

STOGDILL'S HANDBOOK OF LEADERSHIP

A Survey of Theory and Research

Revised and Expanded Edition

BY
BERNARD M. BASS

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PREFACE TO THE REVISED AND EXPANDED EDITION

Shortly before he died in 1978, Ralph Stogdill asked me to collaborate with him on a new edition of his *Handbook of Leadership*, which first appeared in 1974. I accepted the assignment willingly, but I have had to carry on alone taking full responsibility for this revised edition.

After Stogdill's three decades of dedication and contributions to leadership research, the *Handbook* was a fitting final extension of his seminal publication in 1948, "Personal Factors Associated with Leadership" (*Journal of Psychology*, 25: 35-71), which did so much to redirect efforts in leadership research away from trait to situational analyses, although Stogdill himself clearly showed that both were important. The point of view advanced in *Leadership, Psychology and Organizational Behavior* (Bass, 1960) fits with his position and still seems relevant: some of the variance in leadership is due to the situation, some is due to the person, and some is due to the interaction of person and situation. Sometimes, personal traits are paramount. For example, assertiveness and initiative are dominant in effect in most situations. Sometimes, the situation is the prime determinant. Any person at the center of a communications network is likely to exert more leadership than any person at the periphery. Sometimes, it is a combination effect: the right person, in the right place, at the right time.

I have attempted to maintain some of the essence of the first edition. Nevertheless, in addition to a considerable amount of new material from the industrial management and political science literature, the *Handbook* has been updated by extensive incorporation of relevant publications that appeared between 1974 and 1981. I have tried to use the same criteria for inclusion of material that Stogdill employed in the first edition. However, I accept full responsibility for whatever shortcomings remain in this edition. On occasion I have put more weight on generalizations that are emerging from the body of softer literature dealing with organizational and management development than on some of the seemingly harder, antiseptic, laboratory studies of dragooned college students in brief encounters with an experimenter. Also, topics that were given no special attention in the first edition of the *Handbook*, such as leadership among women, blacks, and other cultures now form separate chapters.

A multiplicity of themes is likely to appear in any one leadership study. Leadership itself may be the independent, dependent, or intervening variable. In organizing the studies and seeking to extract generalizations from the organization, I hoped to avoid the structure of a Wagnerian opera in which different themes continually appear, disappear, and reappear. As much as possible I have attempted to compile finding in tight thematic bundles.

A handbook should promote both understanding and application. One cannot understand leadership in a vacuum. Thus, an appreciation of effective leadership in modern West Germany requires understanding of what kinds of participatory practices have been legislated since World War II as well as what firmly entrenched traditions accepted by both leaders and subordinates

about the "leadership principle" have been carried forward from the Second Reich of a century ago. On matters of routine, the subordinate's job is spelled out in detail. When delegated by superiors to carry out such routines, subordinates are obligated to give unquestioning obedience but are left alone to complete the task. For unprogrammed activities, however, superiors are supposed to consult with their subordinates. When the superior finally decides, it is the subordinate's duty to accept the decision. A similar mix of tradition and modern improvements emerges as the Japanese Ringi method for circularizing ideas among subordinates and gaining their inputs before a seemingly "unanimous" decision is announced by their leader. While the German and Japanese post-1945 economic miracles are due to much more than effective leadership, such leadership did play an important part.

A search of the computerized files of abstracts of ERIC (The Educational Resources Information Center), the Psychological Abstracts, and the Sociological Abstracts uncovered 525 titles of consequence published between 1974 and 1978. Journals such as the *Journal of Applied Psychology*, the *Administrative Science Quarterly*, the *Academy of Management Journal*, *Personal Psychology*, and *Organizational Behavior and Human Performance* were searched for the 1960–1979 period. A comparable number of preprints which crossed my desk also figured in the final literature which was surveyed along with many earlier items not included in the original handbook. The original 3,000 references have increased to 5,000.

The following reviews and books have been useful for locating materials on special topics:

Leadership theory and research: Argyris, 1976; Barrow, 1977; Bass, 1960; Bell, Hill, and Wright, 1961; Bennis, 1976; Biddle and Thomas, 1966; Campbell, Dunnette, Lawler, and Weick, 1970; Cartwright, 1965; Fiedler and Chemers, 1974; Fox, Walton, Kirchner, and Mahoney, 1954; Gardner, 1974; Gibb, 1954; Goode, 1951; de Grazia, 1949; Harlow, 1957; Harrell, 1961; Jenkins, 1947; Jacobs, 1971; Jennings, 1960; Lerner, 1952; Lloyd, 1964; Mann, 1959; Matthews, 1951; Mesics, 1960; Miller, 1960; Miller and Coghill, 1961; Narain, 1955; Psychological Services, 1953; Pigors, 1935; Ross and Hendry, 1957; Ruch, 1953; Rushlau and Jorgensen, 1966; Shartle, 1956; Smith and Krueger, 1933; Stogdill, 1948; Vroom and Yetton, 1975; and Wasserman and Silander, 1958.

Readings on leadership: Brown and Cohn, 1958; Gibb, 1969; Gouldner, 1950; Herman and Milburn, 1977; Higham, 1978; Hunt and Larson, 1974, 1975, 1977; King and Fiedler, 1978; McCall and Lombardo, 1978; Metcalf, 1931; Petrullo and Bass, 1961; Sherif, 1962; and Stone, 1976.

Reviews of small-group theory and research: Altman, Pendleton, and Terauds, 1960; Blum, 1953; Bonner, 1959; Borgatta, 1960; Hare, 1962; Hare, Borgatta, and Bales, 1955; Lindzey, 1954; Lindzey and Aronson, 1969; McGrath and Altman, 1966; March, 1965; March and Simon, 1963; Raven, 1959, 1965; Roseborough, 1953; Stogdill, 1959; Strodtbeck and Hare, 1954; and Wasserman, 1959.

Readings on the small group: Cartwright and Zander, 1968; Gibbard, Hartman, and Mann, 1974; Hyman and Singer, 1968; and Indik and Berrien, 1968.

Works on special leadership topics: Aral, 1974; Burns, 1978; Olmstead, 1974; T. Gordon, 1977; Gordon and Rosen (undated); Gorton, 1976; Johnson and Johnson, 1975; Lassey and Fernandez, 1976; Loye, 1977; Maccoby, 1978; Magid, 1976; McMurray, 1974; Paige, 1977; Price, 1976; Richman and Farmer, 1974; Schul, 1975; Schutz, 1977; Schultz, 1975; Stewart, 1978; Turner, 1977; West, 1978; Yura, 1976; and Zaleznik and DeVries, 1975.

I wish to thank Jerry Hunt, Peter Weissenberg, Tom Harrell, Fred Fiedler, Marvin E. Shaw, and David D. Van Fleet and his students for their many useful suggestions on ways to improve the *Handbook*. Others who have been most helpful include Rensis Likert, Jack Miner, Richard Franke, Frank Heller, Chet Schreisheim, Jerri Frantzve, and Michael Manning. I am particularly indebted to Caroline Simmonds for her effective assistance in the original computer search, to Jenny Kage and especially to Lorraine Warren for competent secretarial assistance in

helping with the manuscript, and to Elaine Demore, Kevin Geoghan, and Robert Vasina for taking on the heavy burden of completing an accurate list of references. I also wish to express my appreciation to the Smith Richardson Foundation for support in preparing the manuscript.

B.M.B.

PREFACE TO THE FIRST EDITION

In 1966 the Smith Richardson Foundation suggested that the author undertake a systematic analysis and review of the literature on leadership. At that time, it was estimated that the work could be completed in two or three years. The undertaking proved much larger than anticipated.

The author defined his task as that of assembling all the published evidence on a given topic and summarizing the findings. The result is a sourcebook of experimental products. A book of this nature is obviously not intended to entertain, inspire, or offer simple recipes for solution of leadership problems. It is intended for the serious reader who wants to know what results have been obtained, who did the research, and what conclusions can be drawn from the accumulated evidence.

Four decades of research on leadership have produced a bewildering mass of findings. Numerous surveys of special problems have been published, but they seldom include all the studies available on a topic. It is difficult to know what, if anything, has been convincingly demonstrated by replicated research. The endless accumulation of empirical data has not produced an integrated understanding of leadership. There is a need for a stocktaking—for an inventory of results. Leadership practice should be based on valid experimental findings. Future research should be designed to explore new problems rather than repeat what has been done in the past. Indeed, the desire to know is in itself sufficient justification for undertaking a comprehensive analysis of the literature on leadership.

The task of reviewing and abstracting the literature on leadership was begun in 1946, under a grant from the Office of Naval Research. One result of the navy-sponsored survey was "Personal Factors Associated with Leadership: A Survey of the Literature," 1948. This, the most widely quoted reference on leadership, is reprinted here with the kind permission of the Journal Press. Systematic abstracting has continued with support from the College of Administrative Science, The Ohio State University. In 1966, a two-year grant from the Smith Richardson Foundation permitted a full-time attack on the task. The Ohio State University has supported the project since 1969.

It is the author's aim in this book to bring to bear on a given problem all the competent research directly relevant to it. No doubt, a few stray publications have been overlooked. But it can be stated with confidence that such omissions are too few to alter the conclusions reached on any given topic. More than five thousand abstracts were prepared. Only those with a direct bearing on leadership were included in the survey. The criterion for including a given study was the author's conclusion that an experimental or theoretical undertaking had been competently executed. A large body of inspirational and advisory literature was ignored. Small-group studies only indirectly related to leadership were excluded. The well-informed reader will note omission of a chapter on the charismatic leader. This important variant of the leadership role has not been a willing or frequent subject of research that involves measurement or experimentation. Numerous

biographical studies of charismatic leaders are available, but they provide comparatively little information that adds to an understanding of leadership.

The method employed for the analysis involved the following stages: (1) preparation of a comprehensive abstract of a book or journal article, (2) sorting and resorting of the abstracts into relevant categories, (3) tabulation of all findings bearing on a topic, and (4) analysis, summarization, and interpretation of results.

The purpose of the analysis was to determine what is known about leadership. The author used a dual criterion for determining this. First, results on a given topic were regarded as validated when several investigators, using different research designs and methodologies, obtained similar results. Second, an unusually competent piece of research was given greater credence than a poorly designed experiment. The second criterion was used infrequently. Critical evaluation of individual experiments and points of view has been kept to a minimum. The replication of findings, when it occurs, can usually be depended upon to overcome the inequalities inherent in different research designs.

The author was assisted in the demanding task of abstracting by Katheleen Koehler Haas, William G. Nickels, and Adele Zimmer. Special thanks are due Carroll L. Shartle and the late Edwin R. Henry for their encouragement to undertake the project. The support of the Smith Richardson Foundation is greatly appreciated. This support was the crucial factor in transforming the project from a hope into a reality.

R.M.S.

RALPH M. STOGDILL (1905–1978) was Professor Emeritus of Management Science and Psychology at Ohio State University, where he had served earlier for many years as Associate Director of the Ohio State Leadership Studies. Included among his numerous publications were *Individual Behavior and Group Achievement* (1959) and *Managers, Employees, Organizations* (1965). He was recognized by *American Men and Women of Science*, *Leaders in American Science*, *Who's Who in Science*, and *Who's Who in American Education* and was a former Management History Director of the Academy of Management. A biannual prize for the best contribution to the study of leadership has been named in his honor.

BERNARD M. BASS is Professor of Organizational Behavior at the State University of New York, Binghamton, and was former director of the Management Research Center at the University of Pittsburgh (1965–1968) and the University of Rochester (1969–1972). His earlier books on leadership and organizations include *Leadership, Psychology and Organizational Behavior* (1960), *Organizational Psychology* (1965, 1979), *Assessment of Managers: An International Comparison* (1979), and *People, Work and Organizations* (1972, 1981). He is listed in *Who's Who in America*, *Who's Who in the World*, and in *American Men and Women of Science*. He served as President of the Division of Organizational Psychology of the International Association of Applied Psychology (1978–1982).

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part

1

INTRODUCTION TO LEADERSHIP THEORY AND RESEARCH