

Chapter

6

Power and Influence Tactics

Learning Objectives

After studying this chapter, you should be able to:

- Understand how power is acquired or lost in organizations.
- Understand how power is related to leadership effectiveness.
- Understand how to use power effectively.
- Understand the different types of influence tactics.
- Understand effective ways to use the influence tactics.

Introduction

Influence is the essence of leadership. To be effective as a leader, it is necessary to influence people to carry out requests, support proposals, and implement decisions. In large organizations, the effectiveness of managers depends on influence over superiors and peers as well as influence over subordinates.

The concept of power is useful for understanding how people are able to influence each other in organizations (Mintzberg, 1983; Pfeffer, 1981, 1992). However, the term has been used in different ways by different writers, and the differences can create confusion. In the first part of this chapter, power is defined, different sources and types of power are described, and the way power is gained or lost is described. The implications of power for leadership effectiveness are explained, and guidelines for using power effectively are provided.

The second part of the chapter explains how power is related to a leader's influence behavior. Different types of influence behavior are described, and research on effects of this behavior is reviewed. The chapter ends with guidelines for using eleven proactive influence tactics.

Sources of Power

Power involves the capacity of one party (the “agent”) to influence another party (the “target”), but this influence has been described and measured in several different ways. The term may refer to the agent's influence over a single target person, or over multiple target persons.

Sometimes the term refers to potential influence over things or events as well as attitudes and behavior. Sometimes the agent is a group or organization rather than an individual. Sometimes power is defined in relative rather than absolute terms, in which case it means the extent to which the agent has more influence over the target than the target has over the agent.

It is difficult to describe the power of an agent without specifying the target person(s) and influence objectives. An agent will have more power over some people than over others and more influence for some types of objectives than for others. Furthermore, power is a dynamic variable that changes as conditions change. How power is used and the outcomes of influence attempts can increase or reduce an agent's subsequent power. In this book, the term power is defined as the potential of an individual agent to influence the behavior or attitudes of one or more designated target persons at a given point in time.

Position and Personal Power

Efforts to classify types of power usually involve differences in the source or basis for potential influence over another person or event. The most general way to classify power sources is the distinction between position power and personal power (Bass, 1960; Etzioni, 1961; Rahim, 1988; Yukl & Falbe, 1991). These broadly defined categories involve power sources that are either inherent in an agent's position in the organization, or that involve attributes of the agent and the agent–target relationship. Position power includes potential influence derived from legitimate authority to make important decisions, control over the use of resources and access to information, and control over the use of rewards and punishments. Personal power includes potential influence derived from agent expertise and friendship with the target person. The two broad power constructs are less useful than specific types of power, such as the ones identified in the early power research by French and Raven (1959). Six specific types of power are described in this section of the chapter.

Legitimate Power

Legitimate power is based on formal authority, and it involves the rights, prerogatives, obligations, and duties associated with a particular position in an organization. A leader's authority usually includes the right to make decisions and requests consistent with this authority. For example, a manager usually has the legitimate right to establish work rules and give work assignments to subordinates. Authority also involves the right to exercise control over things, such as money, resources, equipment, and materials, and this control is another source of power. The scope of authority for the leader is the range of requests that can properly be made and the range of actions that can properly be taken. The scope of authority is much greater for some managers than for others, and it depends in large part on the influence needed to accomplish role requirements and organizational objectives (Barnard, 1952).

The influence processes associated with legitimate power are complex. Some theorists emphasize the downward flow of authority from owners and top management, but the potential influence derived from authority depends as much on the consent of the governed as on the ownership and control of property (Jacobs, 1970). Members of an organization usually agree to comply with rules and directions from leaders in return for the benefits of membership. However, this agreement is usually an implicit mutual understanding rather than an explicit formal contract.

Compliance with legitimate rules and requests is more likely for members who identify with the organization and are loyal to it. Compliance is also more likely for members who have an internalized value that it is proper to obey authority figures, show respect for the law, and follow tradition. Acceptance of authority also depends on whether the agent is perceived to be a legitimate occupant of his or her leadership position. The specific procedures for selecting a leader are usually based on tradition and the provisions of a legal charter or constitution. Any deviation from the selection process considered legitimate by members will weaken a new leader's authority.

The amount of legitimate power is also related to a person's scope of authority. Higher-level managers usually have more authority than lower-level managers, and a manager's authority is usually much stronger in relation to subordinates than in relation to peers, superiors, or outsiders. However, even for a target person who is not a subordinate, the agent may have the legitimate right to make requests necessary to carry out job responsibilities, such as requests for information, supplies, support services, technical advice, and assistance in carrying out interrelated tasks.

A manager's scope of authority is usually delineated by documents such as an organization charter, a written job description, or an employment contract, but considerable ambiguity about it often remains (Davis, 1968; Reitz, 1977). People evaluate not only whether a request or order falls within a leader's scope of authority, but also whether it is consistent with the basic values, principles, and traditions of the organization or social system. The legitimacy of a request may be questioned if it contradicts basic values of the organization or the larger society to which members of the organization belong. For example, soldiers may disobey an order to shoot everyone in a village that has aided insurgents, because the soldiers perceive this use of excessive force to be contrary to basic human rights.

Reward Power

Reward power is the perception by the target person that an agent can provide important resources and rewards desired by the target person. Reward power stems in part from formal authority to allocate resources and rewards, and it varies greatly across organizations and from one type of management position to another within the same organization. More control over scarce resources is usually authorized for high-level executives than for lower-level managers. Executives have authority to make decisions about the allocation of resources to various subunits and activities, and they have the right to review and modify resource allocation decisions made at lower levels.

Reward power depends not only on a manager's actual control over resources and rewards, but also on the target person's perception that the agent has the capacity and willingness to provide promised rewards. The target person's perception of agent reward power is more important than the agent's actual control over rewards. Sometimes reward power can influence people even when the agent makes no overt influence attempt. People are likely to act more deferential and helpful toward someone with high reward power in the hopes of getting rewards in the future.

The authority relationship is an important determinant of reward power. Managers usually have much more reward power over subordinates than over peers or superiors. One form of reward power over subordinates is the authority to give pay increases, bonuses, or other economic incentives to deserving subordinates. Reward power is derived also from control over tangible benefits such as a promotion, a better job, a better work schedule, a larger operating budget, a larger expense account, and status symbols such as a larger office or a reserved parking space. Possible constraints on a manager's reward power include any formal policies or agreements that specify how rewards must be allocated.

A source of reward power in lateral relations is dependence of a peer on the agent for some types of resources, information, and assistance. Trading of favors needed to accomplish task objectives is a common form of influence among peers in organizations, and research indicates that it is important for the success of middle-level managers (Cohen & Bradford, 1989; Kaplan, 1984; Kotter, 1982; Strauss, 1962).

Upward reward power of subordinates over their boss is limited in most organizations. Few organizations provide a formal mechanism for subordinates to evaluate leaders. Nevertheless, subordinates usually have some indirect influence over the leader's reputation and prospects for a pay increase or promotion. If subordinates perform well, the reputation of their manager will usually be enhanced. Some subordinates may also have upward reward power based on their ability to acquire resources outside of the formal authority system of the organization, as in the following example:

A department chairperson was able to obtain discretionary funds from grants and contracts. Sharing these funds with the college dean who lacked discretionary funds provided more influence over decisions affecting the department.

Coercive Power

A leader's coercive power over subordinates is based on authority over punishments, which varies greatly across different types of organizations. The coercive power of military and political leaders is usually greater than that of corporate managers. Over the last two centuries, there has been a general decline in use of coercive power by most types of leaders. For example, most managers once had the right to dismiss employees for any reason they thought was justified. The captain of a ship could flog sailors who were disobedient or who failed to perform their duties diligently. Military officers could execute a soldier for desertion or failure to obey an order during combat. Nowadays, these forms of coercive power are prohibited or sharply restricted in many nations.

Lateral relations provide few opportunities for using coercion in a way that is considered legitimate. If the peer is dependent on the manager for assistance in performing important tasks, the manager may threaten to withhold cooperation if the peer fails to carry out a request. However, because mutual dependencies usually exist between managers of different subunits, coercion may elicit retaliation and escalate into a conflict that benefits neither party.

The coercive power that subordinates have over superiors varies greatly from one kind of organization to another. In many organizations, subordinates have the capacity to indirectly influence the performance evaluation of their boss. Subordinates can damage the reputation of the boss if they restrict production, sabotage operations, initiate grievances, hold demonstrations, or make complaints to higher management. In many organizations subordinates have sufficient counterpower to remove a leader or prevent the leader from being reelected. For an unpopular political leader, the ultimate form of coercive power for opponents of the leader is a violent revolution that results in the leader's imprisonment, death, or exile.

Referent Power

Referent power is derived from a target person's strong feelings of affection, admiration, and loyalty toward the agent. People are usually willing to do special favors for a friend, and they are more likely to carry out requests made by someone who is greatly admired. The strongest form of referent power involves the influence process called personal identification (Kelman, 1958).

Strong referent power will tend to increase the agent's influence over the target person even without any explicit effort by the agent to invoke this power. People are more likely to carry out requests made by an agent with strong referent power. When the relationship is characterized by a strong bond of love or friendship, the target person may do things the agent is perceived to want, even without being asked.

Referent power is an important source of influence over subordinates, peers, and superiors, but it has limitations. A request based solely on referent power should be commensurate with the extent of the target person's loyalty and friendship toward the leader. Some things are simply too much to ask, given the nature of the relationship. When requests are extreme or made too frequently, the target person may feel exploited. The result of such behavior may be to undermine the relationship and reduce the agent's referent power.

Expert Power

Task-relevant knowledge and skill are major sources of personal power in organizations. Unique knowledge about the best way to perform a task or solve an important problem provides potential influence over subordinates, peers, and superiors. However, expertise is a source of power only if others are dependent on the agent for advice. The more important a problem is to the target person, the greater the power derived by the agent from possessing the necessary expertise to solve it. Dependency is increased when the target person cannot easily find another source of advice besides the agent (Hickson, Hinings, Lee, Schneck, & Pennings, 1971; Patchen, 1974).

It is not enough for the agent to possess expertise; the target person must recognize this expertise and perceive the leader to be a reliable source of information and advice. In the short run, perceived expertise is more important than real expertise, and an agent may be able to fake it for a time by acting confident and pretending to be an expert. However, over time, as the agent's knowledge is put to the test, target perceptions of the agent's expertise are likely to become more accurate. Thus, it is essential for leaders to develop and maintain a reputation for strong expertise and credibility.

Actual expertise is gained through a continual process of education and practical experience. For example, in many professions it is important to keep informed about new developments by reading technical publications and attending workshops and seminars. Evidence of expertise can be displayed in the forms of diplomas, licenses, and awards. However, the most convincing way to demonstrate expertise is by solving important problems, making good decisions, providing sound advice, and successfully completing challenging but highly visible projects. An extreme tactic is to intentionally but covertly precipitate crises just to demonstrate the ability to deal with them (Goldner, 1970; Pfeffer, 1977a).

Specialized knowledge and technical skill will remain a source of power only as long as dependence on the person who possesses them continues. If a problem is permanently solved or others learn how to solve it by themselves, the agent's expertise is reduced. Thus, people sometimes try to protect their expert power by keeping procedures and techniques shrouded in secrecy, by using technical jargon to make the task seem more complex and mysterious, and by destroying alternate sources of information about task procedures such as written manuals, diagrams, blueprints, and computer programs (Hickson et al., 1971).

When the agent has a lot of expert power and is trusted as a reliable source of information and advice, the target person may carry out a request without receiving any explanation for it. One example is a patient who takes medicine prescribed by a doctor without knowing much about the medicine.

Another example is an investor who purchases stocks recommended by a financial consultant without knowing much about the companies that issued the stocks. However, it is rare for leaders to possess this much expert power. A leader's expertise can be used to present logical arguments and evidence that appears credible. Successful influence depends on the leader's credibility and persuasive communication skills in addition to technical knowledge and analytical ability.

Information Power

Another important source of power is control over information (Raven, 1965). This type of power involves both the access to vital information and control over its distribution to others. Managerial positions often provide opportunities to obtain information that is not directly available to subordinates or peers. Boundary role positions (e.g., marketing, purchasing, public relations) provide easier access to important information about events in the external environment of an organization. However, regardless of the type of position, useful information does not appear as if by magic, and one must actively cultivate a network of sources to provide it (Kotter, 1982).

A leader who controls the flow of vital information about outside events has an opportunity to interpret these events for subordinates and influence their perception and attitudes. Some managers distort information to persuade people that a particular course of action is desirable. Examples of information distortion include selective editing of reports and documents, biased interpretation of data, and presentation of false information. Some managers use their control over the distribution of information as a way to enhance their expert power and increase subordinate dependence. If the leader is the only one who "knows what is going on," subordinates will lack evidence to dispute the leader's claim that an unpopular decision is justified by circumstances. Control of information also makes it easier for a leader to cover up failures and mistakes that would otherwise undermine a carefully cultivated image of expertise (Pfeffer, 1977a). It has been common practice for political dictators to limit follower access to sources of information, and in recent times this practice has included limiting access to the Internet and preventing opponents from communicating any criticism of the leader's decisions.

Control over information can be a source of upward influence as well as downward and lateral influence. When subordinates have exclusive access to information needed by superiors to make decisions, this advantage can be used to influence the superior's decisions. Some subordinates actively seek this type of influence by gradually assuming more responsibility for collecting, storing, analyzing, and reporting operating information. If a leader is completely dependent on a subordinate to interpret complex analyses of operating information, the subordinate may be invited to participate directly in making decisions based on these analyses (Korda, 1975). Even when not actively participating in the decision process, a subordinate who provides most of the information for a decision has substantial influence over it (Pettigrew, 1972). Control over operating information also enables subordinates to magnify accomplishments, cover up mistakes, and exaggerate the amount of expertise and resources needed to do their work.

How Power Is Gained or Lost

Power is not a static condition; it changes over time due to changing conditions and the actions of individuals and coalitions. How power is gained or lost in organizations is described in social exchange theory, strategic contingencies theory, and theories about institutionalization of power.

Social Exchange Theory

In a group, the amount of status and power accorded to an elected or emergent leader by other members depends on the person's loyalty, demonstrated competence, and contribution to the attainment of shared objectives (Hollander, 1958, 1980; Jacobs, 1970). The contribution may involve control over scarce resources, access to vital information, or skill in dealing with critical task problems. In addition to increased status and influence, a person who has demonstrated good judgment accumulates "idiosyncrasy credits" and is allowed more latitude to deviate from nonessential group norms. The authority and position power for appointed leaders make them less dependent on subordinate evaluation of their competence, but they will also gain influence from repeated demonstration of expertise and loyalty to subordinates.

Innovation by a leader can be a double-edged sword. Success resulting from innovation leads to greater credit, but failure leads to greater blame. When a member makes an innovative proposal that proves to be successful, the group's trust in the person's expertise is confirmed, and even more status and influence may be accorded to the person. When an innovative proposal results in failure, the person is likely to lose status and influence. More power is lost if failure appears to be due to poor judgment or incompetence rather than to circumstances beyond the leader's control, or if the leader is perceived to have pursued selfish motives rather than loyally serving the group. Selfish motives and irresponsibility are more likely to be attributed to a leader who willingly deviates from group norms and traditions. The extent of a leader's loss of status and influence following failure depends in part on how serious the failure is to the group. A major disaster results in greater loss of esteem than a minor setback. Loss of status also depends on the amount of status the leader had prior to the failure. More is expected of a leader with high status, and such a leader will lose more status if perceived to be responsible for failure. Innovation is not only accepted but also expected of leaders when necessary to deal with serious problems and obstacles. A leader who fails to show initiative and deal decisively with serious problems will lose esteem and influence, just as a leader who proposes actions that are unsuccessful.

Social exchange theory emphasizes expert power and authority, and other forms of power do not receive much attention. For example, the theory does not explain how reciprocal influence processes affect a leader's reward and referent power. Most of the evidence for the theory is from research with small groups in a laboratory setting, and the results are not consistent across studies (Hollander, 1960, 1961, 1980; Stone & Cooper, 2009). Longitudinal field research in organizations would be useful to test the theory and determine if it applies to other types of power.

Strategic Contingencies Theory

Strategic contingencies theory explains how some organizational subunits gain or lose power to influence important decisions such as determination of the organization's competitive strategy and the allocation of resources to subunits and activities (Hickson et al., 1971). The theory postulates that the power of a subunit depends on three factors: (1) expertise in coping with important problems, (2) centrality of the subunit within the workflow, and (3) the extent to which the subunit's expertise is unique rather than substitutable.

All organizations must cope with critical contingencies, especially problems in the technological processes used to carry out operations and problems in adapting to unpredictable events in the environment. Success in solving important problems is a source of expert power for subunits, just as it is for individuals. The opportunity to demonstrate expertise and gain power from it is much greater for a subunit that has responsibility for dealing with critical problems. A problem is critical if it is clearly essential for the survival and prosperity of the organization.

The importance of a particular type of problem is greater as the degree of interdependence among subunits increases; other subunits cannot perform their own functions unless this type of problem is handled effectively. An individual or subunit will gain more power over important decisions if the critical functions cannot be performed by someone else or made easier by development of standard procedures. In other words, the more unique and irreplaceable the expertise required to solve critical problems, the more power is gained from possessing this expertise.

Increased expert power can result in increased legitimate power. People with valuable expertise are more likely to be appointed or elected to positions of authority in the organization. Subunits with critical expertise are likely to have more representation on boards or committees that make important decisions for the organization.

Some support for the theory was found in several studies (Brass, 1984, 1985; Hambrick, 1981; Hills & Mahoney, 1978; Hinings, Hickson, Pennings, & Schneck, 1974; Pfeffer & Moore, 1980; Pfeffer & Salancik, 1974). However, the theory fails to take into account the possibility that a powerful subunit or coalition can use its power to protect its dominant position in the organization by enhancing its perceived expertise and by denying potential rivals an opportunity to demonstrate their greater expertise.

Institutionalization of Power

The process for using political tactics to increase influence or protect existing power sources is called “institutionalization.” Having power makes it easier to use political tactics for influencing important decisions in the organization. A powerful subunit can get its members appointed to key leadership positions where they will promote the subunit’s objectives. When it is not possible to control key decisions directly, it may be possible to influence them indirectly by determining the procedures and criteria that will be used in making the decisions.

A powerful subunit or coalition is often able to use its power to maintain a dominant position even after their expertise is no longer critical to the organization (Pfeffer, 1981; Salancik & Pfeffer, 1977). Ambiguity about the nature of the environment and how it is changing provides an opportunity for top executives to interpret events in a biased manner, to magnify the importance of their expertise, and to justify their policies. Control over distribution of information about how well the organization is performing allows top executives to exaggerate the success of past decisions and cover up mistakes. The power of top management can also be used to deny others the resources and opportunity needed to demonstrate their superior expertise. Critics and potential rivals can be silenced, co-opted, or expelled from the organization (Pfeffer, 1981).

The evolutionary shift in power described by strategic contingencies theory can be delayed by the use of these political tactics, but if top management lacks the expertise to develop an appropriate strategy for responding to changes in the environment, the performance of the organization will decline. This process will occur much faster when the organization has strong competition for its products and services, and competitors are able to adapt more rapidly to changes in the environment. Unless the organization replaces top management, it will eventually go bankrupt or be taken over by outsiders who desire its assets.

Consequences of Power

The amount of overall power that is necessary for effective leadership and the mix of different types of power are questions that research has only begun to answer. Studies on the consequences of leader power are inconclusive, but findings indicate that effective leaders have more

expert and referent power than less effective leaders, and they rely on their personal power more than on their position power (Hinkin & Schriesheim, 1989; Podsakoff & Schriesheim, 1985; Rahim, 1989; Yukl & Falbe, 1991). However, several of the power studies also indicate that it is beneficial for leaders to have at least a moderate amount of position power (e.g., Dunne, Stahl, & Melhart, 1978; Rahim & Afza, 1993; Thambain & Gemmill, 1974; Warren, 1968; Yukl & Falbe, 1991).

The amount of necessary power for a leader will depend on what needs to be accomplished and on the leader's skill in using the available power. Some leadership situations require more power than others for the leader to be effective. More influence is necessary in an organization where major changes are required, but there is strong initial opposition to the leader's proposals for change. It is especially difficult for a leader who recognizes that the organization will face a major crisis in coming years, a crisis that can be overcome only if preparations are begun immediately and short-term sacrifices are made, but the evidence of the coming crisis is not yet sufficiently strong to convince key members to support the necessary changes. In such situations, a leader will need sufficient expert and referent power to persuade people that change is necessary and desirable, or sufficient position and political power to overcome the opposition and buy time to show that the proposed changes are necessary and effective. A combination of personal and position power increases the likelihood of success, but forcing change is always risky. Maurer (1996, p. 177) describes one successful example:

When Leonard Bernstein became conductor of the Vienna Philharmonic, he reintroduced the symphonies of Gustav Mahler. The orchestra hated Mahler; they felt his music was overblown and pompous... Although Bernstein certainly had the power to program whatever he wished, it was a risky move. Orchestras notoriously show their disdain for conductors they disrespect by engaging in malicious compliance. All the notes are correct—so no one can be reprimanded—but they play without spirit... Although [they did not agree with Bernstein's] decision... he was highly respected by the members of the orchestra... He was a world class musician. So, for Leonard Bernstein they played Mahler beautifully. Eventually, it seems, most of the orchestra grew to enjoy playing the music of their hometown boy.

Questions about the optimal mix of power for leaders are complicated by the interdependence among different sources of power. The distinction between position and personal power is sometimes convenient, but it should not be overdrawn. Position power is important, not only as a source of influence but also because it can be used to enhance a leader's personal power. Control over information complements expert power based on technical skill by giving the leader an advantage in solving important problems and by enabling a leader to cover up mistakes and exaggerate accomplishments. Reward power facilitates development of a deeper exchange relationship with subordinates, and when used skillfully in a way that is generous and fair, it can enhance a leader's referent power. The authority to make decisions and the upward influence to get them approved enable a leader to demonstrate expertise in problem solving, and it also facilitates development of stronger exchange relationships with subordinates. Some coercive power is necessary to buttress legitimate and expert power when a leader needs to influence compliance with rules and procedures that are unpopular but necessary to do the work and avoid serious accidents. Likewise, coercive power is needed by a leader to restrain or banish rebels and criminals who would otherwise disrupt operations, steal resources, harm other members, and cause the leader to appear weak and incompetent.

However, too much position power may be as detrimental as too little if the leader is tempted to rely on it instead of developing personal power or using other approaches

(e.g., consultation, persuasion) for influencing people to comply with a request or support a change. The negative effects of high position power on a leader have been found in laboratory and field experiments as well as survey studies (Bendahan, Zehnder, Pralong, & Antonakis, 2015; Foulk, Lanaj, Tu, Erez, & Archambreau, 2015; Glad, 2002; Kipnis, 1972; Tost, Gino, & Larrick, 2013). Leaders with strong position power perceived subordinates as objects of manipulation, used rewards more often to influence subordinates, maintained more social distance from subordinates, and were less likely to involve subordinates in making decisions. When the power of such leaders is threatened, even more disruptive forms of behavior may be used by leaders (Williams, 2014). In general, a leader should have only a moderate amount of position power, although the optimal amount will vary somewhat depending on the situation. Personal power is less susceptible to misuse, because it erodes quickly when a leader acts contrary to the interests of followers. Nevertheless, the potential for corruption remains. A leader with extensive expert power or charismatic appeal will be tempted to act in ways that will eventually lead to failure (McClelland, 1975).

The corrupting influence of high power can be reduced by holding leaders accountable for the way they use their power (Rus, Van Knippenberg, & Wisse, 2012). Rules and policies can be enacted to regulate the exercise of position power, especially reward and coercive power. Grievance and appeals procedures can be enacted, and independent review boards established to protect subordinates against misuse of power by leaders. Bylaws, charter provisions, and official policies can be drafted to require leaders to consult with subordinates and obtain their approval on specified types of decisions. Regular attitude surveys can be conducted to measure subordinate satisfaction with their leaders. When appropriate, periodic elections or votes of confidence can be held to determine whether the leader should continue in office. Recall procedures can be established to remove incompetent leaders in an orderly manner.

Studies of the amount of influence exercised by people at different levels in the authority hierarchy of an organization reveal that effective leaders create relationships in which they have strong influence over subordinates but are also receptive to influence from them. Leaders can facilitate reciprocal influence by encouraging subordinates to participate in making important decisions, and by fostering and rewarding innovation. Instead of using their power to dictate how things will be done, effective executives empower members of the organization to discover and implement new and better ways of doing things.

Guidelines for Using Power

The research on power is still too limited to provide clear guidelines on the best ways to exercise it. Nevertheless, by drawing on the findings from research in many different social science disciplines, it is possible to develop some tentative guidelines for leaders (Yukl & Taber, 1983). The guidelines are usually worded in terms of influencing subordinates, but many apply as well to influencing other people. Some guidelines involve using influence tactics described later in the chapter.

Legitimate Power

Authority is usually exercised with a request, order, or instruction that is communicated orally or in writing. The way in which legitimate power is exercised affects the outcome (see Table 6-1). A polite request is more effective than an arrogant demand, because it does not emphasize a status gap or imply target dependence on the agent. Use of a polite request is

TABLE 6-1 Guidelines for Using Legitimate Authority

- Make polite, clear requests.
- Explain the reasons for a request.
- Don't exceed your scope of authority.
- Verify authority if necessary.
- Follow proper channels.
- Follow up to verify compliance.
- Insist on compliance if appropriate.

especially important for people who are likely to be sensitive about status differentials and authority relationships, such as someone who is older than the agent or who is a peer rather than a subordinate.

Making a polite request does not imply you should plead or appear apologetic about a request. To do so risks the impression that the request is not worthy or legitimate, and it may give the impression that compliance is not really expected. A legitimate request should be made in a firm, confident manner. In an emergency situation, it is more important to be assertive than polite. A direct order by a leader in a commanding tone of voice is sometimes necessary to shock subordinates into immediate action in an emergency. In this type of situation, subordinates associate confident, firm direction with expertise as well as authority. To express doubts or appear confused risks the loss of influence over subordinates.

The order or request should be stated very clearly using language that the target person can understand. If the request is complex, it is advisable to communicate it in writing (e.g., work order, memo, email) as well as orally. Oral requests should be made directly to the target person rather than relying on someone else to relay it to the target person. An intermediary may misinterpret the message, and you also lose the opportunity to assess the target person's reaction. If there is any question about your right to make a request or assignment, then it is important to verify this authority, which is a type of "legitimizing tactic" described later.

Instances of outright refusal by subordinates to carry out a legitimate order or request undermine the leader's authority and increase the likelihood of future disobedience. Orders that are unlikely to be carried out should not be given. Sometimes a subordinate will delay in complying with an unusual or unpleasant request to test whether the leader is really serious about it. If the leader does not follow up the initial request to check on compliance, the subordinate is likely to conclude that the request may be ignored.

Reward Power

Reward power can be used in several ways (see Table 6-2). When the agent offers to give the target person a reward for carrying out a request or performing a task, it is called an exchange tactic, and the use of such tactics is described in more detail later in this chapter. Another way to use reward power is to create a formal incentive system that provides tangible rewards for good behavior or a monetary bonus for performance that exceeds standards.

How reward power is used affects the outcome. Since compliance is most likely if the reward is something valued by the target person, it is essential to determine what rewards are valued, which will not be the same for everyone. Another essential condition is that the agent must be perceived as a credible source of the reward, and credibility is undermined by making unrealistic promises or failing to provide a promised reward.

TABLE 6-2 Guidelines for Using Reward Power

- Offer the type of rewards that people desire.
- Offer rewards that are fair and ethical.
- Don't promise more than you can deliver.
- Explain the criteria for giving rewards and keep it simple.
- Provide rewards as promised if requirements are met.
- Use rewards symbolically (not in a manipulative way).

Even when the conditions are favorable for using rewards, they seldom motivate someone to put forth extra effort beyond what is required to complete the task and get the reward. The target person may be tempted to neglect aspects of the task not included in the specification of performance criteria or aspects not easily monitored by the agent. If rewards are used in a manipulative manner, they may result in resistance rather than compliance. The power to give or withhold rewards may cause resentment among people who dislike being dependent on the whims of a powerful authority figure, or who believe that the agent is manipulating them to his or her own advantage. Even an attractive reward may be ineffective if it is seen as a bribe to get the target person to do something improper or unethical.

When rewards are used frequently as a source of influence, people may come to perceive their relationship to the leader in purely economic terms. They will expect a reward every time they are asked to do something new or unusual. It is more satisfying for both parties to view their relationship in terms of mutual loyalty and friendship. Rather than using rewards as incentives in an impersonal, mechanical way, they should be used in a more symbolic manner to recognize accomplishments and express personal appreciation for special contributions or exceptional effort. Used in this way, reward power can be a source of increased referent power.

Coercive Power

Coercive power is invoked by a threat or warning that the target person will suffer undesirable consequences for noncompliance with a request, rule, or policy. The threat may be explicit, or it may be only a vague comment that the person will be sorry for failing to do what the agent wants. The likelihood of compliance is greatest when the threat is perceived to be credible, and the target person strongly desires to avoid the threatened punishment. Credibility will be undermined by rash threats that are not carried out despite noncompliance by the target person. Sometimes it is necessary to establish credibility by demonstrating the will and ability to cause unpleasant consequences for the target person. However, even a credible threat may be unsuccessful if the target person refuses to be intimidated or believes that a way can be found to avoid compliance without being detected by the agent.

It is best to avoid using coercion except when absolutely necessary, because it is difficult to use and likely to result in undesirable side effects. Coercion often arouses anger or resentment, and it may result in retaliation. In work organizations, the most appropriate use of coercion is to deter behavior detrimental to the organization, such as illegal activities, theft, violation of safety rules, reckless acts that endanger others, and direct disobedience of legitimate requests. Coercion is not likely to result in commitment, but when used skillfully in an appropriate situation, there is a reasonably good chance that it will result in compliance. Table 6-3 has guidelines for using coercion primarily to maintain discipline with subordinates (Arvey & Ivancevich, 1980; Preston & Zimmerer, 1978; Schoen & Durand, 1979).

TABLE 6-3 Guidelines for Using Coercive Power to Maintain Discipline

1. Explain rules and requirements, and ensure that people understand the serious consequences of violations.
2. Respond to infractions promptly and consistently without showing any favoritism to particular individuals.
3. Investigate to get the facts before using reprimands or punishment, and avoid jumping to conclusions or making hasty accusations.
4. Except for the most serious infractions, provide sufficient oral and written warnings before resorting to punishment.
5. Administer warnings and reprimands in private, and avoid making rash threats.
6. Stay calm and avoid the appearance of hostility or personal rejection.
7. Express a sincere desire to help the person comply with role expectations and thereby avoid punishment.
8. Invite the person to suggest ways to correct the problem, and seek agreement on a concrete plan.
9. If noncompliance continues after warnings have been made, use punishments that are legitimate, fair, and commensurate with the seriousness of the infraction.

Expert Power

Some guidelines for using expert power are shown in Table 6-4. When an agent clearly has much more relevant expertise than target persons, the effects of the expert power will be automatic. For example, a renowned expert physician recommends a form of treatment, and the patient accepts the recommendation without any doubts. However, in many cases an agent will not have such an obvious advantage in expertise, and it will be necessary to use the expertise to provide information, explanations, and evidence that support a request or proposal. If there is any question about the agent's expertise, it is helpful to verify it by providing appropriate documents and evidence, or by describing prior success in dealing with similar problems.

Proposals or requests should be made in a clear, confident manner, and the agent should avoid making contradictory statements or vacillating between inconsistent positions. However, it is important to remember that superior expertise can also cause resentment if used in a way that implies the target person is ignorant or helpless. The agent may lecture target persons in an arrogant, condescending manner, rudely interrupt any attempted replies, and dismiss any objections or concerns without serious consideration. Even when the agent is acknowledged to have more expertise, the target person usually has some relevant information, ideas, and concerns that should be considered.

TABLE 6-4 Ways to Use and Maintain Expert Power

- Explain the reasons for a request or proposal and why it is important.
- Provide evidence that a proposal will be successful.
- Don't make rash, careless, or inconsistent statements.
- Don't lie, exaggerate, or misrepresent the facts.
- Listen seriously to the person's concerns and suggestions.
- Act confident and decisive in a crisis.

TABLE 6-5 Ways to Gain and Use Referent Power

- Show acceptance and positive regard.
- Be supportive and helpful.
- Use sincere forms of ingratiation.
- Keep promises and commitments.
- Make self-sacrifices to benefit others.
- Lead by example (use role modeling).
- Explain the personal importance of a request.

Referent Power

Some specific ways to gain and use referent power are summarized in Table 6-5. Referent power is increased by showing concern for the needs and feelings of others, demonstrating trust and respect, and treating people fairly. However, to achieve and maintain strong referent power usually requires more than just flattery, favors, and charm. Referent power ultimately depends on the agent's character and integrity. Over time, actions speak louder than words, and someone who tries to appear friendly but manipulates and exploits people will lose referent power. Integrity is demonstrated by being truthful, expressing a consistent set of values, acting in a way that is consistent with one's espoused values, and carrying out promises and agreements (French & Raven, 1959).

One way to exercise referent power is through "role modeling." A person who is well liked and admired can have considerable influence over others by setting an example of proper and desirable behavior for them to imitate. When there is strong personal identification, imitation of agent behavior is likely to occur even without any conscious intention by the agent. However, because people also imitate undesirable behavior in someone they admire, it is important to be aware of the examples that one sets.

An agent with limited referent power may find it useful to remind the target person of favors done in the past or events when their friendship was very important. Finally, when relying on referent power as a source of influence, it is important to ensure that the target person understands how important a request is for you. An example is to say: "I would really appreciate it if you can do this, because it is really important to me."

Influence Tactics and Outcomes

Knowledge about effective leadership is also provided by studying influence processes involving managers and their subordinates, bosses, other members of the organization, and outsiders (e.g., clients, customers, suppliers, government officials). This introduction describes three general types of influence tactics and three distinct task-related outcomes for an influence attempt involving proactive tactics. The final part of the chapter describes eleven specific types of proactive influence tactics, their likely outcomes, and guidelines for using the tactics.

General Types of Influence Tactics

The type of behavior used intentionally to influence the attitudes and behavior of another person is usually called an influence tactic. Three general types of influence tactics can be differentiated according to their primary purpose. Some specific influence tactics can be used for more than one purpose but may not be equally effective for the different purposes.

Impression Management Tactics. These tactics are intended to influence people to like the agent (e.g., provide praise, act friendly, offer assistance) or to have a favorable evaluation of the agent (e.g., describe past achievements). Impression management tactics can be used by leaders to influence followers, or by followers to influence a leader (see Chapter 10).

Political Tactics. These tactics are used to influence organizational decisions or otherwise gain benefits for an individual or group. One type of political tactic involves an attempt to influence how important decisions are made and who makes them. Examples include influencing the agenda for meetings to include your issues, influencing decision makers to use criteria that will bias decisions in your favor, and selecting decision makers who will promote and defend your interests. Political tactics are also used to defend against opponents and silence critics. Some political tactics involve deception, manipulation, and abuse of power, and ethical aspects of power and influence are discussed in Chapter 9.

Proactive Tactics. These tactics have an immediate task objective, such as getting the target person to carry out a new task, change the procedures used for a current task, provide assistance on a project, or support a proposed change. The proactive influence tactics are useful when a simple request or command is unlikely to have the desired outcome. Eleven types of proactive tactics are described later in this chapter. Some of the eleven tactics can also be used to resist or modify a request from someone who is attempting to influence you.

Influence Outcomes for Proactive Tactics

One useful basis for evaluating the success of an influence attempt involving proactive tactics is to examine the outcome. The agent may achieve the intended effects on the target, or the outcome may be less than was intended. For an influence attempt that involves a single target person, it is useful to differentiate among three distinct outcomes that involve the target person's willingness to carry out the agent's request or proposal.

Commitment. The target person makes a great effort to carry out the request or implement the decision effectively. This outcome is usually the most successful one for a complex, difficult task that requires enthusiasm, initiative, and persistence by the target person in overcoming obstacles.

Compliance. The target person is willing to carry out a request but is not enthusiastic about it and will make only a minimal effort. With compliance, the target person is not convinced that the decision or action is the best thing to do or even that it will be effective for accomplishing its purpose. However, for a simple, routine request, compliance may be all that is necessary to accomplish the agent's task objectives.

Resistance. The target person is opposed to the proposal or request, rather than merely indifferent about it. Resistance can take several different forms: (1) refuse to carry out the request, (2) explain why it is impossible to carry out the request, (3) try to persuade the agent to withdraw or change the request, (4) ask higher authorities to overrule the agent's request, (5) delay acting in the hope that the agent will forget about the request, and (6) make a pretense of complying but try to sabotage the task. Resistance is usually regarded as an unsuccessful outcome, but it can be beneficial if it helps the agent avoid a serious mistake. For example, you develop a detailed plan for a new project, but people find some serious flaws that need to be fixed before they will implement the plan.

The target person's reaction to the agent's request is not the only basis for evaluating success. The proactive tactics can also affect interpersonal relationships and the way other people perceive the agent (e.g., ethical, supportive, likable, competent, trustworthy, strong). A few of the proactive tactics (i.e., ingratiation, collaboration, consultation, apprising) may improve the agent–target relationship, and the use of hard-pressure tactics can weaken the relationship.

Types of Proactive Influence Tactics

As explained earlier, behavior used intentionally to gain acceptance of a request or support for a proposal is called a proactive influence tactic. Two research programs used inductive and deductive approaches to identify distinct types of proactive tactics.

In an early research program (Kipnis, Schmidt, & Wilkinson, 1980), a preliminary taxonomy was developed by analyzing critical incidents that described successful and unsuccessful influence attempts. Then, the tactics identified with this inductive approach were used to develop an agent self-report questionnaire called the Profiles of Organizational Influence Strategies (POIS). The POIS was used in a follow-up study by Schriesheim and Hinkin (1990) with samples of agents who rated their own use of the tactics in upward influence attempts with their boss. The study found support for six of the proposed tactics (i.e., rationality, exchange, ingratiation, assertiveness, coalition, and upward appeal). Limited support for a revised version of the questionnaire was also found in a subsequent study of upward influence (Hochwarter, Pearson, Ferris, Perrewé, & Ralston, 2000). The original and revised versions of the POIS have been used in many studies on proactive tactics (see Ammeter, Douglas, Gardner, Hochwarter, & Ferris, 2002).

A more recent program of research was carried out to identify proactive tactics used to influence subordinates and peers as well as bosses (Yukl, Chavez, & Seifert, 2005; Yukl, Lepsinger, & Lucia, 1992; Yukl, Seifert, & Chavez, 2008). The research program involved a series of studies conducted over a period of more than a decade using several different research methods (i.e., critical incidents, diaries, questionnaires, experiments, and scenarios). The eleven proactive influence tactics identified in this research program are defined in Table 6-6. Five of the tactics are similar to ones in the POIS (rational persuasion, ingratiation, exchange, pressure, and coalition), and upward appeals are treated as a type of coalition tactic. Seven other tactics were also identified in the critical incidents or suggested by theories about leadership and power. The Influence Behavior Questionnaire (IBQ) was developed in the survey research to measure target ratings of agent influence behavior. Target ratings are usually more accurate than the type of agent's self-ratings used in the POIS. The remainder of this section describes each type of tactic and how it is commonly used in organizations to influence a subordinate, peer, or boss.

Rational Persuasion

Rational persuasion involves the use of explanations, logical arguments, and factual evidence to explain why a request or proposal will benefit the organization or help to achieve an important task objective. This tactic may also involve presentation of factual evidence that a project or change is likely to be successful. A strong form of rational persuasion (e.g., a detailed proposal, elaborate documentation) is much more effective than a weak form of rational persuasion (e.g., a brief explanation, an assertion without supporting evidence).

TABLE 6-6 Definition of the 11 Proactive Influence Tactics

Rational Persuasion:	The agent uses logical arguments and factual evidence to show a proposal or request is feasible and relevant for attaining important task objectives.
Apprising:	The agent explains how carrying out a request or supporting a proposal will benefit the target personally or help advance the target person's career.
Inspirational Appeals:	The agent makes an appeal to values and ideals or seeks to arouse the target person's emotions to gain commitment for a request or proposal.
Consultation:	The agent encourages the target to suggest improvements in a proposal or to help plan an activity or change for which the target person's support and assistance are desired.
Collaboration:	The agent offers to provide relevant resources and assistance if the target will carry out a request or approve a proposed change.
Ingratiation:	The agent uses praise and flattery before or during an influence attempt, or expresses confidence in the target's ability to carry out a difficult request.
Personal Appeals:	The agent asks the target to carry out a request or support a proposal out of friendship, or asks for a personal favor before saying what it is.
Exchange:	The agent offers an incentive, suggests an exchange of favors, or indicates willingness to reciprocate at a later time if the target will do what the agent requests.
Coalition Tactics:	The agent seeks the aid of others to persuade the target to do something, or uses the support of others as a reason for the target to agree.
Legitimizing Tactics:	The agent seeks to establish the legitimacy of a request or to verify authority to make it by referring to rules, policies, contracts, or precedent.
Pressure:	The agent uses demands, threats, frequent checking, or persistent reminders to influence the target to carry out a request.

Source: Yukl et al. (2008).

Rational persuasion is a flexible tactic that can be used for most influence attempts and target persons. This tactic is very useful when the target person shares the agent's objectives but does not initially recognize that the agent's request or proposal is the best way to attain their shared objectives. The use of a rational appeal that involves evidence and predicted outcomes is more effective if the agent is perceived to have high expertise and credibility. Rational persuasion is unlikely to be effective if the agent and target have incompatible objectives, or the agent lacks expertise and credibility.

Apprising

Apprising involves an explanation of how a request or proposal is likely to benefit the target person as an individual. The benefits may involve the person's career advancement, job satisfaction, or compensation. Apprising may involve the use of facts and logic, but unlike rational persuasion, the benefits described are for the target person, not for the organization or the mission. Unlike exchange tactics, the benefits to be obtained by the target person are not something the agent will provide to the target, but rather something that is likely to happen when the agent's request is carried out or the proposal is implemented.

This tactic is more likely to be used with subordinates or peers than with bosses. Successful use of apprising requires unique knowledge about the likely personal benefits associated with an

activity or change, and a subordinate is much less likely than a superior to be a credible source of such knowledge. An exception is the situation where the subordinate is experienced but the boss is new to the organization.

Inspirational Appeals

This tactic involves an emotional or value-based appeal, in contrast to the logical arguments used in rational persuasion and apprising. An inspirational appeal is an attempt to develop enthusiasm and commitment by arousing strong emotions and linking a request or proposal to a person's needs, values, hopes, and ideals. Some bases for appealing to most people include their desire to be important, to feel useful, to support their values, to accomplish something worthwhile, to perform an exceptional feat, to be a member of the best team, or to participate in an exciting effort to make things better.

This tactic can be used in any direction, but it is especially appropriate for gaining commitment to work on a new project, and this type of request is most likely to be made with subordinates or peers. An inspirational appeal is also an appropriate tactic to gain support for a proposed change that involves values and ideals.

Consultation

This tactic involves inviting the target person to participate in planning how to carry out a request, revise a strategy, or implement a proposed change. Consultation can take a variety of forms, but unlike the leadership behavior with the same name, the target person is only invited to help determine how the objective should be attained, not to help decide what the objective should be. As with rational persuasion, consultation is more likely to be effective if the agent and target have shared objectives. Consultation is useful for discovering if the target person has concerns about the feasibility of a proposal or likely adverse consequences. The agent can explore ways to avoid or resolve any issues that are revealed (which involves the tactic called collaboration).

Consultation can be used in any direction, but it is likely to be used more often with subordinates and peers than with bosses. This tactic is especially appropriate when the agent has the authority to plan a task or make a change, and such authority is greatest in a downward direction. Consultation can be used in an attempt to gain support or approval from superiors for a proposed change or new project, but superiors already have authority to review such decisions and do not need an invitation from the subordinate to modify the proposal. In a lateral direction, consultation is very useful to elicit concerns and suggestions from peers who may not be committed to support an activity or change unless their needs and opinions are taken into account.

Exchange

This influence tactic involves the explicit or implicit offer to reward a person for doing what is requested. The tactic is especially appropriate for a request that offers no important benefits for the target person and would involve considerable effort and inconvenience. The benefit should be something valued enough by the target person to motivate compliance with a request. The promised benefit may involve tangible rewards, scarce resources, information, advice or assistance on another task, career support, or political support. An exchange tactic is unlikely to be effective unless the target person believes the agent is able to provide the promised benefit and can be trusted to actually deliver it.

Exchange tactics are more likely to be used in influence attempts with subordinates and peers than with bosses. Control over rewards is greatest in a downward direction and least in an upward direction. One type of reward that can be offered only to subordinates is a pay increase, bonus, promotion, better assignments, or a better work schedule. It is also more socially acceptable to offer incentives to subordinates than to bosses. Managers have little to offer bosses that is not already expected as part of their job responsibilities, and any incentive offered to a boss may be viewed as a bribe. Managers usually have some control over rewards desired by peers, but the rewards are more likely to be task related (e.g., provide resources, assistance, information, political support) rather than personal benefits.

Collaboration

This influence tactic involves an offer to provide necessary resources and/or assistance if the target person agrees to carry out a request or approve a proposal. Collaboration may seem similar to exchange in that both tactics involve an offer to do something for the target person. However, there are important differences in the underlying motivational processes and facilitating conditions. Exchange involves increasing the benefits to be obtained by carrying out a request, and it is especially appropriate when the benefits of compliance would otherwise be low for the target person. Collaboration involves reducing the difficulty or costs of carrying out a request, and it is especially appropriate when compliance would be difficult for the target person. Exchange usually involves an impersonal trade of unrelated benefits, whereas collaboration usually involves a joint effort to accomplish the same task.

Collaboration is used least often in an upward direction. A boss usually has more control over discretionary resources than subordinates and can usually require subordinate assistance on an essential activity. With subordinates and peers, there is more opportunity to propose ways to facilitate the target person's ability to carry out a request.

Ingratiation

Forms of ingratiation include giving compliments, doing unsolicited favors, acting deferential and respectful, and acting especially friendly and helpful before making a request. When ingratiation is perceived to be sincere, it tends to strengthen positive regard and make a target person more willing to consider a request.

This tactic is more likely to be used in influence attempts with subordinates or peers than with bosses. Praise and compliments can be used with anyone, but they are more credible and meaningful when the agent has higher status and expertise than the target person. Thus, ingratiation is likely to be viewed as less sincere when used in an influence attempt with a boss. Ingratiation may be viewed as manipulative if it is used just before asking for something; so in general, it is more useful as part of a long-term strategy for building cooperative relations than as a proactive influence tactic.

Personal Appeals

A personal appeal involves asking someone to do a favor based on friendship or loyalty to the agent, or it may also involve an appeal to the person's kindness and generosity. This influence tactic is not feasible when the target person dislikes the agent or is indifferent about what happens to the agent. A personal appeal is most useful for getting assistance or information or for requesting a personal favor unrelated to the work. The tactic is more socially

acceptable with a peer or outsider than with a subordinate or boss. It is awkward to request a personal favor from a subordinate or boss and should not be necessary except in very unusual circumstances.

Legitimizing Tactics

Legitimizing tactics involve attempts to establish one's legitimate authority or right to make a particular type of request. Legitimacy is unlikely to be questioned for a routine request that has been made and complied with many times before. However, legitimacy is more likely to be questioned when the request is unusual or the agent's authority is unclear. There are several different types of legitimizing tactics, most of which are mutually compatible.

Legitimizing tactics are most often relevant for influence attempts with peers or outsiders, where role relationships are often ambiguous and agent authority less well defined. For downward influence attempts with subordinates, legitimizing may be used when implementing major changes or for dealing with an unusual crisis. For upward influence attempts, legitimizing may be used for requests involving personnel matters, especially if the superior is new and unfamiliar with relevant policies, contract agreements, and standard practices.

Pressure

Pressure tactics include threats, warnings, and assertive behavior such as repeated demands or frequent checking to see if the person has complied with a request. Pressure tactics are sometimes successful in eliciting compliance with a request, particularly if the target person is just lazy or apathetic rather than strongly opposed to it. However, pressure is not likely to result in commitment and may have serious side effects. The harder forms (e.g., threats, warnings, demands) are likely to cause resentment and undermine working relationships. The softer forms (e.g., persistent requests, reminders that the person promised to do something) are more likely to gain compliance without undermining the agent's relationship with the target person.

Pressure tactics are most likely to be used with subordinates and least likely to be used with bosses. The authority and power needed to make threats or warnings credible is much greater in a downward direction than in a lateral or upward direction, and pressure is often considered more appropriate for influence attempts with subordinates than with peers or bosses.

Coalition Tactics

Coalition tactics involve getting help from other people to influence the target person to comply with a request or support a proposal. The coalition partners may be peers, subordinates, superiors, or outsiders. Coalition partners may actively participate in influence attempts with the target person, or the agent may only use their endorsement of a request or proposal. When a coalition partner actively participates in the effort to influence the target person, the influence attempt usually involves other influence tactics as well. For example, the coalition partner may use rational persuasion, exchange, or pressure to help influence the target person. When the other party who is helping the agent is the immediate superior of the target person, the process is sometimes called an upward appeal, but it is still an example of a coalition tactic rather than an entirely different type of proactive tactic.

Coalition tactics are more likely to be used to influence peers or bosses than subordinates, and it is especially appropriate to gain their support for a proposed change or new initiative. It is

seldom necessary to use coalition tactics to influence subordinates. Managers have many ways to influence subordinates, and in Western countries they are expected to do so without getting help from other people.

Power and Influence Behavior

Power and influence behavior are distinct constructs, but the relationship among specific forms of power, specific influence tactics, and influence outcomes is complex. Different types of effects are possible, and they are not mutually exclusive (see Figure 6-1).

Agent power may directly affect the agent's choice of influence tactics (as depicted by arrow #1). Some tactics require a particular type of power to be effective, and a leader with relevant power is more likely to use these tactics. For example, exchange tactics require reward power, which provides an agent with something of value to exchange with the target person. Strong forms of pressure such as warnings and threats are more likely to be used by an agent who has some coercive power over the target person. Rational persuasion is more likely to be used when the agent has expert power that includes the knowledge to explain why a request is important and feasible.

Some influence tactics may have a direct effect on target attitudes and/or behavior, regardless of the agent's power. However, in the majority of influence attempts, it is likely that power acts as a moderator variable to enhance or diminish the effectiveness of the tactics used by the agent. This moderator effect of power (depicted by arrow #2) is most likely to occur for the types of power directly relevant to the tactics used in an influence attempt. For example, expert power increases the effectiveness of rational persuasion. An agent with high reward power is likely to have more success offering an exchange than an agent with little reward power.

It is also possible that agent power can enhance the success of an influence tactic for which the power is not directly relevant (also depicted by arrow #2). An agent with strong referent power may be more successful when using rational persuasion to gain support for a proposal, because the target person will see the agent as more trustworthy. An agent with strong coercive power may be more successful in gaining compliance with a simple request, even though no pressure or exchange tactics are used. Strong expert power may increase the credibility of a request unrelated to the agent's expertise. For example, a famous scientist influences people to participate in a risky financial venture that does not involve the scientist's field of expertise.

Another possibility (depicted by arrow #3) is that agent power can influence the target person regardless of whether the agent makes any overt influence attempt. In organizations,

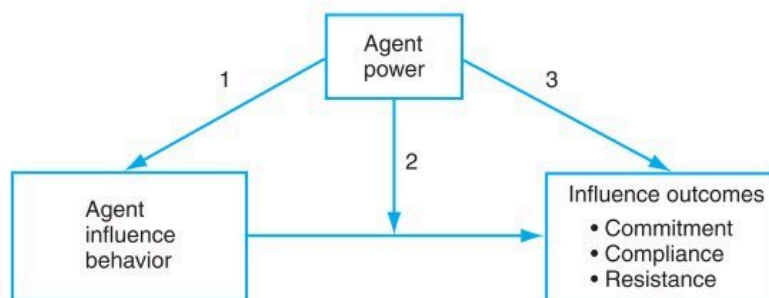


FIGURE 6-1 Relationships Among Agent Power, Influence Behavior, and Influence Outcomes

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people act more deferential toward somebody who has high position power, because they are aware of the possibility that the person can affect their job performance and career advancement. People are less likely to criticize or contradict a powerful agent, because they do not want to risk the agent's displeasure. People are more likely to cooperate with an agent who has strong referent power, even if the agent does nothing to encourage such cooperation.

Effectiveness of Proactive Tactics

Proactive influence tactics are not always needed in an influence attempt. When a request is clearly legitimate, relevant for the work, and something the target person knows how to do, then it is often possible to get target compliance by using a “simple request” based on legitimate power. However, when a person is likely to resist a simple request, the use of proactive influence tactics can help to make the influence attempt more successful. The influence tactics are especially useful for a request or proposal that is unusual, controversial, or difficult to do, or when the agent has little authority over the target person (e.g., a peer, boss, or client).

The effectiveness of each type of proactive tactic depends on several aspects of the situation in which it is used (e.g., Kipnis et al., 1980; Yukl & Falbe, 1990; Yukl, Falbe, & Youn, 1993; Yukl, Guinan, & Sottolano, 1995; Yukl, Kim, & Chavez, 1999; Yukl, Kim, & Falbe, 1996; Yukl & Tracey, 1992). Relevant aspects of the situation include the type of agent–target relationship, the agent's power and authority, the agent's interpersonal skills, the type of influence objective, and the extent to which the request is seen as appropriate and acceptable by the target person. A tactic is more likely to be successful if the target person perceives it to be a socially acceptable form of influence behavior, the agent has sufficient position and personal power, the agent has strong interpersonal skills, and if the tactic is used for a request that is legitimate and consistent with target values and needs.

The outcome of an influence attempt also depends on the extent to which the agent is trusted by the target and perceived to have integrity. Any tactic can be used in a way that is unethical. To preserve a reputation for integrity it is essential to avoid using tactics in a way that is deceptive or manipulative. The proactive tactics should be used in ethical ways to accomplish worthwhile objectives, not to exploit others for personal gain.

Even though the outcome of an influence attempt depends on the situation, research on consequences of influence attempts finds that some tactics tend to be generally more effective than others (e.g., Falbe & Yukl, 1992; Fu & Yukl, 2000; Lee, Han, Cheong, Kim, & Yun, 2017; Yukl, Fu, & McDonald, 2003; Yukl & Tracey, 1992). Findings in the research on tactic effectiveness and how the tactics are commonly used in different situations are summarized in Table 6-7. Research on how the tactics are used with different targets and how tactics are combined and sequenced is still limited, but those findings are also summarized in the table. This section of the chapter describes the findings about the relative effectiveness of the tactics when used individually and when combined and sequenced in different ways.

Effects of Individual Tactics

The five tactics that are generally most effective include rational persuasion, consultation, collaboration, inspirational appeals, and apprising. These “core tactics” are often successful for influencing target commitment to carry out a request or support a proposal. However, even these tactics have limitations and their effects depend greatly on how appropriate they are for the situation.

TABLE 6-7 Summary of Findings for Proactive Influence Tactics

Influence Tactic	Directional Use of Tactic	Sequencing Results	Used Alone or in Combination	General Effectiveness
Rational Persuasion	Widely used in all directions	Used more for initial request	Used frequently both ways	High
Inspirational Appeal	More down than up or lateral	No difference	Used most with other tactics	High
Consultation	More down and lateral than up	No difference	Used most with other tactics	High
Collaboration	More down and lateral than up	Not studied	Used most with other tactics	High
Apprising	More down than lateral or up	Not studied	Used most with other tactics	High
Ingratiation	More down and lateral than up	Used more for initial request	Used most with other tactics	Moderate
Exchange	More down and lateral than up	Used most for quick follow-up	Used both ways equally often	Moderate
Personal Appeal	More lateral than down or up	Used more for initial request	Used both ways equally often	Low/Moderate
Coalition Tactic	More lateral and up than down	Used most for delayed follow-up	Used both ways equally often	Low/Moderate
Legitimizing Tactic	More down and lateral than up	Used most for quick follow-up	Used most with other tactics	Low/Moderate
Pressure	More down than lateral or up	Used most for delayed follow-up	Used both ways equally often	Low

For example, apprising can be effective when the target person would benefit greatly by carrying out a request or supporting a proposal, but it is not useful if the person already recognizes the potential benefits or does not believe the agent's claims.

Exchange tactics are moderately effective for influencing subordinates and peers, but these tactics are difficult to use for proactive influence attempts with superiors, because subordinates usually lack control over resources and rewards desired by superiors. Personal appeals can be useful for influencing a target person with whom the agent has a friendly relationship, but this tactic is only relevant for certain types of requests (e.g., getting assistance, getting a personal favor, changing a scheduled meeting), and it is likely to result in target compliance rather than commitment.

Pressure and legitimating tactics are not likely to result in target commitment, but these tactics can be useful for eliciting compliance. As noted earlier, compliance is sometimes all that is needed to accomplish the objective of an influence attempt.

A coalition can be effective for influencing a peer or superior to support a change or innovation, especially if the coalition partners use direct tactics such as rational persuasion and inspirational appeals. However, use of a coalition is less likely to be effective if it involves the use of pressure tactics by coalition partners and is viewed as an attempt to “gang up” on the

target person. An upward appeal to an authority person should only be used as a last resort for resolving a conflict with a peer who can cause the failure of an important project.

Combining Tactics

It is often feasible for a manager to use more than one direct influence tactic at the same time or in a sequence. An influence attempt is more likely to be successful if two or more different tactics are combined. However, the outcome will depend on the potency of the component tactics and the extent to which they are compatible with each other. Compatible tactics are easy to use together and they enhance each other's effectiveness. The research on tactic combinations is very limited, but it suggests that some tactics are more easily combined than others.

Rational persuasion is a very flexible tactic, and it is usually compatible with any of the other tactics. For example, rational persuasion can be used to clarify why a proposed change is important, and consultation can be used to involve the target person in finding an acceptable way to implement the change. When consultation reveals target person concerns about a proposed change, collaboration can be used to help alleviate them. An inspirational appeal that involves values and ideals can also involve reasons why the request or proposal is important to the organization or mission. The explanation of why a request is beneficial for the organization can also include reasons why it is beneficial to the person. For example, a proposed change to increase profits may also help the target person get a promotion.

Some tactics are clearly incompatible. For example, a hard form of pressure is incompatible with personal appeals or ingratiation because it undermines the feelings of friendship and loyalty that are the basis for these soft tactics. A hard form of pressure also tends to undermine the trust necessary for tactics such as consultation and collaboration. The use of pressure tactics to gain compliance requires considerable skill, and it should be used only when other tactics are not feasible or have already failed.

Sequencing Tactics

Influence attempts often involve a series of separate influence episodes that occur over a period of days or weeks. Some tactics are used more in initial influence attempts and other tactics are used more in follow-up influence attempts. The reasons for tactic selection described earlier can be used to explain sequencing differences in the use of different influence tactics. In general, it is reasonable to assume that a manager will initially select tactics that are likely to accomplish an objective with the least effort and cost. Most initial influence attempts involve either a simple request or a relatively weak form of rational persuasion. These tactics are easy to use and entail little in the way of agent costs.

Ingratiation is likely to be used early in an influence attempt, because common forms of this tactic (e.g., say that the person is highly qualified to do a task) are more credible at that point in the influence process. If some target resistance is anticipated, then the agent is likely to use a stronger form of rational persuasion, and "soft" tactics, such as personal appeals, consultation, collaboration, apprising, and inspirational appeals. In the face of continued resistance by a target, the agent will either escalate to "harder" tactics or abandon the effort if the request does not justify the risks of escalation. Pressure, exchange, and coalitions are likely to be saved for follow-up influence attempts, because they involve the greatest costs and risks. Legitimizing may be used either early or late, depending on how the target is likely to perceive the legitimacy of a request. This tactic should be used early if the agent believes that the target person is likely to have any doubts about legitimacy.

Using the Tactics to Resist Influence Attempts

Most of the tactics used for proactive influence attempts can also be used to resist or modify a request made by someone else such as a boss, peer, subordinate, or client, although a different form of the tactic is usually appropriate. For example, when used as a resistance tactic, rational persuasion may involve explaining why the agent's request or proposal is unlikely to be successful. Collaboration may involve an offer to help accomplish an objective in a different way than the one proposed by the agent. Apprising may involve explaining why a proposed activity or change is likely to result in unfavorable personal outcomes for the agent. Legitimizing may involve explaining how the agent's request is inconsistent with company rules or a formal contract.

Pressure is another tactic that can be used in upward influence if the agent is willing to take the necessary risks. The agent can make a threat to resign or to pursue legal action against the agent if an unethical request or an unacceptable demand is not withdrawn. An example is provided by the following incident:

A man and his wife rented a cabin on a lake for their vacation. The first morning the husband spent several hours fishing in the lake from his boat, then returned to the cabin to take a nap. The wife does not fish and is not familiar with the lake, but she decides to take the boat out to look at the view and read her book. She motors out a short distance, anchors in a shady cove, and begins reading her book. Shortly afterward a Game Warden stops his boat next to the woman and says: "You are in a Restricted Fishing Area." She replies: "I did not know that, but I am only reading a book, not fishing." The Game Warden, who likes to exercise his authority, says: "Yes, but you have all the equipment and could start at any moment. Unless you leave now I will have to give you a citation." She thinks for a moment and says: "If you do that, I will charge you with sexual assault. My husband is a criminal attorney and a friend of the Sheriff for this county." The Game Warden is stunned by this response and says: "But I haven't even touched you." She replies: "Yes, but you have all the equipment and could start at any moment." The Game Warden mutters: "Have a nice day ma'am" and quickly leaves.

Guidelines for Using Proactive Influence Tactics

Specific guidelines for using each core tactic in a proactive influence attempt are presented next, and guidelines for using the other proactive tactics can be found in Table 6-8 at the end of this section. The guidelines are suggestions rather than prescriptions, because it is always necessary to evaluate the situation and determine whether a tactic is feasible and relevant. Some of the tactics can take many different forms, and it is important to determine the best way to use a tactic to achieve the desired outcome.

Rational Persuasion

This tactic involves the use of logical arguments and factual evidence that a proposal or request is desirable because it is important for the organization or team and is feasible to do.

- **Explain the reason for a request or proposal.**

People are more likely to comply with a request if they understand the reason why it is necessary and important. When asked to do something unusual, people may wonder whether it is really necessary or just an impulsive whim. Explain how a proposed activity would solve a problem in your work or help you carry out your job responsibilities more effectively. Explain how a proposal would help to achieve an important objective you share in common with the person, such as improved quality, service, or productivity.

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TABLE 6-8 Ways to Use the Other Tactics**Apprising**

- Explain how the person could benefit from carrying out a requested task.
- Explain how the task you want the person to do would help his/her career.
- Explain why a proposed activity or change would be good for the person.
- Explain how a proposed change would solve some of the person's problems.

Exchange

- Offer something the person wants in exchange for providing help on a task or project.
- Offer to do a specific task or favor in return for compliance with a request.
- Promise to do something for the person in the future in return for his/her help now.
- Offer to provide an appropriate reward if the person carries out a difficult request.

Ingratiation

- Say that the person has the special skills or knowledge needed to carry out a request.
- Praise the person's past achievements when asking him/her to do another task.
- Show respect and appreciation when asking the person to do something for you.
- Say that there is nobody more qualified to do a task.

Legitimizing

- Explain that your request or proposal is consistent with official rules and policies.
- Point out that your request or proposal is consistent with a prior agreement or contract.
- Use a document to verify that a request is legitimate (e.g., a policy manual, contract, charter).
- Explain that a request or proposal is consistent with prior precedent and established practice.

Personal Appeal

- Ask the person to do a favor for you as a friend.
- Ask for his/her help as a personal favor.
- Say that you are in a difficult situation and would really appreciate the person's help.
- Say you need to ask for a favor before telling the person what it is.

Pressure

- Keep asking the person in a persistent way to say yes to a request.
- Insist in an assertive way that the person must do what you ask.
- Repeatedly check to see if the person has carried out a request.
- Warn the person about the penalties for not complying with a request.

Coalition

- Mention the names of others who endorse a proposal when asking the person to support it.
- Get others to explain to the person why they support a proposed activity or change.
- Bring someone along for support when meeting with the person to make a request or proposal.
- Ask someone with higher authority to help influence the target person.

- **Provide evidence that your proposal is feasible.**

It is not enough for a request or proposal to be relevant; it must also be seen as practical and realistic to gain the person's enthusiastic support and cooperation. The target person may exaggerate the difficulties or anticipate obstacles that are unlikely to occur. If the person has doubts about the feasibility of a request or proposal, provide supporting evidence for it. Explain the underlying theoretical rationale for assuming that a proposed plan of action will lead to the desired objective. Describe a specific sequence of action steps that could be used to accomplish

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the objective. Cite supporting evidence from empirical research (e.g., a pilot study, a survey showing a favorable response to a proposed new product, service, or change). Describe how a similar approach was successful when used in the past by yourself or someone else. If appropriate, provide an actual demonstration for the person to observe (seeing is believing).

- **Explain why your proposal is better than competing ones.**

Sometimes your proposal is competing with other proposals for the person's support. In this case, it is not only necessary to show that your proposal is feasible, but also to show that it is better than any of the alternatives. Point out the advantages of your proposal in comparison to the alternatives (e.g., more likely to accomplish the objective, less costly, more likely to be approved, easier to implement, less risk of undesirable side effects). Point out the weaknesses and problems with each competing proposal. Your comparison will be more credible if you also acknowledge some advantages of competing proposals rather than ignoring them altogether, especially if the person is already aware of these advantages. If feasible, cite evidence from a test of the competing proposals to show that yours is better.

- **Explain how likely problems or concerns would be handled.**

All proposals and plans have weaknesses and limitations. A proposal is more likely to be accepted if you anticipate any obvious limitations and find ways to deal with them. Explain how you propose to avoid potential problems, overcome likely obstacles, and minimize risks. If the person expresses any unanticipated concerns about your proposal, describe ways to deal with these concerns rather than ignoring them or dismissing them as unworthy of consideration.

Inspirational Appeals

This tactic is an attempt to develop enthusiasm and commitment by appealing to the target person's emotions and values.

- **Appeal to the person's ideals and values.**

Most people aspire to be important, to feel useful, to accomplish something worthwhile, to make an important contribution, to perform an exceptional feat, to be a member of the best team, or to participate in an exciting effort to make things better. These aspirations are a good basis for emotional appeals. Some values and ideals that may be the basis for an inspirational appeal include patriotism, loyalty, liberty, freedom, justice, fairness, equality, excellence, altruism, and saving the environment.

- **Link the request to the person's self-image.**

A proposed activity or assignment may be linked to values that are central to the person's self-image as a professional, a member of an organization, an adherent of a particular religion, or a member of a political party. For example, most scientists have strong values about the discovery of new knowledge and its application to improve humanity; most physicians and nurses have strong values about healing people and keeping them healthy. A proposed change or activity may be described as something that will advance new knowledge, improve health care, enrich the lives of all members of the organization, serve one's god, or demonstrate loyalty to one's country.

- **Link the request to a clear and appealing vision.**

Efforts to introduce major changes or innovations are more likely to be successful when they involve an appealing vision of what could be accomplished or how the future could look if the proposed activity or change is implemented successfully. The vision may be an existing one the target person is known to embrace, or one you created to help gain commitment to a new project or activity. The vision should emphasize ideological values rather than tangible economic benefits (used in rational appeals to self-interest). However, it is not necessary to ignore economic benefits; they may be integrated into the overall vision of what can be accomplished as long as it is clear that they are not the primary objective.

- **Use a dramatic, expressive style of speaking.**

A dramatic, expressive style of speaking often increases the effectiveness of an emotional appeal. Conviction and intensity of feeling are communicated by one's voice (e.g., tone, inflection, pause), facial expressions, gestures, and body movement. Use a strong, clear tone of voice, but vary the pace and intensity. Use pauses at appropriate times to emphasize key words, maintain interest, and arouse excitement. Maintain strong eye contact, use strong gestures, and move around to display energy and intensity of feeling.

- **Use positive, optimistic language.**

Confidence and optimism about a project or change can be contagious. It is especially important to show optimism when the task is very difficult and people lack self-confidence. State your personal belief in the project and your strong commitment to see it through to a successful conclusion. Use positive language to communicate your confidence that a proposed project or change will be successful. For example, talk about the wonderful things that "will" happen when a change is made, rather than what "may" happen.

Consultation

This tactic involves inviting the target person to help plan a task or improve a proposed change in order to gain more commitment for it.

- **State your objective and ask what the person can do to help.**

When you do not expect the target person to be enthusiastic about helping you accomplish an objective, it is useful to explain why it is important (rational persuasion) before asking the person what he or she can do to help you attain it. If you have a good relationship, the target person is likely to suggest some ways to be of assistance. Show appreciation for any suggestions and discuss how they could be used. Once the person has agreed to provide some assistance, it is easier to ask for additional things that build on the initial offer.

- **Ask for suggestions on how to improve a tentative proposal.**

More participation is likely if you present a proposal as tentative and encourage people to improve it, rather than asking people to react to an elaborate plan that appears complete. People will be less inhibited about expressing concerns for a proposal that appears to be in the development stage rather than complete. The agent and target person should jointly explore ways to deal with any serious concerns or incorporate promising suggestions. A stronger version of this

tactic is to ask the target person to write the initial draft of a proposal that you want him or her to support. Of course, this procedure is only feasible if the person shares your objectives and has the expertise to develop a credible proposal.

- **Involve the person in planning how to attain an objective.**

Present a general strategy, policy, or objective and ask the target person to suggest specific action steps for implementing it. If the action plan will be detailed, it is best to schedule a meeting at a later time to review the plan and reach a mutual agreement about it. This tactic is especially useful for assigning responsibilities to a subordinate or asking a peer to carry out supporting activities on a project. To be feasible, the target person should have at least moderate agreement with the strategy or objective.

- **Respond to the person's concerns and suggestions.**

Consultation is used mostly as a proactive influence tactic, but opportunities arise to use it also as a reactive tactic. Sometimes when asking the target person to carry out an assignment or provide assistance on a task, the person expresses concerns about it or suggestions for improving it. Whenever feasible, try to deal with the target person's concerns, even if it requires some modification of your initial plans. Ask the person for suggestions about how to deal with concerns. Good suggestions for improving an activity should be utilized whenever feasible.

Collaboration

This tactic involves an offer to help the target person carry out a request or to help reduce the difficulty or cost of carrying out a request.

- **Offer to show the person how to perform a requested task.**

If a request involves a new task or the person is worried about performing the task successfully, offer to show the person how to do the task or to arrange for someone else who is qualified to provide instruction.

- **Offer to provide necessary resources.**

Sometimes the target person is reluctant to do a requested task because it requires supplies, equipment, information, or other resources that are not readily available. If the task requires additional resources that are essential for task performance but difficult to obtain, offer to provide them or help the person get them.

- **Offer to help the person solve problems caused by a request.**

A request is more likely to be resisted if it will cause new problems that will increase the cost of compliance beyond an acceptable level. Try to anticipate such problems and be prepared to offer ways to avoid them or help the person deal with them. In many cases, the agent will not be aware of the problems caused by a request, but target concerns can be elicited with the skillful use of consultation and active listening by the agent.

- **Offer to help the person implement a proposed change.**

A major source of resistance to change is the extra work that would be involved in implementing it in the target person's unit or job. To gain the person's support and approval for a

proposed change, offer to help the person implement it. A requirement for the use of this tactic is the capability to actually provide assistance in implementing the proposed change, which is most likely when the target person is a subordinate.

Summary

Power is the capacity to influence the attitudes and behavior of people in the desired direction. Potential influence derived from a manager's position in the organization is called position power, and it includes legitimate power, reward power, coercive power, and information power. Potential influence derived from the characteristics of the person who occupies a leadership position is called personal power, and it includes expert and referent power.

Power for an individual or group can increase or decrease as conditions change. Social exchange theory explains how power is gained and lost as reciprocal influence processes occur over time between leaders and followers in small groups. Strategic contingencies theory explains the acquisition and loss of power by different subunits of an organization (e.g., functional departments or product divisions) and the implications of this power distribution for the effectiveness of the organization in a changing environment. Theories of power institutionalization explain how political tactics are used to increase power and protect existing power.

The amount of power necessary for leader effectiveness depends on the nature of the organization, task, and subordinates. A leader with extensive position power is tempted to rely on it too much, which can cause resentment and rebellion. Throughout history many political leaders with strong position power have used it to dominate and exploit subordinates. The ethical and unethical use of power is discussed in Chapter 9. On the other hand, a leader lacking sufficient position power to reward competent subordinates, make necessary changes, and punish chronic troublemakers will find it difficult to develop a high-performing group or organization. A moderate amount of position power is usually optimal.

The success of a manager depends greatly on the manner in which power is exercised. Effective leaders rely more on personal power than on position power and they use power in a subtle, careful fashion that minimizes status differentials and avoids threats to the target person's self-esteem. In contrast, leaders who exercise power in an arrogant, manipulative, domineering manner are likely to engender resentment and resistance.

The relationship between power and influence behavior is complex. Power can influence the leader's choice of tactics and it can enhance their effectiveness. Leader power may also influence others even without a direct influence attempt by the leader. More research is needed to clarify these relationships.

Three broad types of influence tactics are impression management tactics, political tactics, and proactive tactics. Eleven proactive tactics have been identified, and they are useful when a simple request is not sufficient for eliciting the desired level of compliance or commitment for a request or proposal. What tactics are used depends on the situation, and the choice of tactics will vary somewhat depending on whether the target person is a subordinate, peer, or superior.

The outcome of an influence attempt may be target commitment, compliance, or resistance. Some tactics tend to be more effective than others, and the ones most likely to elicit target commitment are rational persuasion, consultation, collaboration, inspirational appeals, and apprising. However, these core tactics do not always result in task commitment, because the outcome of any particular influence attempt is affected strongly by other factors in addition

to the type of influence tactics used by the agent. Any tactic may fail if not used in a way that is ethical and appropriate for the influence objective and situation. Combining different influence tactics can be beneficial, but it requires considerable insight and skill on the part of the agent.

Review and Discussion Questions

1. What types of power are related most strongly to leadership effectiveness?
2. How much power do leaders need to be effective?
3. What are some guidelines for using position power effectively?
4. What are some guidelines for using personal power effectively?
5. Which proactive tactics are most likely to result in target commitment?
6. What are some guidelines for combining and sequencing the use of proactive tactics?
7. How can the proactive tactics be used to resist or modify influence attempts by others?
8. How are leader power, influence behavior, and influence outcomes related to each other?

Key Terms

apprising	information power	position power
coercive power	ingratiation	pressure tactics
collaboration	inspirational appeals	rational persuasion
commitment	institutionalization of power	referent power
compliance	legitimate power	resistance
consultation	legitimizing tactic	reward power
exchange tactics	personal appeal	scope of authority
expert power	personal power	

PERSONAL REFLECTION

Think about a time when someone influenced you to become a strong supporter for a proposed change that you initially opposed. Describe the influence tactics used by the person to gain your support for the proposed change.

CASE

Svenson & Sons

Elizabeth has replaced her father as the new CEO of Svenson & Sons, a manufacturer of professional footwear in Sweden with strong sales in Europe. Elizabeth represents the third generation of the family and feels well equipped and motivated to take over. She had worked in the firm during her summer breaks when she was a student, then served for a few years as a sales

representative, and was the company's marketing director during the last five years. Her father will serve as the chairman of the board of directors for a few more years before he retires.

During her second week at work in her new position, Elizabeth discovers that changes have been made in the production schedule without her knowledge. The production manager informs her that a scheduled order was postponed for 24 hours because there were some problems with another customer, who wanted faster delivery of his order. The production manager had asked her father for advice before changing the schedule. Elizabeth is upset that the production manager had not consulted her before making the change and that her father had intervened. She complains to her father about the matter, but he fails to understand her frustration—he had only wanted to help. He adds that Elizabeth had not been present when the decision was required, and he had expected that she would agree with his decision.

During a board meeting two months later, Elizabeth presents a plan for a new sales initiative in Asia that involves the use of a production plant in Taiwan. She points out that using the Taiwanese plant would reduce production and shipping costs, but she does not present any detailed cost estimates. When a board member asks a difficult question about the proposal, before Elizabeth can respond, her father interrupts and says, "My dear Elizabeth, I am surprised that you even considered using a production plant in Taiwan. You know that the firm always tries to support local suppliers." Elizabeth is surprised and humiliated by this rebuke but does not want to show her hurt feelings in front of the board. Nor does she try to defend her idea about using a foreign production plant.

The board expresses satisfaction with her market plans but is unwilling to agree to the use of the plant. The decision about the new sales effort is postponed. During the next few weeks, Elizabeth's father visits the office several times to "bring Elizabeth to her senses," reminding her that they must take responsibility for the local community and that it is important to keep production in the home city.

Six months later, Elizabeth sits in her office, looking out of the window and reflecting on her career problems. She would consider leaving her job were it not for her responsibility to carry on the family tradition of providing leadership for the firm.

Questions

1. Describe the amount of legitimate and expert power possessed by Elizabeth, her father, and the production manager.
2. How can Elizabeth gain more influence over strategic decisions for the company?

CASE

General Hospital

Mary Carter was the accounting manager at General Hospital, a large residential health-care facility. The facility administrator, Jack Morelli, told her that he wanted to modernize the accounts-billing system. He asked Mary to investigate available software packages that would be compatible with their computer system; he and the hospital's board of directors wanted to make a decision about this matter at the board meeting next month.

A week later, Jack asked Mary about her progress, and she reported that she had identified two vendors with suitable software packages. Jack asked her why this selection of potential vendors did not include Standard Software Systems, the vendor that had developed the software they were currently using to process the hospital's payroll. Standard had just recently developed a software package for accounts billing as a new addition to their product line, but few hospitals were using it. The preliminary information gathered by Mary suggested that Standard's software package was less suitable for General Hospital than the ones offered by the other vendors. However, Mary knew that the president of Standard Software was a personal friend of Jack, so she agreed to include Standard among the vendors selected for further consideration.

During the next two weeks, sales representatives from each vendor were invited to make a presentation to demonstrate and explain their product. Mary had planned to invite the board members to these presentations, but Jack said they were too busy to attend. When the presentations were held, Mary and her office staff asked many questions, but Jack looked bored and said very little. Mary also visited some hospitals that were already using each type of software package to get firsthand opinions about how well they worked and the difficulties experienced in installing them. During the course of her investigation, she learned that Standard's new software package was less flexible and less user-friendly than the others. All three software packages were about the same price, but the software package from Reliable Computers was clearly the best one for the hospital. She prepared a short report that included the advantages and disadvantages of each product as well as her recommendation.

The next day, Mary met with Jack to give him the written report and summarize her findings in person. She explained her reasons for favoring Reliable Computers and reviewed the evidence supporting her choice. Mary also offered to present her findings to the board of directors at their next meeting, but Jack said he could handle it himself. After the board meeting was held the following week, Jack informed Mary that they had decided to go with the software package from Standard. He explained that the board wanted to reward Standard for its excellent customer service the previous year when they had installed their payroll software at General Hospital.

Two years and thousands of dollars in unnecessary expenses later, the accounts billing software was still not operating smoothly.

Questions

1. How much power relative to this decision did Mary, Jack, and the president of Standard Software possess, and what type of power was it?
2. What could Mary have done to gain more influence over the decision?

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Chapter

7

Leader Traits and Skills

Learning Objectives

After studying this chapter, you should be able to:

- Understand how leader traits and skills are related to effective leadership.
- Understand what traits and skills are most relevant for effective leadership.
- Understand what traits and skills best predict success in a managerial career.
- Understand how the relevance of a trait or skill depends on the situation.
- Understand the limitations of the trait approach.

Introduction

One of the earliest approaches to studying leadership was the search for personality traits and skills that predict whether a person will attain positions of leadership and be effective in those positions. This approach is commonly called the “trait approach” to differentiate it from other approaches used to explain effective leadership. This chapter reviews research on the personality traits and skills that contribute to leadership effectiveness and advancement to higher levels of management in organizations. The chapter begins with an explanation of basic concepts and research methods, then major findings about personality traits and skills related to effective leadership are reviewed, and some situations that affect their relevance are described. The chapter ends with guidelines for managers based on the findings.

Different Types of Leader Attributes

A variety of individual attributes have been examined in the leadership research, including aspects of personality, temperament, needs, motives, and values. Personality traits are relatively stable dispositions to behave in a particular way, and some examples are self-confidence, extroversion, emotional maturity, and energy level. Social needs and motives are also important traits, because they influence a person’s attention to information and events, and they guide, energize, and sustain behavior. Examples include the need for achievement, esteem, affiliation, power, and independence. Considerable evidence shows that most traits are jointly determined

by learning and by an inherited capacity to gain satisfaction from particular types of stimuli or experiences (Arvey, Li, & Wang, 2016; Bouchard, Lykken, McGue, Segal, & Tellegen, 1990; Zhang, Ilies, & Arvey, 2009). Some traits (e.g., social needs) are probably more influenced by learning than others (temperament, physiological needs).

Values are internalized attitudes about what is right and wrong, ethical and unethical, moral and immoral. Examples include fairness and justice, honesty, freedom, equality, altruism, loyalty, civility (courtesy and politeness), pragmatism, and performance orientation (excellence). Values are important because they influence a person's preferences, perception of problems, and choice of behavior. Values relevant for ethical leadership are discussed in Chapter 9, and values studied in cross-cultural research are discussed in Chapter 13.

Self-concepts, self-identities, and social identities involve values and beliefs about a person's occupation, relationships to others, and worthwhile roles and activities. It is usually assumed that people are intrinsically motivated to defend their self-esteem and to maintain consistency among their core values, social identities, and behavior.

Skills are the ability to do something in an effective manner, and as with traits they are determined jointly by learning and heredity (Arvey, Zhang, Avolio, & Krueger, 2007). Skills may be defined at different levels of abstraction, ranging from general, broadly defined abilities (e.g., intelligence, interpersonal skills, conceptual skills, technical skills) to narrower, more specific abilities (verbal reasoning, problem-solving skill).

A competency may involve traits, skills, or a combination of related skills and traits. Competencies are often used to describe qualities considered relevant for managers in a particular organization, profession, or situation.

Types of Research on Leader Traits and Skills

Several types of research have been used to learn how leader traits and skills are related to measures of leadership effectiveness, such as subordinate satisfaction and performance, unit performance, or ratings of leader effectiveness by bosses (Bass, 1990, 2008; Boyatzis, 1982; Stogdill, 1974). In studies to discover traits and skills that predict whether a person will pursue a leadership career (Lord, DeVader, & Alliger, 1986; Stogdill, 1974), leaders are compared to non-leaders in the same profession. Other studies have identified the traits and skills of individuals who emerge as informal leaders in a group problem-solving exercise.

Many studies examine how the traits and skills for leaders in similar managerial or administrative positions are related to measures of their leadership effectiveness. The leader traits and skills are usually measured by tests, coded critical incidents, leader self-ratings, or ratings by other people such as subordinates or bosses. Some studies measure the traits and skills after leaders have been in their current position long enough to assess their performance. Other studies are conducted over a period of several years to discover the traits and skills that predict effectiveness in the leader's current position or later advancement to higher levels of management and career success. Relevant traits and skills are measured with tests, interviews, and biographical information collected during the selection process for a managerial job or in assessment centers used to identify promising candidates for promotion (e.g., Bray, Campbell, & Grant, 1974; Howard & Bray, 1988; McClelland & Boyatzis, 1982; Miner, 1978).

Some longitudinal studies compare managers who advanced successfully to top management position to managers who initially advanced but then "derailed" in their careers because they were dismissed, took early retirement, or simply reached a "plateau" without any chance of further advancement (Braddy, Gooty, Fleenor, & Yammarino, 2014;

McCall & Lombardo, 1983a; McCartney & Campbell, 2006). Information about the traits, skills, and career experiences of each manager is collected and analyzed to identify similarities and differences for derailed and successful managers. In a cross-cultural version of this research, executives and middle managers rated the extent to which various flaws are likely to derail a management career in the United States and Europe (Lombardo & McCauley, 1988; Van Velsor & Leslie, 1995). Subsequent cross-cultural research suggests that individuals who lack awareness and engage in self-enhancement are seen by their bosses as being highly likely to derail in collectivistic, but not individualistic cultures, because they violate cultural norms for modesty (Cullen, Gentry, & Yammarino, 2015).

Some other studies have attempted to determine the extent to which leader traits and skills are the result of heredity or learning. By comparing identical twins (who share 100% of their genetic background) to fraternal twins (who share roughly 50% of their genetic background), insights into the influence of genetic versus environmental factors can be gained. The evidence suggests that genetic factors account for 30% of the variance in the attainment of leadership roles, as well as the possession of personality traits associated with leadership, such as self confidence and need for achievement (Arvey, Rotundo, Johnson, Zhang, & McGue, 2006). Cutting-edge genetic research also reveals that people who possess “r64950, a single nucleotide polymorphism (SNP) residing on a neuronal acetylcholine receptor gene (*CHRNA3*)” are more likely to occupy leadership positions (De Neve, Mikhaylov, Dawes, Christakis, & Fowler, 2013, p. 45), while those who have the dopamine transporter gene *DAT1* are less likely to have a proactive personality, and hence less likely to hold leadership roles (Li et al., 2015). The research indicates that leadership success involves a combination of inherited and learned attributes.

Overview of Findings in the Research

How the emergence, effectiveness, and career advancement of leaders is related to their traits and skills has been investigated in hundreds of studies, and the results have been reported in several reviews and meta-analyses (Bass, 1990, 2008; Judge, Piccolo, & Kosalka, 2009; Stogdill, 1974; Zaccaro, 2007, 2012; Zaccaro, Dubrow, & Kolze, 2018). Some traits and skills increase the likelihood that a person will be selected or elected to fill a leadership position. Some traits and skills increase the effectiveness of a leader, but they do not guarantee it. A leader with certain traits can be effective in one situation but ineffective in a different situation. The pattern of traits and skills that best predicts leader effectiveness also varies somewhat for different outcomes, such as leader selection, advancement, performance by the leader’s work unit, and subordinate satisfaction.

Personality Traits and Effective Leadership

Over a period of several decades, researchers examined a variety of different personality traits related to managerial effectiveness and advancement. The choice of traits and the labels used for them have varied from study to study, but the results have been fairly consistent across different research methods. This section summarizes and integrates the findings regarding the most relevant aspects of personality for effective leadership by managers and administrators in large organizations (see also Table 7-1). For some of the traits and skills, it is possible to explain why they affect outcomes by examining how they affect the leader behaviors described in other chapters.