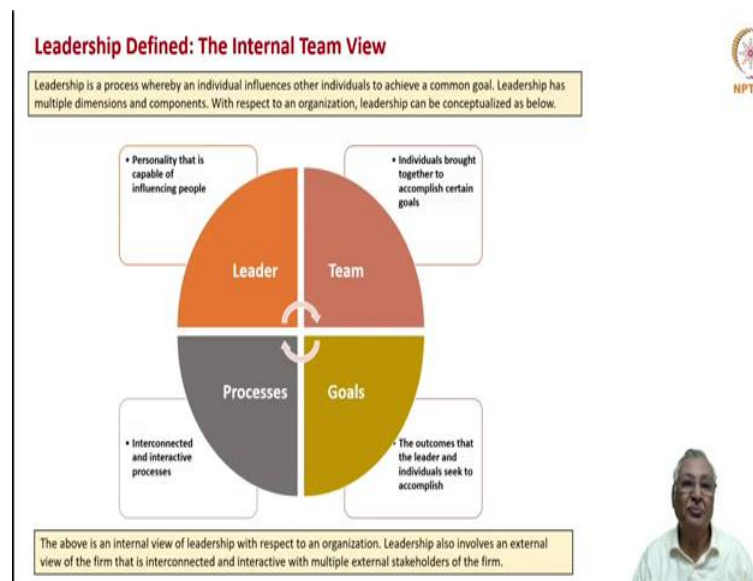


Leadership for India INC Practical Concepts and Constructs
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Week - 02
Leadership Theories
Lecture - 06
Trait Theory

Hi Friends, welcome to the NPTEL course on Leadership for India Inc. Practical Concepts and Constructs. We are in week 2, we discuss Leadership Theories. In this lecture, we talk about Trait Theory. What is trait? Trait is a particular quality of a person which is distinct and distinctive to the person and trait is part of a person's personality and what is personality? Personality is a cluster of the qualities that a person possesses.

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So, let us try to define leadership; having gone through several aspects of leadership and management in the previous week. Let us try to focus more sharply on leadership. There are two views of leadership. One, I would say is the internal team view and the other is the external stake holder view. We can also call the second view a broader ecosystem view.

So, when we talk about the internal team view, I would say that there are four parameters that define leadership. The first of course, is the leader, the second is the team, third is the processes and fourth is the goals.

So, leader is the personality that is capable of influencing people. Team comprises individuals who are brought together to accomplish certain goals. What are processes? Processes are those interconnected and interactive activities that are expected to be done by the team. Goals are the outcomes that both the leader and the team members together and in an aligned fashion want to accomplish. This is the internal view of leadership.

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Then, there is a broader external view which I would call the ecosystem view; because the stakeholders for a leader or for greater in number than just employees. Employees are of course, one very key operational stake holder group, but we also have financial stakeholders who provide the capital for the firm. These are the banks, financial institutions, investors etcetera.

Then, we have the operational stakeholders. In this group, employees obviously, are the primary ones, but equally important are vendors, suppliers, dealers and customers. Then, we have got regulatory stakeholders, central and state governments, national and international bodies etcetera.

We also have the promoter stakeholders. In several cases, when the enterprises are setup by founders, we also have the promoters stake holding group which has got an important stake in how the firm is run. So, whether the leader comes from the promoter group or the leader comes from the professional group, he or she needs to satisfy all these stakeholders. Once an integrated view of both the internal as well as the external view of leadership is taken, the complexity of leadership becomes very apparent to us.

Every team member of an organization will have some connectivity or the other with every other team member.

Similarly, every stakeholder has some direct or indirect connectivity through the firm and with the firm, to accomplish the expectations and that is the complexity of leadership and leadership involves not merely directing certain people to do a few things, not even engaging with and interfacing with all these stakeholders; but influencing the team members and the stakeholders in a manner that the overall goals of the company are achieved seamlessly.

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Theories of Leadership

Over the last several decades, several theories of leadership emerged, partly with a view to conceptualize and define leadership and partly with a view to enable managers and aspirants to acquire leadership capabilities.

- Great Person Theory (a 'born leader' approach of 1840s)
- Trait Theory (a 'personality characteristic' approach of 1940s)
- Behavioural Theory (a 'style' oriented approach of 1950s)
- Situational Theory (a 'situation/context' linked approach of 1990s)
- Path-Goal Theory (a 'work' oriented approach of 1970s)
- Leader-Member Exchange Theory (a 'dyad' based approach of 1990s)
- Skill-Competence-Philosophy Theory (a 'hybrid' contemporary approach for 2000s)

The several theories of leadership as above point out the challenges and inadequacies of attempting to frame leadership into singular frameworks. While some of the above frameworks are not as relevant as they were at the times, it is important to review them along with the more recent ones to lay the past, present and future perspectives.

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So, what are the theories of leadership? Over the last several decades, several theories of leadership had emerged, partly with a view to conceptualize and define leadership and partly with a view to enable managers and aspirants to acquire leadership capabilities. We can think of at least seven leadership theories which were there in both theory and research over several decades.

The first and the foremost is the great person theory that was the earliest theory, and it corresponds to the period of 1840's, when it was theorized that a born leader is the leader or inversely a leader is always born. Then came the trait theory which is the focus of this particular lecture which is a personality characteristic approach of 1940's.

So, a century down the road after the first institutionalization of the great person theory took place, we have the trait theory it is a personality characteristic theory of the 1940's.

Then, we have the behavioral theory which is a style oriented approach belonging to the 1950's. Then came the situational theory, which said that leadership is very contextual and situational and it belonged to the 1990's. We also have the path-goal theory which is a work-oriented approach which belong to the 1970's.

Leader member exchange theory which is a dyad based approach. Dyad means a dyad of leader and the team member that is the approach that belonged again to the 1990's, but today when we look at leadership, we talk extensively about skills, competencies, philosophical approaches which is like hybrid contemporary approach I would say for 2000's.

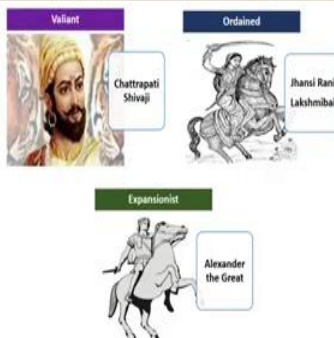
The several theories of leadership as above point out the challenges and inadequacies of attempting to frame leadership into singular frameworks. The very fact that there are as many as seven leadership theories although across generations.

It also implies that leadership defies easy definition. Some of the leadership frameworks are no longer relevant as we will see, as we progress through this, but it is important to review them along with the more recent ones, so that, we have a holistic appreciation of the various theories of leadership.

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Great Person Theory

Thomas Carlyle proposed the Great Man Theory in the 1840s. It merely believes that leadership is an inherent trait of a person who is destined to become a great leader by birth. The theory is that such leaders prove themselves when the need arises. In other words, some people are born to become leaders and leadership is a heroic act.



The diagram illustrates the Great Person Theory with three categories: Valiant, Ordained, and Expansionist. Under Valiant is Chattrapati Shivaji, under Ordained is Jhansi Rani Lakshmbai, and under Expansionist is Alexander the Great. Each category is represented by a small image and a text box.

The Great Man theory suggests that the ability to lead is inherent genetically – that the best leaders are born, not made. It defines leaders as valiant, mythical, and ordained to rise to leadership when the situation arises. The Great Man theory as originally proposed was military-driven and gender-biased. The Great Person theory has no relevance in contemporary times which discourage genetic lineage and monarchies, even when existent, are titular.



Now, let us look at the great person theory that was proposed by Thomas Carlyle in the 1840's. It merely believes that leadership is genetic, a leader is born, and such leaders have their intrinsic leadership capacity and when the occasion ask them to do, they raise up to the occasion and belong to that leadership category.

So, we have Chattrapati Shivaji who is the valiant type of the great person. Then, we have Jhansi Rani Lakshmbai who was ordained to fight the Britishers and then try to establish Indian Independence. Then, we also have expansionist opportunities and expectations which drives some people to leadership, Alexander the Great.

So, whether it is the valiant nature of the individual, the ordained nature of the circumstance or the expansionist motive of the leader, a great person who belongs to this theory raise up to that particular opportunity and becomes a leader. However, this philosophy or the preposition that the ability to lead is inherent genetically I would say is faulty, it is no longer relevant.

Much of that theory is very much military driven and very much gender oriented; although of course, we have this excellent case of Jhansi Rani Lakshmbai being a gender agnostic leader, but the great person theory in my opinion has no relevance in contemporary times which discourage genetic lineage as well as monarchies, even when existent, monarchies are just titular.

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Trait Theory

Trait theory represents one of the more systematic approaches to study leadership. Several scholars made attempts to identify traits that differentiated leaders from others. As a corollary, possession of such traits was expected to make a leader. While the trait approach was questioned, it is noteworthy that even today, leadership traits are of interest.

LEADERSHIP NORTHOUSE

1948 Survey

- 124 trait studies
- Between 1904 and 1947

1974 Survey

- 163 trait studies
- Between 1948 and 1970

Ralf Stogdill's studies identify two groups of important leadership traits that were related to how individuals in various groups became leaders. He proposed linking a successful leader's traits to being relevant to the demands of the leadership situation - that is, the specific challenges faced and the abilities, hopes, values and concerns of the followers.

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So, let us look at the trait theory. So, at this point, I would like to say that while I have provided lot of information on the various leadership theories, if you want to go into that in greater detail, you could probably refer to this book on Leadership by Northouse which provides a very good summation, and it is a good summation with lot of detail about the various kinds of theories.

However, for the purpose we have of this course, I would think that whatever I have presented in terms of the details would be more than sufficient.

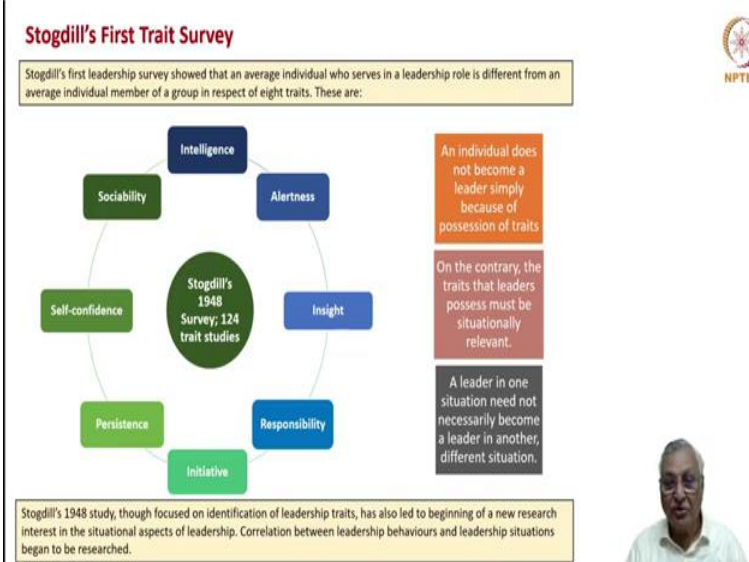
Trait theory represents one of the more systematic approaches to study leadership. Several scholars made attempts to identify traits that would be there in a typical leader and then distinguish the leader based on the traits with other individuals. While the trait approach was questioned from time to time, even today leadership traits are of very much importance.

Ralf Stogdill's was the professor who was a pioneer in the trait theory. He did two meta-analyses, one in 1948 and another in 1974. In the 1948 survey, he had analyzed 124 trait studies between 1904 and 1947. In the 1974 study, he conducted a meta-analysis of another 163 trait studies which happened between 1948 and 1970.

He proposed based on his studies that a successful leader's traits are relevant to the demands of the leadership situation, that is the specific challenges faced, specific

opportunities faced, the hopes, values and concerns of the followers that was the essential approach which Stogdill took.

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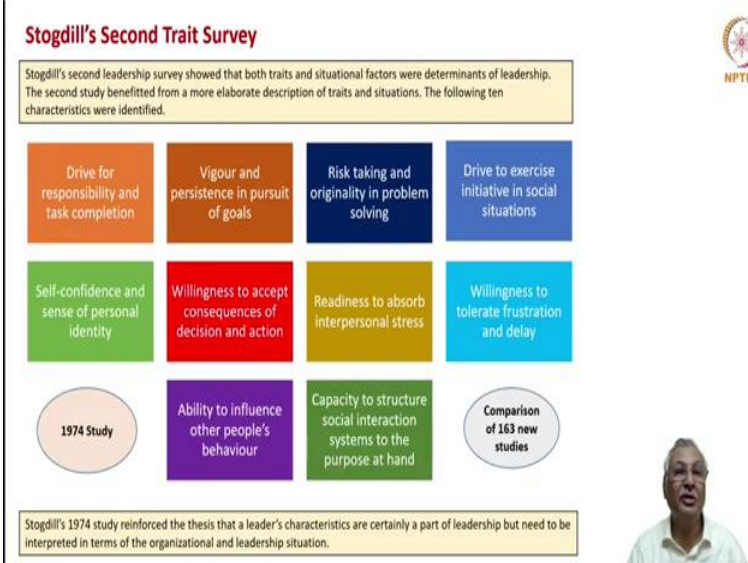
The slide, titled "Stogdill's First Trait Survey", features a central diagram of eight leadership traits arranged in a circle around a central hub labeled "Stogdill's 1948 Survey; 124 trait studies". The traits are: Intelligence (top), Alertness (top-right), Insight (right), Responsibility (bottom-right), Initiative (bottom), Persistence (bottom-left), Self-confidence (left), and Sociability (top-left). The traits are color-coded: Intelligence, Alertness, Insight, and Responsibility are in blue boxes; Sociability, Self-confidence, Persistence, and Initiative are in green boxes. To the right of the diagram are three text boxes: an orange box stating "An individual does not become a leader simply because of possession of traits", a red box stating "On the contrary, the traits that leaders possess must be situationally relevant.", and a dark grey box stating "A leader in one situation need not necessarily become a leader in another, different situation." Below the diagram is a yellow box with text: "Stogdill's 1948 study, though focused on identification of leadership traits, has also led to beginning of a new research interest in the situational aspects of leadership. Correlation between leadership behaviours and leadership situations began to be researched." The NPTEL logo is in the top right corner, and a small video inset of a man is in the bottom right corner.

In the first trait survey which he undertook based on the 124 trait studies, he analyzed and came up with eight important traits. These are intelligence, alertness, insight, responsibility, initiative, persistence, self confidence and sociability. Such traits we will relate to the leadership paradigm even today.

However, what he said was important. He said that an individual does not become a leader simply because he possesses those traits. However, those traits must also be contextually relevant for the leader to become the real leader. A leader in one situation need not necessarily become a leader in another situation even if having these traits because leadership is conceptual.

Stogdill's 1948 study which was focused on identification of leadership traits, has also led to the beginning of a new research which is based on the situational nature of leadership. Correlation between leadership behaviors on one hand and leadership situations on the other hand began to be researched.

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The slide, titled "Stogdill's Second Trait Survey", features the NPTEL logo in the top right corner. It contains a central grid of ten colored boxes, each representing a leadership trait. The traits are: Drive for responsibility and task completion (orange), Vigour and persistence in pursuit of goals (red), Risk taking and originality in problem solving (dark blue), Drive to exercise initiative in social situations (blue), Self-confidence and sense of personal identity (green), Willingness to accept consequences of decision and action (red), Readiness to absorb interpersonal stress (yellow), Willingness to tolerate frustration and delay (cyan), Ability to influence other people's behaviour (purple), and Capacity to structure social interaction systems to the purpose at hand (green). The grid is flanked by two circular callouts: "1974 Study" on the left and "Comparison of 163 new studies" on the right. Text boxes at the top and bottom of the grid provide context: the top box states that the second study benefited from a more elaborate description of traits and situations, and the bottom box states that the 1974 study reinforced the thesis that a leader's characteristics are certainly a part of leadership but need to be interpreted in terms of the organizational and leadership situation.

Stogdill's Second Trait Survey

Stogdill's second leadership survey showed that both traits and situational factors were determinants of leadership. The second study benefitted from a more elaborate description of traits and situations. The following ten characteristics were identified.

- Drive for responsibility and task completion
- Vigour and persistence in pursuit of goals
- Risk taking and originality in problem solving
- Drive to exercise initiative in social situations
- Self-confidence and sense of personal identity
- Willingness to accept consequences of decision and action
- Readiness to absorb interpersonal stress
- Willingness to tolerate frustration and delay
- Ability to influence other people's behaviour
- Capacity to structure social interaction systems to the purpose at hand

1974 Study

Comparison of 163 new studies

Stogdill's 1974 study reinforced the thesis that a leader's characteristics are certainly a part of leadership but need to be interpreted in terms of the organizational and leadership situation.

Let us look at what his second trait survey, that is the 1974 study which had 163 new studies meta-analyzed what it bring out. It said that the drive for responsibility and task completion, vigor and persistence in pursuit of goals, risk taking and originality in problem solving, the drive to exercise initiative in social situations.

Self-confidence and sense of personal identity, willingness to accept consequences of decision and action, readiness to absorb interpersonal stress, willingness to tolerate frustration and delay, ability to influence other people's behavior and the capacity to structure social interaction systems to the purpose at hand.

The second meta-analysis led to these factors, these ten factors as being very important for leadership. As you can see, compared to the first trait study, this involve more elaborate description of traits and situations. This study as well reinforce the thesis that a leader's characteristics are certainly part of a leadership but need to be interpreted in terms of the organizational leadership situation.



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Stogdill's First and Second Studies Compared

Stogdill's first and second leadership surveys showed that an average individual who serves in a leadership role is different from an average individual member of a group in respect of certain traits. These are:

1948 Study	1974 Study	Common Factors Across the Studies	
Intelligence	Achievement	Insight	Initiative
Alertness	Persistence	Self-confidence	Sociability
Insight	Insight	Responsibility	Persistence
Responsibility	Initiative	Discrete Factors Across the Studies	
Initiative	Self-confidence	Intelligence	Alertness
Persistence	Responsibility	Achievement	Cooperativeness
Self-confidence	cooperativeness	Tolerance	Influence
Sociability	Tolerance		
	Influence		
	Sociability		

A comparison of Stogdill's 1948 and 1974 studies leads to 6 factors that stayed common to both studies and 6 factors that were unique to the two studies. Many works in the interregnum and later reflected these traits in their studies.



Now, let us try to combine these two and analyze through a compare and contrast study. The 1948 study as I said talked about intelligence, alertness, insight, responsibility, initiative, persistence, self-confidence, sociability. The 1974 study talked about similar, but not necessarily all these factors. It talked about achievement, persistence, insight, initiative, self-confidence, responsibility, cooperativeness, tolerance, influence, and sociability.

So, what I did was that I looked at the factors that were common across the two studies and factors that were discrete. So, when you look at these factors, you will find that insight, initiative, self-confidence, sociability, responsibility and persistent these are the common factors that is across a particular generation movement these leadership factors were found to be viable and relevant.

Whereas, the following factors intelligence, alertness, achievement, cooperativeness, tolerance and influence they became relevant in a different manner across the two studies.

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Key Traits: Intelligence

Intelligence is positively correlated with leadership. Intelligence is intellectual ability. Intelligence is a genetically inherited as well as environmentally developed trait. Intelligence gets expressed in terms of many faculties.

Intelligence is Reflected in Scholastic and/or Practical Record

Capacity for Logic and Reasoning

Ability to grasp new knowledge

Ability to solve problems

Creativity and Innovation

Critical Thinking

Planning

Some Aspects of Intelligence

Bill Gates

Steve Jobs

Indra Nooyi

Satya Nadella

There are some caveats too. Intelligence is a necessary but not a sufficient condition for sustainable leadership. Neither is the relationship between leader intelligence and leader success linear. Beyond a point, intelligence may exert a negative influence too.

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So, let us look at some of these traits in greater detail. Let us look at intelligence as the key trait. Intelligence is the intellectual ability, we are aware of that and what does intelligence define itself in terms of six factors.

One any intelligent person will have a capacity for logic and reasoning. He or she would have the ability to grasp new knowledge because one does not stay at the same level of intelligence. As you get new knowledge, you tend to develop greater intellectual quotient, ability to solve problems, creativity and innovation, critical thinking and planning these are the very important aspects of intelligence or the intellectual ability of a person.

I have provided here the images of four leaders Bill Gates, Steve Jobs, Indra Nooyi and Satya Nadella. You can see from that two of them were college dropouts and two of them were and are highly accomplished educational background people.

Now, you can therefore, conclude that intelligence is reflected not merely in this scholastic record, but also in the practical record. It is possible for you to gain intelligence both through education as well as practice but let us also look at the caveat. Intelligence is necessary, but not a sufficient condition for sustainable leadership.

Neither is the relationship between intelligence and leader accomplishment perfect and linear. Beyond a point, at times, intelligence also acts as a negative parameter for success

as a leader. We will have some examples of why it is so and how it was so in respect of certain leaders.

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Key Traits: Self-confidence

Self-confidence is the ability to be certain about one's competencies and skills. It is a key leadership trait, reflected in the belief that one can make a positive impact. Self-confidence, however, includes a measure of various other factors.

Self-confidence is reflected in bold decisions that appear daunting

Some Aspects of Self-confidence

Self-awareness, Self-esteem, Self-assurance, Self-analysis, Self-development, Self-introspection

Steve Jobs is a good example of a self-confident leader, who also has several other key leadership traits. Self-confidence helps a leader overcome external and internal resistance as the leader moves towards his or her goals.

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Globalization, Innovation, Road to Recovery Turnaround, Diversification

The second key trait is self-confidence. What is self-confidence? A belief that I can do these things by myself and how does that come about? That comes about because you are aware of what you are capable of carrying out. Self-awareness, that is the fundamental requirement for self-confidence.

The other is self-esteem. You may be aware, but you do not possess enough of self-worth or self-esteem and that could constraint your ability to have demonstrated self-confidence and do a few things. Then, self-assurance. Self-analysis, ability to analyze yourself you are aware, but you also need to analyze yourself with reference to the opportunity and challenge you have and also the situational context therefore, the self-analysis.

The self-development because you are aware that yes, I have 70 percent of the capability to achieve the task on hand, but I would need to develop the balance, 30 percent skills or capabilities. So, the ability to develop yourself that is also leading to your self-confidence. Self-introspection, as you keep achieving something depending upon the level of progress and the level of accomplishment, you may introspect and try to play upon any of these other five factors is very important.

Self-confidence is reflected in bold decisions. People, that is the leaders who are self-confident, take significantly bolder decisions than people or leaders who lack the same level of self-confidence.

Some of the decisions which require high-level of self-confidence are globalization, innovation, diversification, road to recovery through turn around, these are the four strategic decision which a leader faces and a leader is expected to take and a more self-confident leader would take these kinds of challenging and non-taking decisions with much greater assurance. So, self-confidence is an extremely important aspect of leadership.

Steve jobs is an excellent example of a self-confident leader, who of course, has several other leadership traits. Self-confidence helps a leader overcome external and internal roadblocks and resistance as the leader moves through his path and tries to attain his or her goals.

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Key Traits: Persistence

Persistence is the ability to stay in dogged pursuance of one's mission. Persistence enables a leader to surmount hurdles and achieve the goals, inspiring and influencing the team to match him in his mission. Persistence has latent hues.

Persistence is an entrepreneurial trait almost, driven by passion

Some Aspects of Persistence

- Determination
- Passion
- Conviction
- Focus
- Dominance
- Drive

Goal driven, Failure, Undaunted, Patient

Persistence, a tipping factor for leaders, is also one trait that could prove to be a tripping factor for leaders. While being passionately driven, a leader also needs to be sufficiently dispassionate and objective to make course corrections when needed.

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The third key trait is persistence. What is persistence? Doggedness, that is being at it without getting distracted and proceed on a mission with a relentless focus. So, the aspects of persistence are determination that is I must achieve this like I must complete the course and get good rating out of the course examination that is a determination.

Conviction that yes, I must do it because I can do it, I must also do it because I believe this helps me. Similarly, a leader does something because it is not only in consonance with this strategy and the vision, but he also has conviction that this is helpful to the organization. Then, dominance, if you want to be persistent, you need to be a bit dominant, you cannot be self-refusing and try to be persistent.

Then, the drive that is ability to push forward not only yourself, but your team that is the drive of persistence. Then focus, as I said you should be unrelenting in your focus to be able to achieve this. And then finally, passion which is a much-used term in the context of entrepreneurship, but passion is required equally in any situation. These six determine how persistent is defined in an individual.

Let us look at four examples; somebody who is undertaking a mountaineering mission, he is goal driven, he is persistent by that. Somebody who is going down deep into the earth to explore something new, he is fearless, he is driven by that.

Somebody who is travelling over the vast seas without any land mass in sight, he is undaunted by his isolation, he is undaunted by the nature's fury that could surround him at any point of time, that is the persistence of that particular individual. Then, somebody who is always exploring for new star, for a new constellation, he is or she is patient. So, persistence I would say is an entrepreneurial trait almost which is driven by passion.

But let us also look at another caveat, like for the other two key traits, there is a caveat here also. Persistence is a tipping factor for a leader, that is whether you are a great leader, or an ordinary leader is dependent upon how persistent you are in terms of your mission, in terms of your set of activities.

But if you are so persistent that you refuse to look at what is happening that could serve as a tripping point, you might falter; because you are so persistent, dogged and dogmatic in what you think you will achieve. So, while being passionately driven, a leader also needs to be sufficiently dispassionate and objective and introspective to be able to make course corrections when needed, that is very important.

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Key Traits: Responsibility

Responsibility is a key leadership trait. Responsibility encompasses many aspects of value-based behaviour, including accountability to oneself, the team and the overall ecosystem.

Responsibility is driven by values

Some Aspects of Responsibility

Accountability, Integrity, Ethics, Values, Commitment, Ownership

Responsibility in all its hues is one of the most critical aspects of leadership today. In fact, some of the dimensions mentioned above are considered as individual leadership traits today.

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Then, the fourth key trait is responsibility. What are the aspects of responsibility? You are accountable to yourself; because responsibilities always packaged with authority, you cannot say that others are accountable and you are not accountable, no, a good leader is always accountable to himself or herself.

Second integrity, the leader must display a high level of integrity not for showcasing purpose, but because the leader genuinely believes in that. Then ethics, that is the larger set of moral values which guide a person. Values is some total of what the business would stand for, what he or she has later would stand for.

Commitment, that is you are committed to a cause. When Mahatma Gandhi went on a fast, he went on because he was not only responsible and accountable to what he was saying, but he was also committed to the cause and was undergoing self-sacrifice to be able to demonstrate to the people at large that he believes and holds himself accountability to the cause he is espousing. Then, we have ownership. So, these six are very important aspects of responsibility.

Let us look at the four leaders I have demonstrated here. Mahatma Gandhi, I already mentioned. Lal Bahadur Shastri, he was a very simple Prime Minister of India, who led the nation through his role modeling of simplicity and authenticity. Then, we have JRD Tata who believed in trusteeship and led a conglomerate to greater heights. Then Azim Premji, by virtue of his concern for education and other charitable activities, while he

built a huge conglomerate of IT and a few other industrial activities. He also has been donating very liberally to the cause of charity more particularly education. So, there is a value driven responsibility that could be exhibited by good leaders.

So, responsibility in all its hues is one of the most important aspects of leadership today because there is materialism all around, there is get quick attitude all around. So, genuine leadership, authentic leadership requires responsibility as defined herein, to be able to perform as a truly well-rounded leader. Only because these have been under threat, investors and the systems are looking at ESG investing that is a leader who also has concern for environment, social responsibility and cooperate governance.

But if a leader has got these values intrinsic and inherent in him or her, naturally the ESG methodology and more also would come through in his leadership capability.

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Key Traits: Sociability

Sociability is a key trait that endears a leader to his or her team members. Sociable is not just being likeable. It is a combination of tangible and intangible feel factors that makes a leader's personality amiable.

Sociability is driven by a personality embellished by soft skills

Some Aspects of Sociability

- Friendliness
- Extraversion
- Courteous Nature
- Collaborative Spirit
- Empathy
- Sensitivity

Penguins, Dolphins, Orcas, and Pigeons

A sociable leader exerts a very salubrious and harmonious impact on the team. Sociability does not mean any dilution of determination or task-orientation when such influence is required.

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The other key trait is sociability; a leader cannot sit in an ivory tower. A leader cannot distance himself or be distanced by others in the day-to-day or even strategic interactions. So, sociability is an extremely important aspect of leadership, what does sociability mean, Friendliness, people should be able to approach you. Extraversion that is oriented towards other people. Be courteous, caring in your approach.

Be collaborative, should not think that my job is to compete with everybody and be a head of them, no, that is not the one, you should be able to understand the capabilities of

other people and see how you and the other people can collaborate to make things happen in a much better fashion. Empathy, empathy which is not sympathy. Empathy, that is ability to understand the position from which the other person is coming from, the circumstances that are driving his responses and see what you can do as a leader to help that person and these things will happen when you are sensitive to the environment, sensitive to the people.

A sociable leader exerts a very salubrious and harmonious impact on the organization which he is leading. Team also feels very comfortable, cared for and they also exhibit similar traits when they deal with each other as well as with other departments and other stake holders. Sociability, however, does not mean any dilution of determination or task orientation when such influence is required. Sociability does not mean laisses faire as far as cooperate leadership is concerned.

Sociability is a way of making one's presence felt through harmony and unitary purpose along with the participants.

These four images tell us, how these animals are highly sociable, and friendly animals which demonstrate lot of togetherness be it penguins, dolphins, orcas or pigeons, you will find some level of satisfaction; when you see them functioning as friendly groups and they are also not afraid of you, they are willing to come to you, despite you being the humans and interact with us, this is a very interesting demonstration of sociability.

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Expanded Traits

More recent studies began supplementing traits with wider cognitive and intellectual abilities. Certain of these such as emotional intelligence can be interpreted to represent a set of sub-factors, for example. One such study of traits is Zaccaro, Kemp, and Bader (2017).

Cognitive Ability	Extraversion	Conscientiousness	Emotional Stability
Openness	Agreeableness	Motivation	Social Intelligence
Self-monitoring	Emotional Intelligence	Problem Solving	

Social intelligence and emotional intelligence are broad terms that have significant overlap and interconnectivity. While both require an ability to understand one's own and others' feelings, social intelligence is inclusive of, and broader than emotional intelligence, and involves wider social interactions.

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More recent studies also have taken place, after Stogdill, more recent studies up to 2017 have taken place which talk about other traits. So, I talk about a few other traits here cognitive ability, extraversion, conscientiousness, emotional stability, openness, agreeableness, motivation, social intelligence, self-monitoring, emotional intelligence, problem solving these are the important aspects of the new theory of expanded traits.

Social intelligence and emotional intelligence look similar, but they have certain overlaps and interconnectivity along with certain differences and the scale at which these are applied.

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Emotional Intelligence

As newer traits such as emotional intelligence began appearing, it also became evident that certain traits are being vested with the status of a discrete leadership approach, by themselves. Emotional intelligence is one such trait which emerged in the 1990s as an important area of study in psychology.

Emotions	<ul style="list-style-type: none">• Affective domain• Human feelings about life
Intelligence	<ul style="list-style-type: none">• Cognitive domain• Human ability to process information
Emotional Intelligence	<ul style="list-style-type: none">• Ability to feel, perceive, evaluate, and express emotions• Ability to think and act on one's own and others' emotions for mutual emotional synergy

Emotional intelligence is a broad term that denotes the ability of a person to understand one's own and others' feelings, thoughts, behaviours and actions appropriately, and also respond equally appropriately. As a leadership trait, emotional intelligence comes into play in one-on-one or small group interactions.

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Let us look at some of these aspects little more, particularly emotional intelligence, social intelligence. We discussed in an earlier discussion, how emotional intelligence began appearing as an important leadership trait. So, what are emotions? Emotions are the inner feelings we get, when we encounter a particular thing or an activity. It is also a heartfelt way of responding to certain situations. So, it is an affective domain. It is all about human feelings about life and when we say life, it includes work as well as personal life.

Then, we have got intelligence which is the cognitive domain. Emotions belong to the affective domain, whereas, intelligence belongs to the cognitive domain that is the ability to recognize, ability to be logical and rational. Intelligence is the human ability to

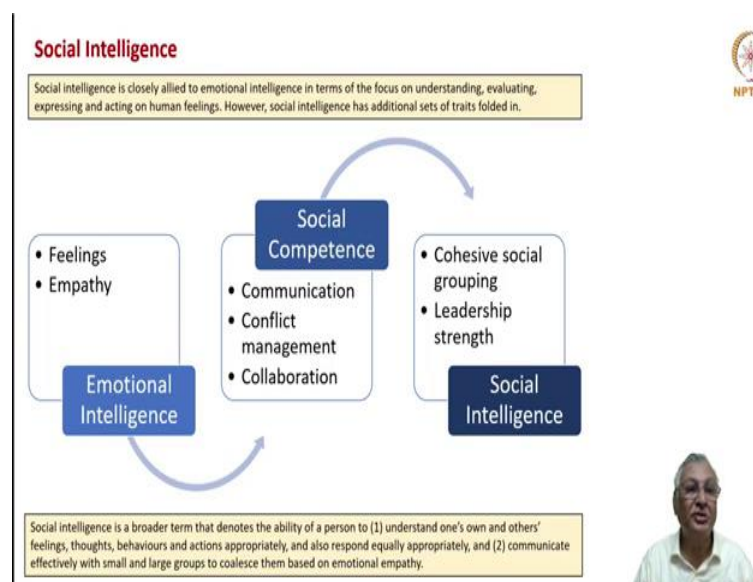
process information. So, emotions are the set of feelings we have about life, but intelligence is the ability to process information.

When we combine these two aspects, we get emotional intelligence which is the ability to feel, perceive, evaluate and express emotions. This is the ability to think and act on one's own and other's emotions for mutual emotional synergy. So, if you are simply emotional, it is unlikely that you will be able to develop a collaborative relationship.

If you are only intelligent, you are likely to be seen as robotic, very analytical, probably cool headed, objective, dispassionate, but you may not be able to get the kind of relationship which a leader would need to get, but an emotionally intelligent person would be able to create that framework of intelligent as well as emotional relationship.

Therefore, we can say that emotional intelligence is the ability of a person to understand one's own and other's feelings, thoughts, behaviors and actions appropriately and also respond equally appropriately. As a leadership trait, emotional intelligence comes into play more in one-on-one and small group interactions.

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Let us look at what social intelligence is. Social intelligence I would say is the broader canopy of emotional intelligence. When you have larger social interactions and greater array of human feelings are involved, emotional intelligence transients itself into social

intelligence. So, we have on one side emotional intelligence which is the feelings and empathy as we discussed last time.

Then, we also have the social competence, that is in large groups, you should have the ability to communicate, you should be able to manage conflicts, you must be able to generate collaboration. These things are done more easily in small group interactions just with emotional intelligence, but you need social competence to be able to do these three things in a larger social setting.

Now, when you combine emotional intelligence and social competence, you get social intelligence which is cohesive social grouping, leadership strength. So, emotional intelligence which extrapolates itself into social intelligence is extremely important for leaders to make their mark.

Social intelligence is a broader term that denotes the ability of a person, one, to understand one's own and other's feeling, thoughts, behaviors and actions appropriately and also respond equally appropriately which is exactly the definition of emotional intelligence. But also communicate effectively with small and large groups to coalesce them based on emotional empathy. So, an organization is driven by combination of emotional intelligence and social intelligence.

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Many Other Weak Traits

Besides the other five key traits and the expanded traits referred earlier, studies and research findings identify several other traits that have correlation with an individual's capability as a leader. Some of these have questionable correlation.

Adjustment or Alignment?	Conservatism or Realism?
Getting motivated or Motivating others?	Task knowledge or Task orientation?
Masculinity or Gender diversity?	Diplomacy or Authenticity?

Weak traits are those that run counter to certain other strongly correlated leadership traits. For example:

The issue with the trait theory is a proliferation of traits, and lack of empirical support for different traits. Five-factor personality theory that follows partially addresses the challenge.



There also as I said many other weak traits. Some weak traits let us look at it. Adjustment, that is trying to adjust to each other. Conservatism, being very cautious. Motivation, ability to motivate and ability to get motivated. Task knowledge, lot of interest in the jobs we need to do. Masculinity, trying to be very bold and brash. Diplomacy, trying to be self-effacing where required trying to be difficult, the same person playing good cop and bad cop. These are the weak traits.

Some leaders may possess these things and some cases you may be successful with these traits as well, but necessarily these are not the traits one must have at all times. So, weak traits can be seen as those traits which run counter to certain other strongly correlated leadership traits. for example, should we look at adjustment or alignment? certainly, we should look at alignment and how does alignment come about, when you are able to demonstrate your accountability, when you demonstrate your determination, when you demonstrate your intellectual ability, when you demonstrate your social intelligence, then alignment comes between leader and the followers.

On the other hand, if you try to use your authority or entry into a kind of a quick pro quo for an adjustment that is not a good trait. Similarly, should we be conservative, or should we be realistic? Obviously, we should be realistic. Should we be getting motivated or motivating others? Should we have only task knowledge, or should we have task orientation, which is more important?

Should we look at masculinity as the way of getting things done or look at gender diversity? Understanding and utilizing the capabilities of different genders. Should we look at diplomacy or come across as an authentic person?

We may have opposing positions of negotiation, but as long as you are authentic about what you are saying and what you want from the other party, you need not necessarily be diplomatic to win that discussion round, you can be authentic and also achieve a win-win collaboration. So, these are the weak traits.

Traits which need to be adjusted from that weakness or the traits which need to be modified from that weakness and also key traits which we discussed earlier. But the issue with the trait theory is that there are so many traits that they get at times confusing and also how they relate to actual leadership performance as not been fully established and empirically demonstrated.

Therefore, some people have come about a personality-based trait theory which says that yes, apart from all these traits, proliferation of these traits, we also have some basic five personality types or personality characteristics which determine leadership.

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Five-Factor Personality Model

Another approach in trait theory has been to focus on key defining elements of personality instead of having a broad list of traits. The Big-Five Factor study of personality is an empirical approach in that direction. The five-factors are as below.

Factor	Explanation
Neuroticism	The tendency to be depressed, anxious, insecure, vulnerable, and hostile
Extraversion	The tendency to be sociable and assertive and to have positive energy
Openness	The tendency to be informed, creative, insightful and curious
Agreeableness	The tendency to be accepting, conforming, trusting, and nurturing
Conscientiousness	The tendency to be thorough, organized, controlled, dependable, and decisive

Source: Goldberg, L. R. (1990). An Alternative Description of Personality: The Big-Five Factor Structure. *Journal of Personality and Social Psychology*, 59, 1216-1229

These factors are also referred to in alternate terms: Neuroticism (Emotional stability), Extraversion (Surgency), Openness (Culture), Agreeableness (Likeability), and Conscientiousness (Dependability).



This is the big five-factors study of personality, which is an empirical approach to achieve a definition of leadership based very much on psychological leadership studies. Neuroticism, every person tends to be neurotic, neurotic not to be seen in a long sense, neurotic in the sense of having certain feelings which predetermine our psychological positions. People tend to be depressed, anxious, insecure, exuberant, vulnerable, hostile that is one part.

Extraversion, the tendency to be sociable, assertive and to have positive energy. We feel all the while such people when we meet them. Openness, the tendency to be informed, creative, insightful and curious that is openness.

Then, agreeableness, you tend to be accepting, conforming, trusting and nurturing as a result you are also agreeable. You have a feeling of agreeableness that is generated in other people because you yourself have that agreeableness as part of your leadership psychology. Then, of course, this important and tongue twisting conscientiousness, the tendency to be thorough, organized, controlled, dependable and decisive.

These factors are also referred to in alternate terms: neuroticism is referred to as emotional stability, extraversion is referred to as surgency, openness is referred to as culture, agreeableness as likeability, and conscientiousness as dependability. These are the five factors which determine the personality of a person.

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The Dominant Impact

A major meta-analysis of 78 leadership and personality studies published between 1967 and 1998 was conducted by Judge, Bono, Ilies, and Gerhardt in 2002. The study found a strong correlation between the Big Five traits and leadership.

- 1 • Extraversion was most strongly associated with leadership. Clearly, being externally oriented and engaged helps leaders be effective
- 2 • Conscientiousness ranks next. Being dependable helps a leader be effective
- 3 • Openness, a marker for culture, is third ranked and a leader who practises open culture would be an effective leader.
- 4 • Neuroticism which reflects emotional stability is another marker for effective leadership
- 5 • Agreeableness ranks the lowest in respect of leadership effectiveness.

Source: Judge, T. A., Bono, J. E., Ilies, R., & Gerhardt, M. W. (2002). Personality and Leadership: A Qualitative and Quantitative Review. *Journal of Applied Psychology*, 87, 765-780.

The Five-Factor Personality model significantly simplifies the analysis of leadership effectiveness. Logically as well as intuitively, the five factors are predictive of leadership effectiveness.



So, what is the dominant impact of these personality traits? A major meta-analysis of 78 leadership and personality studies published between 1967 and 1998 was conducted by the authors whom I mentioned, the researchers. The study found a strong correlation between the big five traits and leadership. Based on their studies, they found that extraversion was most strongly associated with leadership. Clearly, being externally oriented and engaged helps leaders be effective.

Secondly, dependability ranks next. Being dependable, helps a leader be effective. 3rd openness, a marker for culture is a third ranked and a leader who practices open culture would be an effective leader.

Neuroticism which reflects emotional stability, we talked in the definition the negative aspects of emotional stability is another marker for effective leadership, and fifthly agreeableness which is trying to be good to everybody and wanting to be good with everybody that need not necessarily be the most dominant impactful characteristic in fact, it is lowest in terms of leadership effectiveness.

The five-factor personality framework obviously, simplifies the leadership trait analysis and it has a simpler framework to understand leadership effectiveness. Logically as well as intuitively, these five factors are present to one degree or the other in successful leaders, but we must also not think that these five would be sufficient for understanding leadership in all its depth and breadth.

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Leader Dependability

In a more recent 2014 study, Sacket and Walmsley found that of the several factors, conscientiousness had the highest correlation with several factors of on-the job performance.

Conscientiousness

Highly correlated with:

- Overall job performance
- Task performance
- Organizational citizenship behaviour

Negatively correlated with:

- Counterproductive work behaviour

Source: Sacket, P. R. & Walmsley, P. T. (2014). Which personality attributes are most important in the workplace? Perspectives on Psychological Science, 9 (5), 538-531

The point about the trait theory is that its conclusions appear somewhat deceptively commonplace or intuitive and mask the subtle nuances and deep meanings each of the traits is expected to convey as effective leader behaviour.

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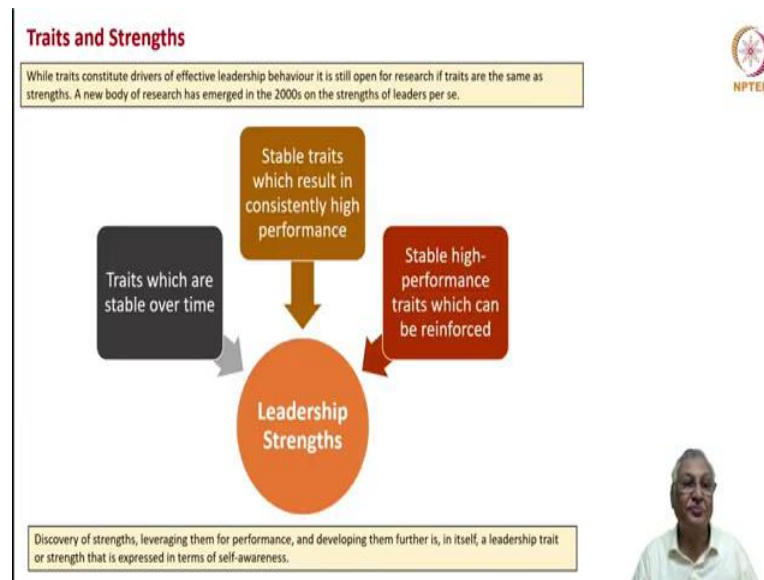
How does a leader become dependable? There are several factors which make a leader dependable; highly correlated with overall job performance that is if a leader is able to achieve what he or she is said she would achieve through the kind of strategies and activities laid out. Then, it highly correlates with dependable behavior. If task performance is good, dependable leader.

Organizational citizenship behavior, that is you are collaborative, you are communicative, you are caring, you are responsible and accountable, then highly correlated. On the other hand, if there is counter-productive or negative work behavior, a leader is unlikely to be seen as dependable leader.

The point about trait theory despite the vast canvas it covers, its conclusions appear somewhat deceptively common place or intuitive, they are too much very well-known for us to attribute very specifically to leaders because behind each trait, there is lot of science and there is lot of art, there is lot of knowledge, there is lot of experience. So, the words, the phrases used get the real deep meaning only when these four aspects come to

the fore, when the traits are being talked about or when the traits are being experienced that is the challenge which trait theory has in practice.

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So, a leader gets his or her strengths with the traits, but what are the kinds of traits one must really look at? A leader should look at traits which are stable over time, not transient traits. Stable traits which result in consistently high-performance and stable high-performance traits which need to be reinforced.

So, stability, then performance and then, reinforcement of the traits is a three-step process, then you will get continuously escalating, increasing leadership strength. This is the body of literature that has come about in 2000s.

So, discovery of strengths, leveraging them for performance and developing them further is in itself a leadership trait and that is a strength which gets reflected in the self-awareness. The key traits which we have discussed in the beginning of this lecture are very important traits.

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Characteristic Features of Trait Approach

Trait approach has a few characteristic features that ensured a continued acceptance for the theory despite a proliferation of traits and their interpretations. Multiple studies have provided a few needed convergences as well.

- Trait theory is simple and straightforward, focussing on the leader, rather than on the teams, organizations or ecosystems
- It is not process-oriented in that it does not wait for results for intervention
- It is not prescriptive in that it does not prescribe what an effective leader should do, either as a routine or situationally
- It is, however, retrospective in that certain leadership traits are studied to have resulted in effective leadership

The trait theory lets organizations as well as teams seek and follow leaders who possess certain traits. Leaders and traits are central to the leadership process.

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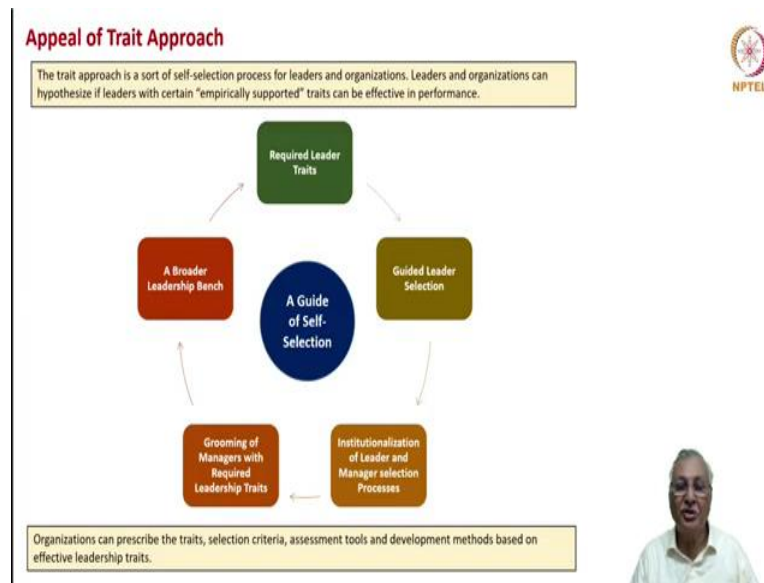
So, what are the characteristic features of trait approach? The theory is very simple and straightforward, it focuses on the leader, rather than on the teams, organizations or ecosystem. It tells us that you should look towards the leader so that he or she is able to manage and lead you. It is not process-oriented, it does not distinguish between manufacturing industry or electronics industry or product industry and service industry. It also does not wait for results for intervention.

It is not prescriptive, it is not saying that these are the traits you must have, it only says that based on the available body of literature of successful leadership or unsuccessful leadership, these are the strong traits one must have, and these are the weak traits one could have.

It is however, retrospective because based on the studies that have taken place, there is some correlation between the positive leadership traits and effective leadership. So, the retrospective nature of this trait theory, does provide you some validated mechanism to believe that if I were to be this kind of a leader with these kinds of traits, I am likely to have success in the situation that I am facing.

So, the trait theory lets organizations as well as teams seek and follow leaders who possess certain traits. Leaders and traits, therefore, are central to leadership processes.

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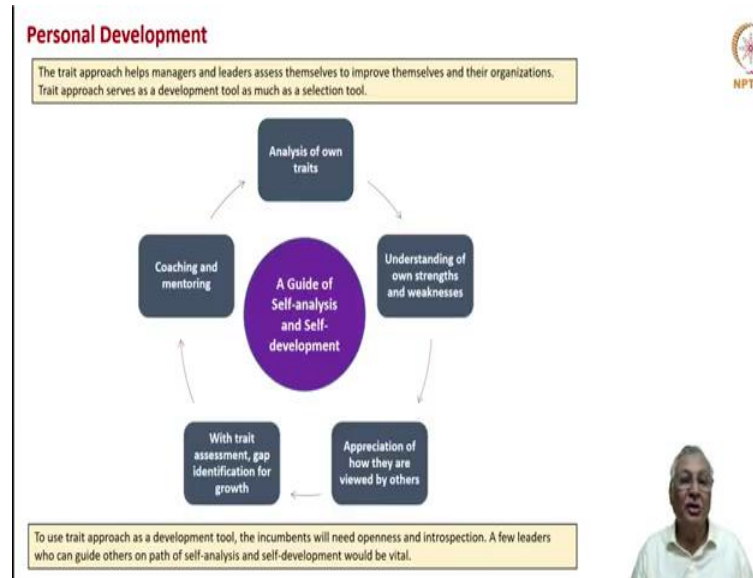
What is the appeal of trait approach? It is a guide for self-selection. You have a literature on the successful traits, key traits and you know what you are if you have self-awareness, then you try to understand based on the situation, you are facing, the required leader traits. Then, it also helps organizations to have a guided leadership selection. Organizations can think that my situation, our situation requires these kinds of leadership traits and therefore, look for leaders who provide those kinds of leadership traits.

It also helps institutionalize leadership and management selection processes that is how you move from executive to manager level, and manager level to leader level, and from leader level to apex leader level could be based on the filter of traits you may have and when such traits also include traits of values, ethics, integrity, persistence, determination, intelligence, etcetera it is very easy to believe that if you have these leaders I should assure a development path for the potential people.

And we can also, based on the traits groom managers, if already they are displaying these kinds of traits, it beholds the organization to develop these traits further and make managers evolve into leaders and leaders into more effective leaders and as a result of having a kind of focus, normalization and standardization on the spectrum of traits, you are building a broad leadership bench that is available in the organization.

So, the traits, the selection criteria, assessment tools, 360 degree frameworks, the development methods, accountability methods, reward mechanisms they all could be interrelated so that there is an effective leadership culture which is based around traits.

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From the viewpoint of a person be it the individual, be it the manager or the leader, it also helps self-analysis and self-development. One can analyze one's own traits, understand one's own strengths and weaknesses, I possess this traits, but the impact in the work place or in the market place is not exactly what I was looking for. So, you understand based on your introspection, the relevance of this strengths and weaknesses. You appreciate, how important these traits are in the eyes of the other people.

Fourthly, you understand with trait assessment, the gaps that are requiring to be bridged still and the traits can be used for coaching and mentoring yourself as well as others. So, it is a perfect guide for self-analysis and self-development.

When trait theory is used as a development tool, there are certain requirements as well. The incumbent as well as the leader must be open and introspective. As we saw earlier, traits cannot be imposed on any particular leader or on any particular situation, they have to be contextually relevant and must be seen as providing performance.

Therefore, you need to be open and introspective when you are using traits as a development tool just because I possess these traits, I cannot impose those traits on the

manager who is going to lead the organization 10 years down the road who knows the situation, 10 years down the road, what kind of technologies would be there, what kind of networking would be there, what kind of globalization or protectionism would be there.

So, you need to enable the person understand the traits as successful, retrospectively and contemporaneously, but also provide the bandwidth for the individual to acquire or reinforce the traits as he or she moves along that is extremely important for personal development.

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Strengths of Trait Approach

Despite the multiple traits that exist with the associated complexities, the trait theory has certain strengths as a foundational approach to understand and practise leadership.

- The trait theory is simple and elegant to understand and practise; it does not require complex frameworks and constructs to absorb and implement
- It resonates well with the human approach to veer around individuals with leadership potential and performance
- The trait theory is backed by over a century of research comprising individual studies and meta-analyses, with unmatched breadth and depth of data and interpretations
- By focussing on traits, the theory provides a pathway for followers to develop themselves, more specifically when the traits are seen to be providing definitive performance results.
- The trait theory enables benchmarking of individual and organizational competencies vis-à-vis industry standards, national and international.

It is important to understand the strengths of trait approach and match the convergence of traits with the diversity that individual leaders represent.

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As I said, the trait approach has got several strengths, simple and elegant to understand and practice. Does not require complex frameworks and constructs to absorb and implement. It resonates very well with the human approach to typify people, to label people. So, it is very easy to say that he is a compassionate leader, he is a task-oriented leader, he is an intelligent leader, he is a sociable leader so, it resonates very well with our human approach to anchor certain concepts and leaders together.

It is also backed, all said and done, by over a century of meta-analysis comprising individual studies as well as group studies and therefore, there is an unmatched breadth and depth of data and interpretations. By focusing on traits, the theory provides a pathway for followers. Followers have seen leadership with these traits being successful and also being rewarded. So, they believe that having those traits would be a worthwhile

path to follow, need not necessarily be the only path to follow, but a worthwhile path to follow.

It also enables benchmarking of individual and organizational competencies vis-a-vis industry standards, national and international. When you see leaders leading other organizations to greater success or to greater failure, you will understand that yes probably this level of leadership, this type of leadership is one of the causes for the great or not so great performance of that company. So, you can also benchmark yourself based on the trait approach that you are willing to put in practice in your organization.

It is, therefore, important to understand the strengths of the trait approach and also related to the diversity of leaders. So, you should not make trait approach a singular approach of very limited traits. You should also look at the diversity of leaders you have and then, match the trait approach to the leadership diversity.

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Criticisms of Trait Approach

Despite the strengths of the trait theory, it is also open to a few criticisms. As with several theories, some of the strengths also come with certain weaknesses.

- The trait theory has thrown up scores of traits. While a few are more popular in theory and practice, the sheer variety of traits and their meanings cause much confusion.
- The research of the last 100 years has distilled a few traits but also overly broadened a few traits. It provided clarity to some but also added much ambiguity to traits.
- It does not take situations into account. The contexts of firms vary based on not only their internal situations but also the industries to which they belong and the markets in which they operate.
- There can never be a guarantee that generalized traits will be able to adequately express let alone channel variations in individuals' own broader personalities.
- The identification and ranking of traits could be quite subjective. The research required to empirically validate the data goes back years but can provide no assurance for future years.
- Trait theory may constrain innovation in leadership choices. Organizations will be unwilling to experiment with leaders having different traits, which may actually work well in practice.
- Trait theory also may not help in development as much as touted because traits, by and large, are fixed psychological parameters.

In the overall, trait theory has many useful perspectives to offer in leadership, but equally with associated pitfalls. It is important to utilize trait theory, keeping in view the several individual, firm, industry and market level factors at play.

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In that context, you should be open to understand the critical records of trait approach.

Trait approach did have its criticisms. One, too many traits of course, few are more popular than the other, we have seen how six traits have been popular across two generations of studies, but the sheer variety of traits and their meanings could cause confusion; because traits are loosely defined and to get the exact definition is a challenge

and a more exact definition relating to the leader and the firm and the industry and even the national culture is even a greater confusion.

So, there is lot of ambiguity which is built into the trait theory by definition, it is by both by design and default, but we must understand therefore, to how the traits can be fine tuned and honed to more precise definitions within our own leadership system, within our own industrial system, that is the one way in which we can mitigate the critical deficiency in the trait approach.

The research of last 100 years has only serve to balloon the canvas of traits. Clarity was provided to some traits, but also added lot of ambiguities to various other traits and it is bereft of situations. A trait is a trait and is supposed to be juxtaposed irrespective of the situations in the leadership context that is the third weakness.

And there is never a guarantee that generalized traits can deliver specific responses on the part of the leaders also specific competitiveness on the part of the companies. So, traits at the broader personalities of leaders need not necessarily be correlated and the broader personality may refuse to get expressed in terms of the traits which you are trying to pursue and what is a good trait for you could be a not so good trait for you.

We already discussed for example, where persistence stops being a tipping point, favorable tipping point and could start beginning an unfavorable tripping point for leaders. Similarly, say similar things could be applicable in respect of others like excessive intelligence, trying to be very number savvy, trying to be very analytical could actually slow down the process.

Therefore, there is always this subjectivity as to what is the line that is appropriate in respect of each of these traits, so that success is better assured within that boundary rather than out of that boundary and the research available does not throw light on that.

It also will constraint innovation. If someone says to us that you please follow only these traits as your guidepost for leadership in the organization, your own creativity and innovation and your own ability to develop capabilities which are more related to the firm, yourself, and the industry, they become constrained.

Therefore, innovation in leadership is definitely constrained by the trait theory, because traits are psychological parameters, they need not necessarily provide the complete assurance as we will see in other parts of the course, knowledge of the domain, ability to deploy the knowledge of the domain even if you are not an expert in a beneficial manner these are all extremely important aspects of leadership. So, possessing of the traits by itself does not guarantee leadership success nor organizational success.


Therefore, we should take the trait approach for the goodness it brings to us, for the canvas it presents to us and for the clarity in respect of certain key traits it gives us and also the benefits it provides in terms of labeling the leaders to an extent. Providing developmental pathways both self-development as well as development of other people and providing a framework for expanding the leadership bench.

We should appreciate trait theory for the useful perspectives it offers for leadership, but we should also be cognizant of the pitfalls that leadership could face if trait theory is accepted and implemented blindly. So, we have to utilize trait theory with caution as every other theory and we should keep in mind the individual, firm level, industry level and market level factors that are at play that is extremely important.


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Same Companies, Different Leaders, Varied Traits - 1

Globally, leading companies which have seen leadership transitions demonstrate the utility of trait theory in different shades. In certain cases, leaders with certain traits led their firms to higher performance, and in some other cases, during the tenure of leaders with certain other traits the companies experienced flat or reduced performance.



A more comprehensive study of leadership traits, industry structure and technological innovation would explain the differences more perceptively.



We will illustrate these concepts with various examples. We had Microsoft which was founded by absolutely intelligent phenomenon called Bill Gates. So, he developed the company into a technology major with his desktop operating system and a few other

products. He was highly intelligent, highly articulate, but his personality also had lot of dominance.

Then came, after he moved out of his full time position, Steve Ballmer, who was second in command for Bill Gates. He was very authoritarian, very forceful and he believed in certain ways of doing things. Then came Satya Nadella, who was a completely antithesis of Steve Ballmer in terms of openness, in terms of authenticity, in terms of listening skills, in terms of willingness to change the business models themselves. So, these three leaders manage the same firm to one degree or the other the firm continue to grow of course, the exceptional growth came in Bill Gates time, kind of consolidation and stability came in Steve Ballmer's time, but a further expansion and adaptation to the new realities of digital technologies came in Satya Nadella's time and as a result, Microsoft became one of the top rated market capitalization companies in the US under Satya Nadella. So, different leaders, different combinations of traits, different performance levels.

Then, we had Apple, John Sculley, who never could take Apple to any heights. Then, we had Steve Jobs in version 2.0, who literally redefined Apple innovation, perfection and consumer experience as drivers of business growth. Then, we have Tim Cook, who reflected change with continuity more of innovation, more of perfection at the same time more of diversity, more of broader national and consumer interfaces. Again, three different leaders, three different trait profiles and three different performance levels.

Then, we had IBM, again three different leaders, Gerstner, Palmisano and Rometty, three different leaders. So, if you really look at leaders and their traits and across generations of companies, you will find that the success formulae could come with different types of leadership trait characteristics and bundles, but also depending on the different characteristics of environment that the companies face.

Your traits should be such that you could take advantage of the changing environment, be contextually relevant for yourself and for the firm and take on other traits which are necessary to deal with the discontinuities we face in the environment that is extremely important.

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Same Companies, Different Leaders, Varied Traits - 2

In India too, leading companies which have seen leadership transitions demonstrate the utility of trait theory in different shades. In certain cases, leaders with certain traits led their firms to higher performance, and in some other cases, during the tenure of leaders with certain other traits the companies experienced flat or reduced performance.



In the overall, some specific traits may correlate very well with the evolutionary phase of the company, bringing to the fore the contextual relevance of leadership traits.



Indian situation, we had N R Narayan Murthy founded and ran Infosys for a long long time with his global delivery model and interpersonal relationships, values and ethics and being a very prestigious Infotech institution in the country, these are the creditable accomplishments of N R Narayan Murthy.

Then came Kris Gopalakrishnan, he was a more inclusive leader who ensured that the strong foundations and super structure which NRN built were not shaken and in fact, were taken forward to higher levels.

Now, after the interregnum caused by Vishal Sikka and certain other disturbances, we have Salil Parekh, who is again a process driven leader, who is redefining Infosys in the new environment. He is the first CEO apart from Vishal to be outside the promoter grouping and he has done very well. The personality profiles and the leadership traits of the three leaders are different, but the company continues to grow.

So, is with the Tata Motors. Sumant Moolgaokar, who worked very extensively with JRD Rata and Ratan Tata was a technology and people man, laid the solid foundations for Tata Engineering and Locomotive company to be Telco and then to be Tata Motors. He was the pioneer as far as the indigenous vehicle introduction for the first time by any Indian automobile company is concerned in India, that was his contribution.

Then came Ravi Kant who drove the diversification strategy into light commercial vehicles, passenger cars, and things like that. Now, we have got Guenter Butschek who is leading the company on a globalization pathway and managing a much larger grouping of business verticals and product verticals in Tata Motors. Again, three different leaders, three different trait clusters and three different levels of performance.

State Bank of India, highly respected public sector bank, the largest bank in India. O P Bhat, Arundhati Bhattacharya and Rajnish Kumar they again had three different ways of looking at things, three different capabilities spectra in handling the issues and three different circumstantial pressures and yet, all of them have performed to take SBI to a consistent growth path.

Overall, some traits will definitely correlate very well with the evolutionary phase of the company and therefore, there is a contextual nature of the traits that is what we need to keep in mind.

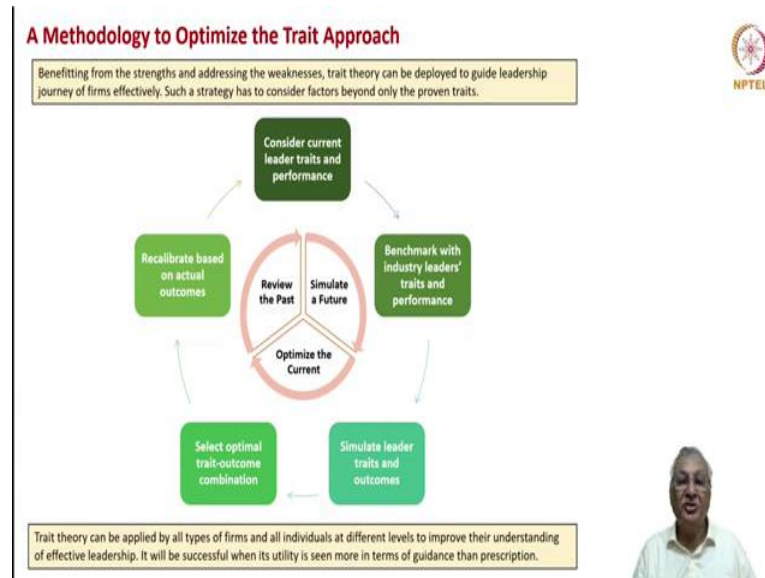
Would Kris Gopalakrishnan have been as successful as N R Narayan Murthy in foundational phase of the company? While it is very difficult to second guess, one may say that may not be. Similarly, would N R Narayan Murthy be as effective in today's highly networked, highly competitive and a process driven by newer digital technologies? May be, may not be. So, options differ.

Sumant with his extreme passion for indigenous development and also truck based product development, would he have been so successful today in developing custom driven automobiles, passenger cars, light commercial vehicles, small commercial vehicles and heavy commercial vehicles? Doubtful. But for that period, Sumant was the best, Ravi Kant probably would not have done what Sumant Moolgaokar would have done.

Same applies to different, in the turbulent time which Rajnish Kumar faced, it required decisiveness, doggedness and steadiness to be able to coast the SBI through the challenging times of non-performing assets, insolvency and bankruptcy code formulation and taking companies through that successfully, that required great level of alignment of various stake holder interest which Rajnish Kumar could achieve.

So, we have to see the context and the traits and correlate the specific success correlations.

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So, how do we optimize the trait approach? I would say that it has three particular requirements; one you review the past, you simulate a future and optimize the current, that is the way in which you can do. Because by reviewing the past, you have some heuristic analysis of what traits will work, under what circumstances with what leaders.

Then, you imagine what kind of future that is going to be and what kind of leadership challenges the future would pose and then, reorient the current so that you would lay an optimized foundation, so that you could move to the future.

So, benefiting from the strengths and weakness of the trait theory, we can certainly use trait theory as a guidepost for leadership journey of firms and leaders, that has to go beyond the just proven traits. Therefore, consider current leader traits and performance, benchmark with industry leader's traits and performance, simulate leader traits and outcomes as may be required in future, select optimal trait and outcome combination and then, start recalibrating based on the actual outcomes.

Trait theory can be applied by all firms and all individuals and at all levels to improve their understanding of effective leadership, be it the grass root leader, be it the grass roots leader, the manager, the leader or the apex leader. However, it will be more successful

when it is seen as a guidance framework rather than prescription framework. When it is seen as a guidepost rather than a prescriptive magna carta.

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The Need for Balance

Organizations, businesses, industries and the phases of evolution as well as the nature of the firms are so varied (as discussed in these lectures earlier) that different traits will be called upon to play contextually.

Decline	<ul style="list-style-type: none">External causesInternal causes
Growth	<ul style="list-style-type: none">Competitive growthDominant growth
Startup	<ul style="list-style-type: none">Serial generationFirst generation

Countries Present

Mono	Industries Present						
Multi	<table border="1"><tr><td>Mono</td><td>Businesses Present</td></tr><tr><td>Multi</td><td><table border="1"><tr><td>Mono</td><td>Multi</td></tr></table></td></tr></table>	Mono	Businesses Present	Multi	<table border="1"><tr><td>Mono</td><td>Multi</td></tr></table>	Mono	Multi
Mono	Businesses Present						
Multi	<table border="1"><tr><td>Mono</td><td>Multi</td></tr></table>	Mono	Multi				
Mono	Multi						

Trait theory can be applied by leaders in all types of firms and all businesses and industries, at different levels to improve their effectiveness. Finding the right balance of traits is in itself a major leadership challenge.

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So, the need for balance is very much there when you look at trait theory. Companies could be in three different phases: start up, growth and decline. It could be a first-generation company, serial generation entrepreneurial company. In the growth phase, you can have dominant growth or competitive growth. In the decline, the decline could have been caused by our own internal causes or by external causes.

We could be in single business, multi business as I discussed in the 1st lecture. Industries could be single industry, multi-industry, we could be globally networked, not networked at all staying in only one country.

Therefore, looking at all these firm, business and industry, economy, national, international context, you must choose a trait combination that is useful for leaders and for leaders to be successful in their organizational missions. Therefore, finding the right balance of traits, selecting the right traits, finding the right balance with reference to the firm and the context is itself a major leadership challenge which leaders must be well trained and well aware of.

Thank you.