by persuading them to take ownership of their roles in a more grand mission that is shared by all members of the organization. (p. 172)

It is the belief of the author that any corporation or organization would welcome a person similar to Abraham Lincoln to run its business. A person who can transform a group of constituents to succeed in the way that Lincoln did is truly incredible. From research and analysis of these traditional theories of leadership, the author can argue that effective leadership is a combination of all of these theories.

An effective leader must survey the situation presented to them, communicate to constituents, and transact and transform leadership styles to accomplish the task at hand. If a person is able to consistently perform in this manner, leadership becomes easy and constituents begin to lead themselves. However, the author concedes that the debate over whether successful leaders are naturally able to motivate and inspire subordinates to accomplish incredible goals still exists. Were leaders such as Lincoln born with the abilities to lead, or did they develop the necessary skills through experience?

Extensive research has led the author to believe that a leader must be born with certain characteristics (confidence, energy) to allow them to lead those who want to be lead. However, according to Burns (1978), most of these theories ignore or underplay the force that may be the most important in shaping most leaders: learning. Learning from experience, learning from people, learning from successes and failures, and learning from leaders and followers, forms personality in these reactions to stimuli in social environments.

These leadership theories, along with immediate exposure to several individuals at GlaxoSmithKline who practice effective leadership, aided the author in understanding how effective leadership occurs. For the author to determine how Lincoln became our nations' best leader, or how the authors' current manager became his most effective leader to date, he has to conduct additional research on nature (inborn characteristics) and on nurture (learned characteristics) to understand which contributed to effective leadership.

Leadership: Nature or Nurture?

Are leaders born or made? Neither Bass (1990), Bennis and Nanus (1989), Burns (1978), Conger (1992), DuBrin (1998), Farkas and Wetlaufer (1996), Heifetz (1994), Kouzes and Posner (1995), McCall (1998), Phillips (1992), Rost (1991), nor Zaleznik (1977) have come up with one clear point of view on whether leadership is inborn or learned. These authors argue each point of view, but most attribute a combination of traits and development to effective leadership. However, this author researched both historical references on leadership, as well as works written by the

current leadership gurus, only to find an overwhelming amount of literature favoring the nurture point of view over the nature point of view.

According to McCall (1998), "people who achieve unusual success in any endeavor – whether in music, athletics, physics, or in any other field – have talents that separate them from the average person" (p. 109). McCall (1998) also believes the same is true for those whose achievements are in the leadership arena, pointing out "there are many questions about what talent is and how much of it is the product of innate qualities and how much is determined by life's experiences" (pp. 109-110).

Bass (1990) emphasizes that one's genes contribute to one's intelligence and activity level, which, we have seen, are associated with leadership. Providing additional value to this point, Conger (1992) contends that scholars of leadership are more divided as to whether leaders are born or made. Some of these scholars argue that genetics and childhood dynamics are the forces behind leaders. Others see life experiences as the critical factors. Bass (1990) further argues that to some extent, leaders are born and developed at an early age. But at the same time, Bass (1990) believes that much can be done with their development, education, and training to make them leaders.

McCall (1998) presents his side of the argument, recommending that "where someone ends up is often a function of where that person begins" (p. 14). In the words of McCall (1998), the "borners recognize that raw talent, charisma, and whatever other gifts they possess must be practiced and honed" (p. 14). Similarly, Danzig (1998) claims that certain leadership qualities are inherent in every person, stating that "the wonder of your inherent leadership characteristics is that they do not

need to be learned" and that "they are innate; they only need to be formed, nurtured and cultivated" (p. xix). Danzig (1998) also believes that all of us have the leadership powers, which allow us to lead our lives in a more effective and satisfying way.

Conversely, Phillips (1992) insists that studies of well-known leaders suggest that certain factors in childhood can predispose a person to great leadership. As noted in DuBrin (1998), the belief that certain personal characteristics and skills contribute to leadership effectiveness in many situations is what he terms the "universal theory of leadership". According to this theory, DuBrin (1998) offers that certain leadership traits are universally important – that is, they apply in all situations. Therefore, one can make a correlation between the situational theory of leadership presented earlier in this study, and the thoughts of Phillips (1992). Situations, whether favorable or unfavorable, seem to contribute to one's leadership abilities and performance.

This author is most interested in examining the manner that corporate leadership is achieved. Farkas and Wetlaufer (1996) state that "CEO's inspire sentiments from awe to wrath, but there is little debate over their importance in the business world" because their decisions "change companies and lives" (p. 115). McCall (1998) believes that what matters is how well prepared people in leadership roles are to meet the challenges and overcome the obstacles posed by pursuing the organizations business strategy. Offering additional support, McCall (1998) recommends that the real measure of leadership is the ability to acquire needed skills as the situation changes.

Conger (1992) agrees with the arguments of Farkas and Wetlaufer (1996) and McCall (1998). According to Conger (1992), experience is the common denominator in the ability of all of these individuals to lead. It is also noted by Conger (1992) that "people who emerge as candidates for executive jobs may come with a lot of givens, but what happens to them on the job matters" (p. 29). Bennis and Nanus (1989) recommend that corporations offer employees the kinds of experience that will enable them to learn and to lead. Both Bennis and Nanus (1989) and Conger (1992) present the possibility that experience, in the corporate setting, is the main ingredient contributing to successful leadership.

Burns (1978) questions the many leadership theories that exist today, favoring the development of leadership skills over being born with leadership skills. Burns (1978) states that

most of these theories ignore or underplay the force that may be the most important in shaping most leaders: learning. Learning from experience, learning from people, learning from successes and failures, learning from leaders and followers: personality is formed in these reactions to stimuli in social environments. (p. 63)

DuBrin (1998) contends the three important life and work experiences that contribute to leadership development are education, experience as a leader, and mentoring. Furthering this thought, DuBrin (1998) points out that "education generally refers to acquiring knowledge without concern about its immediate application" and that "on-the-job experience is an obvious contributor to leadership effectiveness" (p. 393). However, Bennis and Nanus (1989) assert that "leaders are

not made by corporate courses, any more than they are made by their college courses, but by experience" (p. 182). Without experience, knowledge cannot be converted into skills.

In addition, DuBrin (1998) believes mentors "enhance the careers of proteges in many ways and help a person become a leader", by "recommending them for promotion and helping them become a leader" (p. 395). The thoughts of Bennis and Nanus (1989) and DuBrin (1998) help leadership researchers to understand that leadership skills are generally learned through a series of experiences and relationships.

Kouzes and Posner (1995) point out that there are other studies revealing that leadership can account for improved performance as measured by a variety of factors: net income; sales, profits, and net assets; employee commitment, job satisfaction, and role clarity; and employee turnover, achievement of company goals, and teamwork.

O'Toole (2000) adds that history shows that businesses dependent on a single, great leader run a terrible risk, because if that individual retires, leaves (or dies in office) the organization will lose the continuing capacity to succeed. More frequently, O'Toole (2000) notes that organizations learn the hard way that no one individual can save a company from mediocre performance – and no one individual, no matter how gifted a leader, can be right all the time.

Furthermore, this author found information supporting the idea that a child's experiences with a mother or father may influence that child's leadership capabilities. In Lincoln on Leadership, Phillips (1992) points out that studies of well-known leaders suggest that certain factors in childhood can predispose a person to great

leadership. Historical leaders appeared to have a "strong attachment to one parent coupled with some intensively negative attachment to the other" (p. 4).

Zaleznik (1977) maintains that every person's development begins with family. Each person experiences the traumas associated with separating from his or her parents, as well as the pain that follows such a wrench. Phillips (1992) details one of America's most successful and effective leaders by revealing that most of these leaders had a tremendously close relationship to their mothers, such as President Abraham Lincoln. Lincoln's mother was "a constant source of encouragement and love to her stepson" (p. 4). By contrast, there was a major estrangement between Lincoln and his father.

Revealing that leadership was more likely to be displayed by those whose "parents instilled high standards as well as granted responsibilities and scope for independent action" to them, Bass (1990) explains that "a family atmosphere of high-quality relationships with parents and siblings also makes a difference" (p. 810).

However, Phillips (1992) also contends that in addition to the complex relationships many distinguished leaders have had with their parents, some leaders experienced some form of tragedy while still very young. It is noted that Lincoln faced several obstacles, such as the death of his mother when he was only 9 years old, and the death of his sister when he was 19. As written by Phillips (1992), the life of Abraham Lincoln, especially his presidency, demonstrates that he possessed all of the great leadership qualities. Some of his inherent abilities were natural; others were consciously developed over the course of his life. Consequently, Lincoln learned to

express himself and demonstrate to others his beliefs and thoughts. Most importantly, he refined his ability to persuade, direct, and motivate people.

Bass (1990), Bennis and Nanus (1989), Burns (1978), Conger (1992), DuBrin (1998), Farkas & Wetlaufer (1996), Heifetz (1994), Kouzes and Posner (1995), McCall (1998), O'Toole (2000), Phillips (1992), Rost (1991), Sorensen (1999) and Zaleznik (1977) demonstrate that both inherent abilities and development of skills through experience influence leadership. Maltby (2000) believes the majority of researchers today believe that the origins of leadership go beyond genes and family to other sources. Work experiences, hardship, opportunity, education, role models and mentors all go together to craft a leader.

Summary

The author's review of relevant literature reveals that a combination of hereditary factors and life experiences influence a person's ability to lead effectively. While searching for information and references on leadership, the author contacted the research librarian at the Center for Creative Leadership (CCL) in North Carolina, for some assistance. After speaking to M. Schwartz (personal communication, November 28, 2000) of the CCL, it was recommended that the author read two seminal works on leadership theory and practice: Bass and Stogdill's (1990) Handbook of Leadership and Burns' (1978) Leadership. These two works have greatly influenced the scope of this research paper and were main contributors to the author's knowledge of the topic of leadership. These works serve as a basis of

leadership study, and have also made an impact on the overall advancement of leadership theories offered by the experts referenced in this author's research.

In conjunction with the above cited works, Kouzes and Posner (1995) simplify that leadership is, after all, a set of skills, and that any skill can be strengthened, honed, and enhanced if we have the proper motivation and desire, along with practice and feedback, role models and coaching. Bennis and Nanus (1989) offer that "leaders learn by leading, and they learn best by leading in the face of obstacles. As weather shapes mountains, so problems make leaders. Difficult bosses, lack of vision and virtue in the executive suite, circumstances beyond their control, and their own mistakes have been the leaders' basic curriculum" (p. 146). According to Bass (1990):

the nature-nurture controversy is by no means settled. Advances in genetics and biology need to be incorporated into leadership models. Large-scale studies of heredity suggest that genes contribute to energy levels, intelligence, interests, assertiveness, a sense of well-being, and the ability to take risks, even job satisfaction, and need to be taken into account in any complete examination of leadership. (p. 911)

This author has determined through extensive research on the topic of leadership, that many inherent abilities must be combined with experience in the leadership arena for a person to become an effective leader. In summary, it is noted by Farkas and Wetlaufer (1996) that "until scientists discover a gene for leadership – and think of the repercussions of that in business, not to mention politics – the debate about personality will persist" (p. 146). Even if scientists find that leadership is more

a case of nurture than of nature, there will still be those who think that only classic General Patton types can lead an organization to success. Research indicates that leadership is more complicated than that, driven not so much by what someone is like inside but by what the outside demands (Farkas & Wetlaufer, 1996, p. 146).

Chapter III

A LITERATURE PERSPECTIVE ON THE CHARACTERISTICS OF LEADERS

Noted Characteristics of Exemplary Leaders

As a result of this study, the author will note the characteristics found to be essential for effective executive leadership. The author also intends to: (a) analyze these distinct characteristics (whether inborn or learned); (b) offer explanations of why these characteristics are essential for effective leadership (according to the thought-leaders, such as Bass, Bennis, Kouzes & Posner); (c) and reference theories and definitions previously presented in this study. This will provide for agreement or disagreement of whether leadership is a product of nature or nurture.

In Bass (1990), it is revealed that several studies were conducted in the early to middle 1900s in an attempt to determine the traits and characteristics of leaders. Bass (1990) points out that these studies were employed to identify the personal characteristics of leaders. The studies were based on: (a) observation of a person's behavior in group situations, (b) choice of associates (voting), (c) nomination or rating by qualified observers, (d) selection of persons occupying positions of leadership, and (e) analysis of biographical and case history data. Through his research, Bass (1990) also notes that leadership is regarded as synonymous with holding office or some position of responsibility.

This author also conducted research, not unlike that of Bass (1990), to determine the key characteristics necessary for effective executive leadership. In all, the author asked various people (those currently employed by GlaxoSmithKline

Pharmaceuticals) to verbalize the traits they believed to be essential in a leader. The results of personal interviews with 16 managers show much uniformity in responses. The author realizes that this is due to a natural bias or "follow-the-leader" way of thinking, however, the results were sufficient for this author to recommend several distinct, agreed-upon characteristics of the prototypical leader in a corporation.

In-depth surveys were also conducted by Kouzes and Posner (1993), in which respondents selected 7 qualities, out of a list of 20, that they "most admired in a leader, someone whose direction they would willingly follow" (p. 12). The data they collected came from sources in North America, Mexico, Western Europe, Asia, and Australia, which is far greater than that of this author.

In support of research on leadership traits, Kouzes and Posner (1993) also interviewed more than 40 managers about qualities they looked for and admired in leaders. Additionally, these authors point out that the results of their surveys "have been strikingly consistent" (p. 13). Kouzes and Posner (1993) insist that "time and again, people sent a clear message about the qualities leaders must demonstrate if they want others to enlist voluntarily in a common cause and to commit themselves to action freely" (p. 13).

In much of the literature reviewed for this study, the author found convincingly similar findings to those of Kouzes and Posner (1993). The author found that many of the traditional characteristics presented by leadership experts (such as Bass, Bennis, and Burns) are indeed essential for effective leadership. In clear distinction of this thought, it is McCall (1998) who proposes that "the assumption that all successful leaders have one set of a dozen or so characteristics or

behaviors denies everyday experience, which shows that effective leaders come in various shapes and sizes" (p. 16). McCall (1998) agrees with the hypothesis that leaders are developed through experience and not simply born into leadership.

Results from extensive one-on-one interviews with current managers/leaders at GlaxoSmithKline in New Jersey point to eight particular characteristics that are essential for executive success. Each noted characteristic lends itself to being classified as either an inborn characteristic or a learned characteristic. Bass (1990), Bennis and Nanus (1989), Conger (1992), DuBrin (1998), Kouzes and Posner (1993 & 1995), McCall (1998), Phillips (1992), Poole (1998) and Zaleznik (1977) demonstrate that a combination of both inborn and learned characteristics are required to achieve leadership in the corporate sector. Along with the thoughts of these distinguished authors, this author will present the characteristics he found to be crucial to effective leadership, in no particular order, as discussed with those currently in leadership positions at GlaxoSmithKline.

It is recommended, in Phillips (1992), that the architecture of leadership, all the theories and guidelines, falls apart without integrity and that "integrity is the keystone that holds an organization together" (p. 52). Phillips (1992) also adds that Tom Peters, one of the foremost authorities on leadership, reported in his research that the best, most aggressive, and successful organizations were the ones that stressed integrity and trust.

Kouzes and Posner (1993), in their dynamic book Credibility, harmonize with the ideas of Phillips (1992). Kouzes and Posner (1993) believe that integrity is the main ingredient of leadership, as revealed by the more than 1,500 managers they

interviewed nationwide. These managers provided 225 values, characteristics, and attitudes that they believed crucial to leadership, with a panel of researchers subsequently analyzing the factors and reduced them to 15 categories. The results of the study reveal that integrity was the most frequent response as the most essential characteristic of an effective leader.

Integrity

Sadly, integrity is a vanishing commodity today, according to Maxwell (1993), because "personal standards are crumbling in a world that has taken to hot pursuit of personal pleasure and shortcuts to success" (p. 35). Furthermore, Bennis and Nanus (1989) vehemently insist that a true leader never lies to himself, especially about himself, knows his flaws as well as his assets, and deals with them directly. In the Harvard Business Review on Leadership (1998), Teal (1996) takes this one step further when he states that integrity in management means being responsible, communicating clearly, keeping promises, and knowing oneself. If followers believe that their leader has integrity with honesty, then trust builds and great relationships will prosper.

Expanding on the thoughts of Bennis and Nanus (1989), Kouzes and Posner (1993), Maxwell (1993), and Phillips (1992), it is suggested in Leadership: A Quick and Easy Guide (Birkett, et al., 1999) that "leaders with integrity are known as persons who always can be relied upon to do what they say" (p. 95). Leaders will follow through with action plans, and can be counted on for assistance when needed by a colleague or friend. Integrity appears to be a learned trait, because a person

with integrity stands up for what is right and tries to prevent actions that are not honest or fair.

As noted in Chapter II of this study, effective leaders practice and use integrity to gain trust from constituents. Integrity is developed as a result of learning from both childhood experiences and various situations. Therefore, from an organizational viewpoint, it makes good sense to practice integrity and honesty. Employees that value these qualities tend to gravitate to organizations that also value them, according to Birkett, Daum, and Southworth (1999), and that "these same employees tend to be highly productive" (p. 95).

Self-confidence

Though people look for their leaders to have a great deal of integrity, Danzig (1998) believes that "the one quality they (leaders) have in common, and without which anyone who tries to lead is doomed to fail, is confidence" (p. xv). In cooperation with these beliefs, Bass (1990) establishes that in all the studies he conducted and researched on leadership, great leaders were characterized, to an unusual degree, by such traits as self-confidence and esteem. Danzig (1998) concludes his thought on self-confidence by adding that "if you know who you are, and believe in what you are doing and the company you are doing it for, other people will know it. They will follow you" (p. xv).

Kouzes and Posner (1993) argue that confidence is an especially important lesson for leaders. If leaders believe that they can not meet the challenges of a particular task, even when they have the requisite skills to do so, they have no

business trying to lead a group under those circumstances. Consequently, the constituents will suffer greatly and will lose respect for the abilities of the leader to motivate and direct the team. Contributing to Kouzes and Posner's (1993) argument, it is written by Roberts (1987) that:

people in leadership positions who portray a lack of self-confidence in their abilities to carry out leadership assignments give signs to their subordinates, peers, and superiors that these duties are beyond their capabilities and may become weak leaders. (p. 20)

Birkett, Daum, and Southworth (1999) propose an alternative view to the self-confidence a leader must possess. These authors believe that being confident does not mean you have the answer to every question because, "no one can be expected to know everything, nor does the same degree of confidence transfer to every situation" (p. 66). This perspective adds value and credibility to the concept of situational leadership presented in Chapter II of this study. Once again, a leaders competencies and capabilities are a product of the situation and are ultimately learned through experience.

"Building confidence", asserts Thornton (2001), "is accomplished by affirming people's talents, recognizing good performance, and providing on-going education" (p. 2). Supporting the assertions of Thornton (2001), Kouzes and Posner (1995) declare that leaders must treat people in ways that bolster their self-confidence, which allows them to achieve more than they initially believed possible. It is also evident from the work of Kouzes and Posner (1995) that instilling self-confidence in constituents is a reciprocal process. Not only can leaders influence the

expectations of others, but also the expectations of constituents can influence the behaviors of their leaders.

Summarizing, this author agrees that self-confidence is essential to effective leadership, and to effective followership as well. Leaders must create an atmosphere of positive reinforcement or rewards for good deeds, and followers must attempt to achieve the goals presented by the leader. The work of McCall (1998) recommends that a success syndrome exists in effective leaders. Successful people were studied and it was found that they did well in an early assignment and were recognized by being given a more challenging assignment, and their self-esteem and self-confidence increased as a result. Moreover, having challenging jobs stretched these people to do more, it built their skills, and they built new relationships also.

Confident people usually experience some degree of success in life, but overconfidence is dangerous in leadership positions. According to Kouzes and Posner (1993), "overconfidence can lead to cockiness, poor judgement, and insensitivity to the situation or to others" (p. 262), which will break trust and ultimately destroy a team.

All of these events are situational and contribute to the development of effective leaders. From extensive research this author concludes that self-confidence is only achieved through mentoring and nurturing, and may not be a result of inborn abilities.

Energy

The thoughts of DuBrin (1998) introduce leadership practitioners to the next noted characteristic of leaders. DuBrin (1998) offers the contention that "the physical factor of energy also sheds light on the nature versus nurture issue" (p. 47). From Bass (1990), we learn that a high level of activity is common to leaders in a variety of different situations. In addition to these ideas, we see that some people are born with a biological propensity for being more energetic than others are born with. Yet unless people channel their energy properly, it will not help a person become an effective leader.

The studies of Bass (1990) enable those learning about leadership to understand the impact of energy on a leader. In his groundbreaking work, Handbook of Leadership, Bass (1990) reveals that various researchers report that "leaders were also characterized by a high rate of energy output" (p. 63).

Kotter (1990) ties in the ideas of Bass (1990) and DuBrin (1998) in "What Leaders Really Do", published in the Harvard Business Review on Leadership. In this article, Kotter (1990) points out that success always requires "an occasional burst of energy" (p. 48). Similarities exist between the proposal by DuBrin (1998) and that of Conger (1992), who proposes that this burst of energy may have "some genetic roots" (p. 21).

Continuing with this analysis of the characteristic of energy, Bass (1990) also insists that after some 25 studies, it can be concluded that leaders tend to be "endowed with an abundant reserve of energy, stamina, and ability to maintain a high rate of physical activity" (p. 81). In an analysis of the development and careers of 15

world-class leaders, the first common characteristic observed was a high energy level and an extraordinary degree of vitality. Leaders need the physical energy to concentrate harder and work harder than most of their associates.

Interestingly, even when handicapped by physical disability or poor health, "highly successful leaders tended to exhibit a high rate of energy output" (Bass, 1990, p. 81). Highly effective leaders have the energy and drive needed to push and pull their teams and organizations forward. In a recent edition of Fast Company (2001), leadership guru Tom Peters (2001) expresses his thoughts on energy. Peters (2001) expresses that every successful company, every successful team, and every successful project runs on one thing: energy. It's the leader's job to be the energy source that others feed from. Leadership is about having energy, creating energy, showing energy, and spreading energy. Nature influences the level of energy a person must exhibit on a daily basis to assure success of a corporation.

Passion

Though it is critical for leaders to have a high level of energy to accomplish organizational goals, highly effective leaders are able to boost the energy of others with their passion. While searching for a clear understanding of passion, the author found significant information on the website for Webster's Dictionary (www.dictionary.com). On this website, passion is defined as "a strong feeling of emotion; something that is desired intensely; boundless enthusiasm; love". At some point in life, we have all felt these emotions. A leader's ability to channel these

emotions to attain a personal or organizational goal is what makes that leader effective.

Taking this definition into consideration, Clemmer (2001) strongly contends that a leader's rousing passion is the energy source that powers the technology, systems, and processes that boost personal, team, and organization performance to higher levels. It is critical for people to rally around leaders, especially leaders with a compelling vision and purpose.

We are drawn to leaders who are so passionate about their work that they turn their work into a cause. In concurrence with this statement, Bennis and Nanus (1989) offers that the leader loves what he (or she) does, and loves doing it, and that the leader who communicates passion gives hope and inspiration to other people. Great leaders generate action within the organization and they have the ability to create focus for making a difference.

Danzig's (1998) stimulating work, The Leader Within You, gives leadership researchers critical characteristics essential to effective leadership, whether in business or in life. Danzig (1998) eloquently states that:

passion is a great power. Leaders have a passion that usually emerges in pursuit of an objective. It is not diligence, not simply being committed to a goal. It is a passion that consumes them in the pursuit of an objective. You can feel its fire. That passion stimulates followers who are sparked into helping leaders reach their objective. (p. 75)

Effective leaders use their abilities to rally people throughout their organizations or corporations, customers, suppliers, strategic partners, shareholders,

and anyone else that can help the cause. Nothing meaningful is ever accomplished without leaders transforming jobs into crusades, exciting adventures, or deeper missions. In essence, passion may be inborn in all of us. Only those leaders who are able to cultivate their passions and stimulate change for success can expect to achieve incredible organizational goals.

Character

Transitioning into another important characteristic of effective leaders, it is apparent that character is as vital in a leader as competence. According to Bennis and Nanus (1989), "it is not enough for a leader to do things right; he must do the right thing" (p. 30). This is the essence of character, and leaders must possess this quality to effectively lead organizations.

Expanding on the thoughts of Bennis and Nanus (1989), it is suggested by Kouzes and Posner (1993) that "people who have developed the skills to enact their beliefs possess the moral capacity to achieve good ends with good means" (p. 80). Leaders who have enough faith in their abilities to execute effectively and consistently under duress and challenge, while remaining morally clean, are the leaders everyone yearns for.

In the Harvard Business Review on Leadership, Badaracco (1998) claims that leaders face many "defining moments", which "ask executives to dig below the busy surface of their lives and refocus on their core values and principles (p. 89). Badaracco (1998) contends that defining moments ultimately accumulate over time to

form the very basis of an individual's character. Character building is a life-long process that establishes the identity and credibility of a leader.

Relative to the thoughts of Badaracco (1998), Bennis and Nanus (1989), and Kouzes and Posner (1993), it is communicated in Danzig (1998) that the character of a leader drives constituents to achieve goals without sacrificing morals. Danzig (1998) also contends that leaders do the right thing and avoid shortcuts where ethics are abbreviated. Taking this thought one step further, Danzig (1998) offers that the leader provides example by continually demonstrating to his colleagues that there is a value system in place which attaches to the leader's stewardship. The value system is an absolute component of the operation. The spirit that fills the atmosphere and prompts pride emanates from the character of the leader. Leaders set the example. They cultivate commitment and inspire admiration and respect for the institutional values that are the soul of the organization. (p. 87)

Most people have been told at some point in life that tough times build character. Tough times challenge a person's character and being. It is only through difficult experiences that people establish themselves as a leader, which can be classified as a nurtured characteristic. A lack of character will show through in an incompetent leader, with organizations ultimately failing as a result of poor leadership.

Decision-making

Phillips (1992) proposes that business executives know that it is sometimes difficult to implement decisions that have major impact on an organization. It is through confidence and experience that an executive leader can make decisions essential to the success of the corporation. Abraham Lincoln is the focus of Phillips' (1992) work, simply because of his incredible and historical accomplishments as a leader of this country. "Like Lincoln, the best, most decisive leaders are those who have a set purpose and the self-confidence to accomplish that objective" (p. 96).

Lending support to the ideas of Phillips (1992), it is Burns (1978) in his Pulitzer Prize winning work Leadership, who believes "the essence of the executive's function is the specialization of the process of making organizational decisions" (p. 379). Decision-making is a process that Burns (1978) simplifies when he states that "a problem is defined and isolated; information is gathered; alternatives set forth; an end is established; means are created to achieve that end; a choice is made" (p. 379). This is a constant refinement process with an effect of repeating decisions in finer and finer detail.

Phillips (1998) establishes that "in a corporation with decisive leaders the atmosphere is dynamic and vibrant" in that "people tend to move with a spring in their step and purpose in their direction" (p. 97). Abraham Lincoln knew that competent executive decision-making is crucial in any organization. It is because of Lincoln's extraordinary decisiveness that he was able to make policy, produce change, and win the war.

Continuing on with the discussion of executive decision-making, Roberts (1987) demonstrates that "every decision involves some risk" (p. 103). Risk is magnified when the leader is unaware of the potential consequences a decision may have on an entire organization, as a result of minimal experience. DuBrin (1998) introduces two factors influencing decision-making; decision quality and decision acceptance. "Decision quality", according to DuBrin (1998), "refers to the objective aspects of a decision that affect group or individual performance", whereas "decision acceptance refers to how committed group members are to implementing a decision effectively" (p. 147).

Both decision types are apparent in our everyday lives. For instance, decision quality is generally not a major factor when a leader must choose between five different suppliers of paper for a photocopy machine. Any brand of paper of the right grade will get the job done. Decision acceptance has to do with group members being "strongly committed to implementing a decision made by the leader because it is in their self-interest" (DuBrin, 1998, p. 147). Employees would eagerly implement a leader's decision to purchase laptops for sales representatives because they think it will boost productivity, and increase commissions.

The end result is that the leader must consider all immediate and long-term consequences before making a particular decision for the organization. For Burns (1978), a major decision for the executive leader to make, relevant to a definite goal, activates a structure of decision-making. A cumulative combination of many of the aforementioned characteristics, such as integrity and confidence, influence a leader's decision-making process. "The major decision is typically made in a context of

knowledge of past decisions and their consequences and anticipation of future decisions and their consequences" (Burns, 1978, p. 382). Thus, nurturing and learning influences the decisions a leader must make on a daily basis, both short-term and long-term.

Communication skills

As decisions are made, a leader must have the ability to communicate these decisions to constituents to accomplish goals. First, it is important to clearly understand the definition of communication before one can look for examples of it. People tend to interpret differently what effective communication actually is. This is why it is revealed in Conrad and Poole (1998) that "communication generally is defined as a process through which people, acting together, create, sustain, and manage meanings through the use of verbal and nonverbal signs and symbols, within a particular context" (p. 5).

Intending to place this definition in the context of executive leadership, it is noted in Bass (1990) that "an important aspect of a manager's leadership style is the way he or she communicates with colleagues and subordinates" (p. 673). The quality of one's talk does make a difference in one's success in emerging as a leader. As Birkett, Daum, and Southworth (1999) express, a person's overall effectiveness as a leader is largely determined by your communication proficiency, one of the essential leadership skills. One may possess great visionary abilities, but if you cannot communicate clearly, people will not, and really cannot, buy into your vision for the

future. All conversations with people in a particular organization are an opportunity to engage them in the organization's strategy and higher purpose.

In addition to these ideas presented about the importance of communicating a clear message, Bennis and Nanus (1989) interject their feelings about effective communication as well. Bennis and Nanus (1989) state that "if someone is a complete master of what they need to know, but is unable to explain why I should care about it, or want to help, then they can't get me to support them" (p. 131).

Taking the ideas of Bennis and Nanus (1989) one step further, Conrad and Poole (1998) offer that organizational communication must be strategic as well; it involves making sense out of the situations that are created by a particular strategy and it involves choosing communicative strategies for managing those situations.

As noted in DuBrin (1998), research evidence supports the conventional wisdom that effective leaders are also effective communicators. Based on a synthesis of studies, Bass (1990) found substantial evidence of a positive relationship between competence in communicating and satisfactory leadership and management performance. An interview study of 200 successful corporate leaders found that

the leaders had a number of communication skills in common. They were constantly able to expand their thinking by their active soliciting of new ideas and feedback from others and were continuously reaching out for new information. Also, they knew how to persuade others about the quality of their ideas and had the ability to communicate persuasively to others and to enlist their support by persistently working for it. (p. 111)

Considering the thoughts of Bass (1990), the author found similar ideas presented by Kouzes and Posner (1993). Kouzes and Posner (1993) point out that leaders understand that unless they communicate and share information with their constituents, few will take much interest in what is going on. Unless people see and experience the effects of what they do, they won't care. They conclude by stating that "when leaders share information rather than guard it, people feel included and respected" (p. 172).

Not only do constituents need to understand a clear vision for their work, as effectively communicated verbally by their leader, but our leaders must also understand the importance of appropriate nonverbal communication. DuBrin (1998) believes that nonverbal communication is important because leadership involves emotion, which words alone cannot communicate convincingly. "A major component of the emotional impact of a message is communicated nonverbally -- perhaps up to 90 percent" (p. 312). A self-confident leader not only speaks and writes with assurance but also projects confidence through body position, gestures, and manner of speech.

In addition to the ideas about nonverbal communication presented by DuBrin (1998), there are other leadership experts who agree that nonverbal communication is critical to leadership. Birkett, Daum, and Southworth (1999) suggest that body language, including frowns, folded arms, looking away, and posture, is an important part of communication. These gestures can either reinforce or detract from the spoken word.

Continuing on with the argument, Bass (1990) notes that "a manager who talks as if he or she wants to share in decision making with a subordinate but looks bored whenever the subordinate speaks, will be regarded as manipulative and insincere" (p. 114). Thus, for a leader to successfully communicate ideas, missions, visions, and direction, a balance between the verbal and the nonverbal style must be present.

Putting communication into historical context, Birkett, Daum, and Southworth (1999), insist that great communicators are able to get people to follow them. Leaders such as Winston Churchill, Napoleon Bonaparte, Mahatma Gandhi, and Lee Iacocca were able to persuade people that their visions were accurate and their ideas sound. "For most of us, our communication skill does not equal that of Churchill or Gandhi, but we must be able to inform others clearly and unambiguously. This can be learned" (p. 11).

Similar to the thoughts of Birkett, Daum, and Southworth (1999), the writings of Phillips (1992) introduce researchers to another great historical leader who was also an effective communicator. "The adage 'It's not what you say but how you say it' also applies to Abraham Lincoln's communication style. He combined a well rounded, albeit self-taught, education with wit and sincerity to serve as the nucleus of the archetypal communicator" (p. 153). Today's leaders would do well to embody Lincoln's simple, straightforward approach, especially when sending messages that can be easily misread.

Phillips (1992) also adds that Lincoln built credibility by being consistent and clear when speaking to others. "He did it with more than words; his actions mirrored

what he said. No matter what the method of communication – memos, discussions, phone calls, etc. – to lead effectively you must be clear and confident in what you have to say, and then you must follow through” (p. 153).

From the ideas presented by the above leadership experts, it appears that the situational leadership theory applies to effective communication. Leaders must constantly alter their communication style and tone depending on the situation and people involved in order to accomplish tasks. The significance of communication skills to effective leadership cannot be overstated, since the realization of the vision is directly dependent on effective communication.

Vision

A major buzzword in leadership is vision. In their book, The Leadership Challenge, it is Kouzes and Posner (1995) who introduce vision as “an ideal and unique image of the future” (p. 95). Additionally, DuBrin (1998) believes that vision is the ability to imagine different and better conditions and the ways to achieve them. Creating a vision is a major task of top executives. That is why Bennis and Nanus (1989) are so strongly convinced that:

the first basic ingredient of leadership is a guiding vision. The leader has a clear idea of what he wants to do—professionally and personally—and the strength to persist in the face of setbacks, even failures. Unless you know where you’re going, and why, you cannot possibly get there. (p. 41)

We expect our leaders to have a sense of direction and a concern for the future of the organization we work for. Creating a vision allows constituents to work

towards a particular goal or a particular objective. According to leadership experts, Kouzes and Posner (1993), the leader must establish a clear vision for the future because "they must have a destination in mind when asking us to join them on a journey into the unknown" (p. 16).

Recent leadership studies differentiated between leaders and managers and introduced a new leadership characteristic -- vision -- and explored its importance. Along with having vision, effective leaders are said to facilitate the development of a shared vision and value the human resources of their organizations. The Southwest Educational Development Laboratory (SEDL, 1999) introduces the characteristic of vision on its website. At SEDL, it is said that "a leader's vision needs to be shared by those who will be involved in the realization of the vision" (p. 4). Leaders must establish a shared vision -- one that everyone is involved in -- if they hope to find people to follow. The process of developing a shared vision promotes collegial and collaborative relationships, which benefits the organization in the long run.

Continuing on about creating a shared vision, Conger (1992) uses the example of Martin Luther King, Jr. on the steps of the Lincoln Memorial in 1963, while stating his vision for Black Americans. Conger (1992) notes that King said to his people, "I have absolutely no idea where we are going. Why don't you form a few small groups and talk about it?" (p. 95). In this case, King allowed the people to decide where they wanted to go, with King serving as their visionary leader for change.

In the Harvard Business Review on Leadership, Kotter (1990) insists that "what's crucial about a vision is not its originality but how well it serves the interest of important constituencies -- customers, stockholders, employees -- and how easily it

can be translated into a realistic competitive strategy" (p. 43). Bad visions tend to ignore the legitimate needs and rights of important constituencies. For example, "when a company that has never been better than a weak competitor in an industry suddenly starts talking about becoming number one, that is a pipe dream, not a vision" (Kotter, 1990, p. 43). Visions must also be attainable and realistic for constituents to follow.

To reference another leadership expert in the Harvard Business Review on Leadership, Zaleznik (1977) offers a different view of the importance of visionary leadership. It is Zaleznik (1977) who notes that "vision, the hallmark of leadership, is less a derivative of spreadsheets and more a product of the mind called imagination", and that "vision is needed at least as much as strategy to succeed" (p. 86). Therefore, leaders need to look far into the future, with the help of followers, to achieve the goals set forth by the corporation.

Kouzes and Posner (1995) back up the claims of Zaleznik (1977) when they offer that leadership vision is necessary if an organization is to move forward with purpose toward a common destination, but it isn't sufficient. "As important", Kouzes and Posner (1995) point out, "is the ability to communicate that vision so that others come to see what the leader sees" (p. 119).

Once again noting the incredible leadership exhibited by President Abraham Lincoln, Phillips (1992) offers another example of visionary leadership. It's well known and documented that during the Civil War, Abraham Lincoln preached a vision of America that has never been equaled in the course of American history.

Lincoln accomplished this vision through his speeches, writings, and conversations with his followers, the American people.

Lincoln offered solutions to the problems facing the people through a clear and concise vision, and the people followed his lead. However, Phillips (1992) warns that "effective visions and organizational mission statements can't be forced upon the masses, rather, they must be set in motion by means of persuasion" (p. 164). Persuasion is the result of effective communication, which we have already seen is one of the key characteristics of a successful leader.

Renewal of America's vision by Lincoln provided a kind of physical reinforcement, more powerful than sending troops to the field, or guns and supplies to the soldiers. It tended to put everyone on a dynamic and forceful upward spiral of action and commitment. Summing up, Phillips (1992) offers that:

by clearly renewing his vision and the gaining acceptance and commitment, Lincoln essentially revved up, and then released, what amounted to a battalion of energy within each person. Without question, Lincoln realized what every leader must—that the process of renewal releases the critical human talent and energy that is necessary to insure success. (p. 168)

When connecting CEO's to leadership, it is revealed in Kouzes and Posner (1993) that visionary leadership is important to employees. Kouzes and Posner (1993) point out "in the joint Korn/Ferry-Columbia University study, 75 percent of respondents ranked 'conveys a strong vision of the future' as a very important quality for CEO's to have now; it was so ranked by an almost unanimous 98 percent for the year 2000" (p. 16). Constituents ask that a leader have a well-defined orientation

toward the future. People want to know what the organization will look like, feel like, and be like when it arrives at its goal in six months or six years. We are not inclined to follow those who are directionless and do not have a clear vision for change or success.

We find interesting results in another visionary leadership study. DuBrin (1998) reports on a study in which 331 chief executives in one national and three regional samples were asked about the content and structure of their organizational visions. These executives came from firms that were in a variety of industries that ranged in size from \$1 million to \$1 billion in sales per year. According to DuBrin (1998), "the executive leaders who agreed to participate in the study just cited all came from firms with established visions. Yet, according to one analyses, only one in twenty business firms has an explicitly stated vision, and fewer than one in a hundred has a vision that has been communicated to the firm's people" (p. 342).

Relative to these thoughts about visionary leadership, Maxwell (1993) uses observations over 20 years which reveal that all effective leaders have a vision of what they must accomplish. The vision becomes the energy behind every effort and the force that pushes through all the problems. Maxwell (1993) suggests that "with vision, the leader is on a mission and a contagious spirit is felt among the crowd until others begin to rise alongside the leader" (p. 139). Without vision, energy ebbs low, deadlines are missed, personal agendas begin to surface, production falls, and people scatter. Vision is necessary to progress to the cutting edge of technology or current business strategies. "Without foresight and vision, we are always in a catch-up mode

behind the competition" (Birkett, Daum, & Southworth, 1999, p. 9).

Summary

The author concludes with the thoughts of Conger (1992) to bring this chapter to a close. Conger (1992) emphasizes that leader's ability to envision goals is actually a complex process. "Events stretching as far back as childhood may influence its origins. Further, it requires not only a special sensitivity to market forces but also awareness of constituents' needs – two characteristics that cannot be acquired overnight. Consequently, these skills are learned largely through important work experiences, not through a day's exposure to visioning skills" (p. 179).

It is quite evident that the characteristics noted in this chapter must be developed over time and through experience to become an effective corporate leader. Some of the noted characteristics may be classified as a product of nature, but a majority of these characteristics are nurtured through life experiences. This is revealed through the personal interview sessions conducted by the author, which are to follow.

Chapter IV

THOUGHTS ON LEADERSHIP

Introduction

Bennis (1989), Birkett, Daum, and Southworth (1999), Conger (1992), DuBrin (1998), Kotter (1990), Kouzes and Posner (1993, 1995), Maxwell (1993), Phillips (1992), and Zaleznik (1977) point out that creating vision is essential to executive success. To become a successful leader in the pharmaceutical industry, the author believes a clear vision, along with integrity, confidence, energy, passion, character, decision-making skills, and effective communication, is necessary to accomplish goals. The state of the pharmaceutical and healthcare industry is constantly changing and to keep up with change a leader (CEO) must establish a vision for their employees.

With the rising cost of research and development, government and FDA regulations, corporate mergers, and the media's focus on rising prescription costs for Americans, many changes are occurring for everyone from corporate CEO's to pharmaceutical sales representative. To survive in the face of change and adversity, top executives face the challenge of incorporating these characteristics into their leadership style and practices.

Perhaps no industry has such critical and urgent expectations placed upon it as does the pharmaceutical industry. The pharmaceutical industry requires strong leadership from its corporations to research and develop medications to improve the quality and duration of life of all people. Aspiring leaders must learn from his or her

personal experiences in the pharmaceutical industry to develop into an effective leader when called upon to lead.

Background

The author felt it was necessary to revisit the original purpose of this study to formulate a solid analysis of the data. Once again, the author's interest and exploration of leadership characteristics, specifically whether leaders are born or made, has peaked as a result of exposure to both ineffective and competent management styles. The author has made distinctions between the styles of managers and leaders that have led the author to conduct sessions with executive leaders at GlaxoSmithKline.

The author evaluated definitions and theories of leadership, as well as the inherent characteristics essential to success within a Fortune 100 company. The analyses presented in the works of Bass (1990) and Kouzes and Posner (1993,1995) inspired the author to conduct his own research and analysis to settle on what the people in leadership positions at his company felt about the noted leadership characteristics presented in Chapter III of this research. The author also intended to determine if the people interviewed felt that effective leaders were born or made.

Based on the literature research and professional experience, the author had many expectations about what the data would reveal. The author's primary assumption and understanding was that leadership is a skill that must be worked on every day. Specifically, the author expected to find, after interviewing people in leadership positions, that most leaders believe a balance of both natural traits and developed skills determined a leader's effectiveness. For this reason, the author

conducted 20 interviews during the month of October 2000. A complete list of the names of those interviewed for this research study is attached (see Appendix A).

Interview Sessions with Executive Leaders

These one-on-one interviews were with the Director of Pharmaceutical Sales for North America, two Regional Vice Presidents for the Northeast, the Director of Leadership and Professional Development for US Pharmaceutical Sales, and 16 District Sales Managers from New Jersey (see Appendix B). The author found an overwhelming majority of the leaders he interviewed at GlaxoSmithKline were male (17 men, 3 women).

The author revealed to the subjects that the true scope of his research was to gain a better understanding of whether leadership is inborn or learned. Of the 20 people the author interviewed, 14 of 20 (70%) were interviewed in person while attending a business conference, and 6 of 20 (30%) were interviewed via phone conversations. The subjects were asked to state whether they felt a leader is a product of natural predisposition, or whether a leader is developed over time as a result of personal life events and work-related experiences. Daniel Tasse, Director of Pharmaceutical Sales for North America at GlaxoSmithKline Pharmaceuticals, recently discussed leadership with the author. Tasse pointed out that "Any talented person must be born with some abilities to lead, but must work like a son-of-a-gun to become a successful leader" (D. Tasse, personal communication, October 10, 2000).

The subjects were next asked to give the author a list of the top qualities they felt were essential for a leader to possess to effectively lead constituents. The

responses varied with each participant, and ranged from 5 to 15 characteristics they felt were necessary for leaders to have. Eleven of the 20 participants (55%) noted all or some of the top eight most noted characteristics detailed in this research paper. These noted characteristics include integrity, character, passion, energy, self-confidence, decision-making, communication skills, and vision.

According to Andy Ajello, District Sales Manager for GlaxoSmithKline, an effective leader must exhibit some degree of each of the characteristics noted in this research. Ajello stated the following:

All of these characteristics go hand in hand. If a leader can not make good decisions, then their integrity is questioned. At the same time, a leader can have average or mediocre abilities in all of these areas and still be somewhat effective. It is the leader that is strong in a couple of these areas and lacking in others that will fail. The challenge is to find a balance of these eight characteristics to motivate your people to accomplish goals. (personal communication, April 29, 2001)

The responders were then asked to tell the author about the literature or experience that influenced them in their own leadership practices. The seminal work, The Leadership Challenge, by Kouzes and Posner (1995) was suggested reading by all 20 (100%) responders at GlaxoSmithKline, including Phil Zitelli, Director of Leadership and Professional Development for US Pharmaceutical Sales at GlaxoSmithKline. Zitelli pointed out to the author that "This book serves as a guideline for leaders to follow in their careers with the company. Leaders at

GlaxoSmithKline benchmark their leadership practices against the ideas of Kouzes and Posner" (personal communication, October 23, 2000).

Several of the interviewees (40%) also suggested a book called Lincoln on Leadership, written by Phillips (1992). Many of these responders remarked that Lincoln on Leadership is a great example of a person in American history that exemplifies effective leadership.

These data revealed that the leaders interviewed agreed that a person must be born with certain leadership traits, but can only lead effectively through years of experience. According to Daniel Tasse, the Director of Pharmaceutical Sales for North America, experience occurs when a person takes on leadership positions or roles, as well as being mentored by someone currently in a leadership position. The leaders interviewed in this study agree with the thoughts of Tasse, as well as with those of DuBrin (1998). DuBrin (1998) contends that a manager who has the privilege of supervising competent employees may be able to practice leadership effectively, whereas a manager who faces a competitive environment might find it more difficult to do so.

As a result, the author can state that leadership is not something all people will be able to accept or experience in their professional lives. However, every person has the ability to be an effective leader in their personal life, such as leading a family. Studies reveal that leadership usually occurs when a person is placed in a situation that requires that person to exhibit leadership.

Chapter V

CONCLUSION AND RECOMMENDATIONS

When the author began his research on leadership, he intended to determine if people were born leaders or developed into leaders. While reviewing relevant literature and speaking to people in leadership positions, it became evident to the author that one clear, concise explanation of leadership was difficult to find. Definitions merely confused the issue, while theories and perceptions of what leadership actually is varied from source to source, and person to person.

Both the literature and the data reveal that leadership is something that must be worked on and practiced to become effective. The author feels that people are born with certain skills that make them unique and special, and it is only through some sort of nurturing and mentoring that a person can realize their potential. An athlete must develop their innate skills to become a world-class athlete, whereas a person in a leadership position must develop certain skills to become an effective leader.

Though the author's admiration of the leadership qualities found at his company was apparent when research began, the author experienced leadership practices different from those presented in this work. These poor leadership practices lead the author to question the motives and direction of the leadership within this company, and doubt the way business and relationships are handled. As a result of improper leadership practices, a difference of opinion on the true meaning of leadership, and a desire to continue working for someone he considers a true leader,

this author has chosen to pursue other options within the pharmaceutical industry. This choice is not a reflection on the leadership guidelines of the corporation, but instead on the inconsistent practices among the leaders of his sales region.

The research and data presented reveal that leadership occurs when an individual is able to combine inherent abilities with life experiences. That same individual must take ownership in his or her work and possess a personal vision for change while incorporating the characteristics noted in this research paper into their daily routines, rather than following poor leadership and accepting results in fear of being considered an outsider. This author will take the skills learned while employed by GlaxoSmithKline, and the knowledge of leadership he has acquired as a result of this research, to an environment which encourages individuals to develop into effective leaders.

Though certain inherent characteristics influence whether a person will become an effective leader or not, research reveals that leadership is highly dependent on the situation. The author agrees with the experts in the arena of leadership that inherent leadership characteristics alone are not enough for a person to effectively lead constituents and corporations to greatness, but a combination of innate abilities and leadership experience is essential to effective executive leadership.

Future Study

In closing, the author believes that his literature review and job-related research (interview sessions) contributes to the enormous amount of information

related to leadership and what it takes to become an effective leader. In future studies on this topic, the author encourages that researchers continue to question the leadership and management styles they experience on a daily basis.

In addition, the author believes it is important for future studies on leadership to examine whether effective or ineffective leadership has an impact on employee morale and productivity, specifically in the sales segment of a corporation. Finally, future studies should explore the opinions and expectations that subordinates (those being led) have of their corporate leaders.

Leadership practitioners and scholars must continue to measure the importance of effective leadership on corporate success. In the future, the author hopes that leaders can take advantage of the information presented on effective leadership while challenging and empowering employees to become leaders in their own lives, both personally and professionally.

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Appendix A

Names of Interviewees

Names of Interviewees

| Name: | Position: |
|-----------------------------|---------------------------------------------------------------------------------|
| 1. Daniel Tasse | Director of Pharmaceutical Sales, North America |
| 2. Robert Pekarski | Regional Vice President, NJ |
| 3. Michelle McHugh-Mazzatta | Regional Vice President, NY |
| 4. Phil Zitelli | Director of Leadership and Professional Development, US Pharmaceutical Sales |
| 5. Andy Ajello | District Sales Manager, NJ |
| 6. Dennis McGloughlin | District Sales Manager, NJ |
| 7. Bob Miller | District Sales Manager, NJ |
| 8. Mike Small | District Sales Manager, NJ |
| 9. Andrew Paetow | District Sales Manager, NJ |
| 10. Sharon Koorbusch | District Sales Manager, VA |
| 11. Joseph Sander | District Sales Manager, NJ |
| 12. Doug Shafer | District Sales Manager, NJ |
| 13. Winston Churchill | District Sales Manager, NJ |
| 14. Tom Koziejka | District Sales Manager, NJ |
| 15. Harvey Jackson | District Sales Manager, NJ |

- | | |
|-----------------------|-----------------------------------------------------------|
| 16. Brendan Dornbusch | District Sales Manager, NJ |
| 17. Louis Coppa | District Sales Manager, NJ |
| 18. Lisa Niemela | District Sales Manager, NJ (Regional Business Analyst) |
| 19. Brian Krebs | District Sales Manager |
| 20. Thomas McNelly | District Sales Manager |

Appendix B

Interview Questions

Interview Questions

1. Do you believe leaders are born or made?
2. Are leaders born with certain characteristics that make them successful?
3. What are the most essential characteristics a leader must possess? (List your top 10 to 15 leadership characteristics)
4. What book or body of work has influenced your leadership practices the most?

Appendix C

Executive Summary

Master's Thesis Project
The Origins and Analysis of Inherent Leadership Characteristics
Essential to Executive Success

By Jim Badolato

Research Question: What are the inherent leadership characteristics essential to executive success in a Fortune 100 pharmaceutical company? This study will highlight various aspects of leadership and its noted characteristics.

Reason for Study

The author's interest in leadership characteristics, specifically whether leaders are born or made, has peaked as a result of exposure to both ineffective and competent management styles. The distinct differences between the styles of managers and leaders have motivated the author to take a more in-depth look at these styles.

Project Objectives

Three main objectives of this study include:

1. Clearly define the term leadership.
2. Determine if leaders are born or made.
3. Understand the characteristics most essential to successful executive leadership.

Lessons Learned

The research indicates that:

- Leadership is highly situational.
- Many inherent leadership traits are common among the most successful leaders.
- Effective executive leadership can only occur through experience and practice.
- There is no universal theory of leadership that prevails today.

More research needed on:

- Subordinate expectations and opinions on whether leadership is inborn or learned.
- Whether effective leadership influence corporate performance and success.