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CHAPTER 2

Theories of Leadership and Management

CHAPTER OVERVIEW

This chapter presents the historical and relevant theories of leadership and management related to correctional service in order to provide students an understanding and foundation to better understand how these theories affects the thinking and practice of correctional administration. Corrections must have effective leadership to meet its very challenging mission of protecting society while supervising criminal offenders. It is important for students to understand the many theories and how they have evolved. Theories are described and then we move from a focus on leaders to how they involve and shape their followers. Included is how to build an entire organization, focusing on the team and the principles and values of an organization. Students can see many benefits to almost every theory listed, and they will see several challenges to correctional leaders who attempt to use a specific style. Students will find this chapter more interesting than they would think a "theory" chapter might be, as they have the opportunity to use their own knowledge and experience to put the theories into perspective, thinking how they would lead if they tried to use the approaches described by each theory.

CHAPTER OBJECTIVES

At the end of this chapter you should be able to:

- After reading this chapter, students should be able to:
- Outline the various ways to describe leadership and management.
- Describe the evolution from great man to trait theories of leadership.
- Contrast contingency with trait theories of leadership.
- Summarize the key factors upon which situational leadership is based.
- Outline how actual things that leaders do in their roles influence behavioral theories of leadership.
- List the positive and negatives of participative leadership theories.
- Compare and contrast transactional with transformational leadership.
- Describe the approaches that make a transformational leadership successful in leading the organization.
- Outline the steps in what Seiter describes as "leadership by attention."
- List and summarize the "four Ps" that are actions leaders can take to reinforce performance by staff and the organization.

LECTURE OUTLINE

1. **Leadership Theories**

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Research in leadership has been conducted for the better part of the twentieth century and has provided an enlightening array of theories on how we direct and energize people to achieve goals. Early theories focused directly on the characteristics of the leader, but later theories have distinctively moved away from focus on the leader to concentration on leader relationships with employees. These contemporary theories emphasize that without followers there can be no leaders.

These eight categories will be used to organized theories and will be described in more detail below.

a. Great Man Theories
b. Trait Theories
c. Contingency Theories
d. Situational Theories
e. Behavioral Theories
f. Participative Theories.
g. Management Theories
h. Relationship Theories

2. **Great Man and Trait Theories**

Great Man theories proposed that there were traits that great leaders were born with, and it was only a matter of time before they were in a situation in which their leadership qualities came into play and they showed their abilities. **Trait theory** like the Great Man theory suggested that leaders were born with inherent traits. However, there has consistently been recognition that effective leaders as a group do possess certain common traits such as vision, creativity, tenacity, courage, empathy, and enthusiasm. Other research indicated that persons with varied personality, environmental, and hereditary backgrounds can make effective leaders, leading to a belief that traits in themselves are an inadequate way to describe why someone makes a good leader. And other research demonstrated that even with these traits, leadership effectiveness cannot be guaranteed as the situation often determines which traits are most useful or important.

3. **Contingency Theory**

Contingency theory contends that while each leader may have a permanent leadership style, the style will not work the same in every situation. The theory takes into account a broad view that there are contingent factors to include the leader capabilities and variables in the situation that affect how effective the leader style is. The leader's ability to lead successfully is believed to depend on factors such as the types of challenges faced and the skills and behaviors of their followers, and therefore focuses

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more on the environment than on the person. There is not believed to be one right way to lead, and one style may be successful in some situations and not in others.

4. **Situational Leadership**

Situation theory is based on the premise that difference situations require different styles of leadership, and the most effective leaders do not have one single approach, but are able to use different styles based on the situation they face and that will be most effective in the situation. In 1958, Tannenbaum and Schmitt identified three forces that combined result in the actions taken by a leader: (1) forces from the situation; (2) forces from followers; and (3) forces in the leader's own style and comfort zones. They developed a Continuum of Leadership Behavior that combined the approach leaders take with how much authority they grant to followers.

Hersey and Blanchard developed a similar situation leadership model in the 1970s. The Life Cycle Leadership establishes four primary leadership styles for a leader and matches them to the developmental level of the group. The model describes four styles of leadership (S1 to S4) that are matched to four levels of development (D1 to D4) of the followers. The leadership styles are on a continuum of how much the leader focuses on task accomplishment versus employee relationship building.

5. **Behavioral Theories of Leadership**

Behavioral theory also focuses not on what traits or capabilities leaders have, but what they actually do. With this approach, researchers identify and then correlated specific behaviors with leadership success. **Role theory** is a Behavioral theory, and proposes that people define roles for themselves and others based on what they expect should be done and the influences others have on them. People subtly encourage others to act and meet their expectations. In 1964, Blake and Mouton developed a managerial grid to describe five basic styles of leadership based on how much emphasis (low, medium, or high) they put on concern for people and concern for production/tasks. The five styles were: (1) Authority-Compliance; (2) Country Club Management; (3) Impoverished Management; (4) Middle-of-the-Road Management; and (5) Team Management.

6. **Participative Theories of Leadership**

Participative theory of leadership involves the degree to which leaders include followers in the decision making of the team or organization. Participative leaders involve others (peers, supervisors, other stakeholders, and followers) in the decision

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making process. Continuums in the Participative theory include autocratic leaders who make all decisions themselves to full delegation for decision making to the team. In 1930, Lewin, Lippitt, and White conducted research and identified three styles of leadership around the way decisions were made. Styles included autocratic, democratic, and laissez-faire. In the 1960s, Rensis Likert identified four styles of leadership in terms of how much involvement employees had in decision making. The four include exploitative authoritative, benevolent authoritative, consultative, and participative.

7. **Management Theory of Leadership**

The **Management Theory** of leadership focuses on how the transactions between leader and follower are managed in an organization. Also referred to as Transactional leadership, this theory begins with the assumption that people are motivated by rewards and punishments, and that the role of their leaders is to direct them on what to do. **Transactional leadership** revolves around the leader-follower relationship in which the leader motivates the follower by recognizing their needs and providing rewards to fulfill those needs in exchange for support and performance.

Transactional leaders are usually found in well-defined chains of command and in which the functions required by subordinates are also clear. Rewards come from following orders and punishment comes from not performing the job as prescribed. The Leader-Member Exchange Model (LMX) was developed by George Graen and colleagues in the 1970s and describes how leaders assert their positions through tacit exchanges with their followers. The LMX model also describes the importance of loyalty to the leader and explains why one group in a unit may form a cohesive team while another will be excluded. LMX proposes that leaders develop close working relationships with one group (the in-group) and exclude relationships with another group (the out-group). The in-group is believed to work harder and is more committed to the organization.

8. **Relationship Theory of Leadership**

Relationship theory is much broader than Management theories, in that the complexity of leaders, followers, and organizational vision and values all are integrated to guide what needs to be done and how it is to be accomplished. In 1978, James MacGregor Burns created the term **Transformational** Leadership which was distinguished from transactional theories in that rather than reward followers for following orders, they encourage employees to help to "transform" the organization into one in which all (in-group and out-group) are welcome and staff are given more latitude to create better ways to accomplish goals rather than follow set routines. The weaknesses of transactional styles are that few workplaces are simple with tasks that are always the same. Judgments

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must be made along the way, and transactional leaders do not accept too much decision making from line staff without their specific review and approval.

Transformational leaders focus on the big picture and do not micromanage. There are multiple steps that transformational leaders take to move the organization and followers to the desired higher level of both performance and employee satisfaction. These include:

a. Development of a vision
b. Selling the vision
c. Plotting the course
d. Continuing to lead the change

A step even beyond transformational leadership is suggested by Robert Greenleaf in his book entitled *Servant Leadership*. Greenleaf adds a new insight suggesting the study of leadership even more away from leaders and toward followers. Servant leaders establish relationships with subordinates to serve their needs and collaborate with them to achieve organizational goals. Beyond that, servant leaders empower their workers to achieve their potential. Trust becomes the cornerstone of the servant leader theory as cooperative relationships are based on mutual respect.

LIST OF CHANGES/TRANSITION GUIDE

1. All of the material has been updated with the most recent reports, populations, and research findings to keep the book current to those who study correctional administration. These are presented in the narrative, in the tables and figures, in the website exercises, and in the endnotes.
2. There are several updates and new information as governmental agencies attempt to manage

through tight budget times, and restructure sentencing and attempt to divert more offenders from prison into community sanctions.

ADDIIONAL ASSIGNMENTS

1. Group Assignment: As a group develop leadership plan using the steps from the transformational leadership perspective. Provide an example for each step and all steps should flow together in one plan.
2. Thinking back to a current supervisor or supervisor you have currently had, discuss which style of leadership they used. Provide examples to support your response.

SUGGESTED ANSWERS TO 'YOU'RE THE CORRECTIONAL ADMINISTRATOR'

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1. Answers vary depending on which theory of leadership is chosen.
2. Outline the pros of transformational, participative, behavior, or situational leadership style and how it can work in corrections. For example, if transformational is chosen it should include development of a vision, selling the vision, plotting the course, and continuing to lead the change.

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