

## Leaders and leadership

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A plethora of guidance awaits managers seeking to become better leaders, but much of the advice is based on questionable evidence, most of it anecdotal. Leading academics don't even agree on what constitutes leadership or which leadership practices can be successfully emulated.

In the endless avalanche of self-help books on leadership managers will find recommendations for how to become a leader, behave like a leader, train other leaders, be a pack leader, a change leader, a mentor leader, a Zen leader, a tribal leader, a platoon leader, an introverted leader or a triple-crown leader. The popular press offers us a myriad of case histories, countless studies of leaders from Steve Jobs to the captain of the "best damned ship in the US Navy," which showcase an example of success, formulate a set of principles based on it and prescribe those practices for leaders everywhere. None of the books I've seen, however, takes the next step and describes how managers who adopted the recommended practices fared as compared with their competitors who did not.

Despite this lack of proof of efficacy, managers' continuing need and appetite for leadership advice propels a massive market. Amazon offers almost 60,000 different books on the leader and over 80,000 on leadership, a more than six-fold increase over the past ten years.

Google cites millions of references to leaders and leadership, and their recent Ngram analysis shows that the term "leader" has appeared in the literature from 1990 to 2008 almost 50 percent more often than the term "manager"—and ten times more often than the term "follower."

### Some working definitions

Despite this deluge, we lack a Grand Unifying Theory, a tested leadership paradigm that identifies the source code or essence of leaders and a definition of the conditions that produce leadership. So we have to make do with working definitions of leadership, which include:

- The early simplistic paradigm (leadership is good management)
- The semantic description (leadership is the process of leading)
- The transactional model (leadership is a social exchange between leaders and followers)
- The situational notion (leadership is a phenomenon that precedes and facilitates decisions)
- The esthetic formulation (leadership is an art or a craft)

Leadership, like the Sufi proverb of the blind men describing an elephant in terms of its parts, is all of these—it has many facets, dimensions and aspects—yet none seems sufficient by itself.

Why are we still evaluating, analyzing, arguing about leadership? In this essay, I summarize several fundamental concepts that have shaped our current thinking about leaders and leadership. I hope to dispel some leadership myths and offer some advice to leaders about how to perform more effectively in their roles.

First of all, let's recognize that leadership is hard to study because opportunities to observe unretouched leadership actions are rare. More often we infer that a leadership event has occurred by reading about it, or by hearing a story about a presumed leader. And what do we then conclude was the exhibition of leadership—a speech or public statement, approval of a capital expenditure, the promotion of a subordinate?

Some scholars have attempted to differentiate leadership from management, asserting that managers coerce, while leaders persuade, or that managers take the short view, while leaders take the long view. But the reality is that managers must lead, and leaders must manage. In one framing of the differences, of course, we assign subordinates (rather than followers) to managers, and assert that leaders exert influence (rather than rely on managerial authority). Still, we do instinctively label specific individuals as leaders or misleaders—those who took a consequential action or made a difficult decision in the face of adversity (Truman, the A Bomb; Eisenhower, the federal highway system; George W. Bush, the invasion of Iraq; Obama, the healthcare initiative).

A risk to this simplified model is that we see leaders and leadership as a history of heroes and villains. But time tends to change such idealizations of an individual. Former GE chairman Jack Welch, once revered as a brilliant corporate leader, more recently has been excoriated as a purveyor of simplistic ideas [1]. Apple founder Steve Jobs, ousted in 1985, returned like a phoenix in 1996 to lead the company to a preeminent position in the industry. But his almost pathological mania for control, revealed in the flood of books following his death, makes him a dubious candidate for role model. In an even more precipitous reputational tumble, Harvard MBA Jeffrey Skilling, extolled as the canny architect of Enron's success, now serves time in a federal prison after his felony conviction for unethical conduct.

Thus the immediate certification of leadership depends on the perspective of followers, flattering scribes and the marketplace, but over time a reputation may either diminish or expand as historians gain a fuller understanding of how a leader managed his or her own tenure (or myth).

The study of leadership is further complicated by its elusiveness. Leadership actually emerges or develops over time—not at a unique specific instant. It seems to appear and then disappear. We rarely experience leadership directly, other than in an occasional face-to-face meeting. Furthermore, leadership is complex. Invisible forces act on the leadership process: the expectations of the followers, the culture of the organization and the circumstances. The task at hand and the context seem to dictate when and how leadership appears. The leadership dynamic thus depends on the situation. An enterprise in crisis, for example, will conjure up a charismatic leader to steer the organization between Scylla and

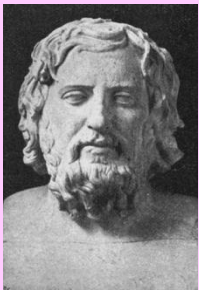
Charybdis and into a greater future; in tranquil or halcyon times, by contrast, we demand only that our leaders maintain stability and maximize returns or market share!

So are there aspects of leadership about which we can all agree? How should we understand leading and leadership? How can we behave to achieve the best results? How can we become leaders who have a benign influence on the behavior and beliefs of the community? How can we best evaluate leaders? How can we identify and nurture potential leaders?

### A short history of leadership literature

Leaders have fascinated us from the beginning of history it seems, and their stories form the bedrock of human culture. Modern management theorists—stymied by the absence of a coherent leadership model—often turn to ancient texts for guidance. Commentaries on leaders and how to lead appeared as early as the 6<sup>th</sup> century BC in writings by Confucius (*Analects*), Lao Tzu (*Tao Te Ching*) and Sun Tzu (*The Art of War*), though they weren't known in Western culture until many centuries later. Readers interested in insights from this era on the leadership process may find guidance in an excellent summary prepared by Roger Ames. [2]

Starting in about the 4<sup>th</sup> Century BC, historians in the western world like Herodotus, Thucydides and Plutarch chronicled the follies and triumphs of kings and princes. Rediscovered in the Renaissance, the ancient historians, the philosophers Plato and Aristotle and the Greek and Roman playwrights comprised Western society's "Leadership 101" reading list, largely the study of power and survival and the battle between emotion and reason.



Xenophon, 4th Century BC Greek professional soldier and writer about leadership

#### The sea, the sea!

Among the cases from ancient history that are still studied in leadership training classes, the Anabasis by Xenophon, a 4th Century BC Greek professional soldier and writer, narrates one of the great adventures in human history. An Athenian, Xenophon accompanied the Ten Thousand, an army of mercenaries stranded deep in enemy territory, its senior officers killed or captured by treachery.

Xenophon, one of three new leaders elected by the soldiers, played an instrumental role in encouraging the 10,000 to undertake the long march north across foodless deserts and snow-filled mountain passes towards the Black Sea and the comparative security of its Greek shoreline cities. The army had to fight its way, making life or death decisions about their leadership, tactics, provender and destiny, while a Persian army and hostile tribes constantly barred its way and attacked its flanks.

Ultimately this "marching republic" managed to reach the shores of the Black Sea, a destination they greeted with their famous cry of joyous exultation "thálatta, thálatta", "the sea, the sea!"

By the dawn of the industrial revolution the Great Man theory dominated explanations of leadership, highlighted by Scottish historian Thomas Carlyle's contention that "the history of what man has accomplished is the history of the great men who have worked here." Hegel and Tolstoy disagreed. From their point of view, history simply unfolds, and leaders like Napoleon are merely pawns in a script that has already been written--and therefore leadership is a mirage. Of course the evidence does not fully support either the heroic or fortuitous model of leadership. Napoleon, for all his tactical virtues, distinguished himself more because he was repeatedly able to muster the collective support of committed followers.

From this period, sociologist Max Weber's concept of charisma endures. Weber posited that a leader's power, his ability to influence his followers, could arise either

from his position, his perceived competence, or his charisma—his personal charm or magnetism.[3] Writers often cite Gorbachev, Thatcher, Reagan and Kennedy as evidence for the importance of charisma; some suggest that followers can bestow charismatic qualities upon their leaders—that is, they endow leaders with the qualities necessary to satisfy the need for security, safety, direction.

It is naïve, however, to characterize leadership as a collection of traits, although we often succumb to the fundamental attribution error—ascribing organizational performance to the behavior of the leader, especially when the organization succeeds or fails spectacularly. Nevertheless, modern authors persist in linking the success of leaders to a particular personal virtue. Recent books tout the secret of leadership variously as judgment [4], authenticity [5], credibility and honesty [6], likeability [7] and humility [8]. These simplistic prescriptions are not persuasive.

Theories based on leadership style became popular in the 1950s (following on the heels of Dale Carnegie's enduring homily about influencing people) [9]. These models proposed that style—how the leader interacted with the followers—was the primary determinant of leadership effectiveness. Social psychologist Douglas McGregor contrasted the merits of autocratic leadership (Theory X) with participative style (Theory Y) [10]. Later writers suggested a two-dimensional map that portrayed the relative importance of task-orientation and relationship to subordinates [11].

The correlation between performance and leadership style alone was never strong. As a consequence, leadership scholars turned to contingency models. These models proposed that leadership effectiveness was the result of interaction among three variables: the nature of the task to be done, the relationship between leaders and followers and the power inherent in the position of the leader. The most comprehensive of the contingency models added another variable: the willingness of the followers to perform, in itself a reflection of the power of the leader [12].

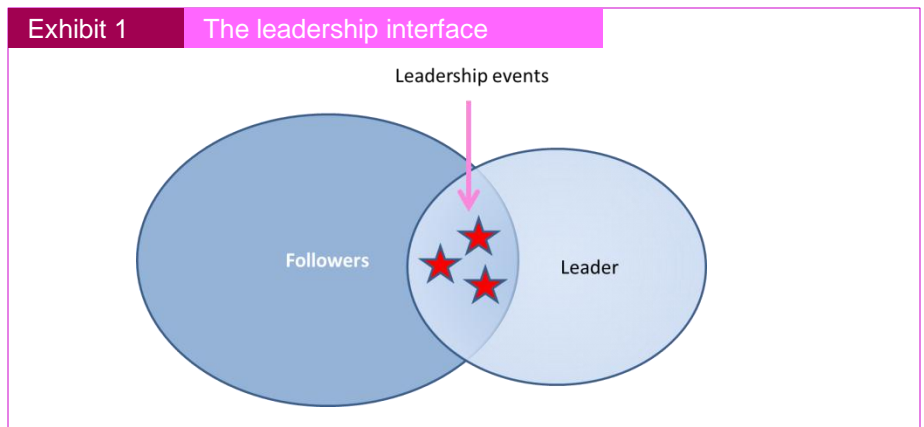
Some of the limitations of contingency models were addressed when political scientist and Pulitzer Prize winner James MacGregor Burns added another variable with his distinction between transactional leaders and transformational leaders [13]. Transactions describe the normal interaction between leaders and followers. Transformational leaders, by contrast, satisfy the higher needs of followers, and they raise one another to higher levels of motivation and morale. Transformational leaders – such as Gandhi, Nelson Mandela or Martin Luther King, Jr. – enunciate an inspiring vision and challenging goals.

The catalog of essays on leadership would be incomplete without mention of the best-selling 1982 treatise *In Search of Excellence* [14]. But the leadership behaviors cited by the authors—a bias for action and productivity through people—have failed to prevent most of the so-called best-run companies from being abandoned by fickle customers, outmaneuvered by cutthroat competitors, or unable to change when facing discontinuity. In retrospect, their model disappoints; it epitomizes the anecdotal post-hoc narrative that subsequent writers, such as Collins with his *Good to Great* exposition, have adopted.

“Why are we still evaluating, analyzing, arguing about leadership?”

## A contemporary perspective

We all seem to agree that the act or process of leading requires leaders, followers and the context or situation. Leaders and followers then collaborate to choose a course of action; leaders depend upon followers to implement their agendas. My view is that leadership manifests when the designated or nominal leader and the followers interact in a particular context and culture, usually working together in a common cause to produce a significant decision or action; the specific leadership event actually occurs periodically in the interstices or at the interfaces between the leader and follower or stakeholder (Exhibit 1)[15]. The leader can emerge in different places in the organization as the need arises and latent leaders step forth. What we perceive to have been a leadership act on the part of the nominal leader such as the CEO, for example, may well be the result of an action taken by a follower or group of followers at some other place or time.



So the concept of leader, as historically defined, may be an artificial construct, an illusion we create to satisfy our dependency needs. One imagines a ghost in the machine, a mystical leadership spirit permeating the corridors of the firm, inspiring and motivating an implicit strategy.

The Higgs-boson prediction and confirming evidence offers leadership scholars a timely metaphor. According to theory, the boson is an elementary particle predicted by the Standard Model of nuclear physics. As it passes through a solid, it mysteriously imparts mass to other fundamental particles such as quarks and electrons. We observe the boson's footprint or shadow only after an event. Physicists are now confident that the Higgs boson exists, based on preliminary data. In the context of leadership, leaders act like bosons, activating and energizing the members of the organization as they interact. And like the boson, leadership may show up in the power it imparts to effective, committed followers.

## The dark side

When we do label an individual as leader, we invariably imply benevolent leader, as opposed to bad or toxic leader. However, as a result of the recent plague of misleader CEOs—"Chainsaw" Al Dunlap at Sunbeam, Denis Koslowski at Tyco, Bernie Ebbers at WorldCom, Kenneth Lay at Enron—writers in recent years have dedicated more attention to the etiology of such toxic leaders [16]. Even the *New York Times* recently decries the "spreading scourge of corporate corruption." [17] Other leaders simply fail their stakeholders, and some of them then lose their jobs; the average tenure of the CEO is diminishing, and a recent survey of 2,500 large global firms revealed an annual CEO turnover in excess of 14 percent.

Why are we witnessing such an abundance of felonious and toxic leaders? Some simply avoid reality—they ignore the emergence of new technologies or shifts in consumer needs that should dictate a change in corporate strategy. Others choose their own interests above all else and consciously act in ways that serve their own purposes. They act with *akrasia*, weakness of will, even when the righteous cause of action is clearly in sight. [18] For example, the Penn State University administration, by choosing to ignore the evidence in the case of a serial child molester, presents us with a classic illustration of toxic leadership.

Philosopher Immanuel Kant has argued “that out of the crooked timber of humanity, no straight thing was ever made.” But good leaders stay the course with integrity, and resolutely earn the trust placed in them by their stakeholders.

### The rise of the followers

The increasing power of followers is the major constraint in the attempt by leaders to set direction and control information. Followers have become more knowledgeable, more empowered, and more connected to an expanding universe of allies. We can identify two driving forces for this shift in power. The most significant factor has been technology (the printing press, photography, the telegraph, the telephone, etc.), which provided access to information and greater ability to share it.

Nowadays, the importance of technology is nowhere more evident than in the propagation of social media. Twitter reports 500 million active users, Facebook has some 900 million active users, and YouTube claims over 800 million unique visitors each month. The Internet and mobile phones allow a smart mob to be created in minutes. And activists can easily assemble on a national or international scale, as the Arab Spring in the Middle East and North Africa demonstrated.

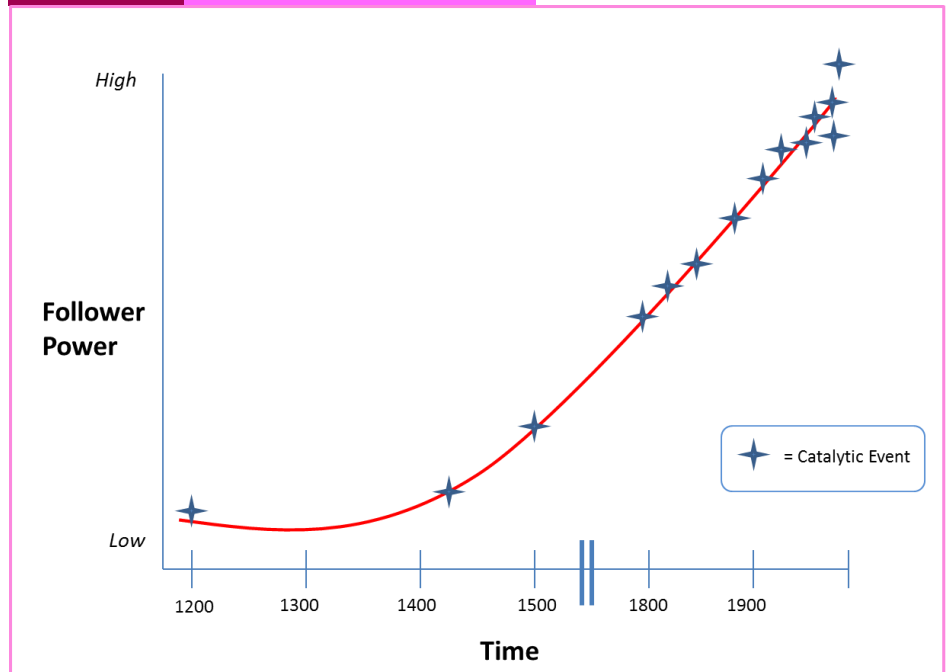
The second driving force was recognition by an expanding circle of stakeholders that they were entitled to a greater voice in the management of the state or enterprise. Luther’s theses challenged the authority of the Pope, Marx’s publication of *Das Kapital* empowered the workers of the world, etc. The demands of today’s GenX and GenY/Millennial population seem to mirror this trend.

Exhibit 2 lists some of the noteworthy events that fueled or catalyzed the growth of follower power over eight centuries.

| Exhibit 2              |      | Communication and the democratization of leadership |  |
|------------------------|------|---|--|
| Catalyst               | Date | Key Figure  |  |
| Magna Carta            | 1215 | King John   |  |
| Printing press         | 1440 | Gutenberg   |  |
| Protestant Reformation | 1517 | Luther  |  |
| Women's Rights         | 1848 | Stanton   |  |
| Electric telegraph     | 1837 | Morse   |  |
| Das Kapital            | 1867 | Marx  |  |
| Civil Rights           | 1955 | Parks   |  |
| World wide web         | 1989 | Berners-Lee   |  |
| Google                 | 1998 | Page, Brin  |  |
| Wikipedia              | 2001 | Wales, Sanger                                       |  |
| Facebook               | 2004 | Zuckerberg  |  |
| YouTube                | 2005 | Hurley, Chen, Karim                                 |  |

Once activists begin to unite, their power increases exponentially, as suggested by Exhibit 2, and the power of the leader decreases proportionately. This is the inevitable consequence of Metcalfe's Law: the number of connections increases approximately as the square of the number of nodes! If the trend continues, the very notion of a leader may become an anachronism, or perhaps the erstwhile leader will morph into a follower. No small surprise then that the behavior of followers is now starting to attract attention, as witness the concurrent release of several important books on followership and shared leadership.

Exhibit 3 The rise of follower power



### What leaders must do

We often look to leaders to clarify purpose and values, set direction, build community and manage change. In other words, leaders must practice strategic management—develop a researched vision, a viable strategy, a focused plan and a measured implementation process and then prepare for discontinuity by continuously monitoring the environment. The risk to organizations that lack vigilant leaders are many. Those bereft of vision and strategy may simply drift along, then get buffeted by externalities. Those that lack a focus on customer value and authentic purpose may fall victim to despotism. Those that lack community may devolve into anarchy. [19]

Even when leaders adhere to best practices, success is not guaranteed, for the performance of an organization is largely determined by externalities--the economy plunges into a recession, the EPA or FDA imposes harsh new regulations, a critical supplier goes bankrupt. Or the firm's customer base shrinks and it lacks the skills to enter new markets. Or competitors get smarter, and innovators from elsewhere disrupt performance.

No surprise then that, with a few exceptions, the life of the typical modern corporation is 40-50 years—and getting shorter by many accounts, despite the concerted efforts of their leaders to prolong the collective survival rate. [20] The average firm dies young; leaders that engage in a mindless quest for alpha status and the fountain of youth are doomed to disappointment [21].

Corporations evolve like organisms: throughout their lifecycle they grow, prosper, or fail to thrive. Most decline and die or are devoured by other entities. Only the adaptable survive—but the innovative process required to generate successful change is suppressed in most organizations. [22]

The primary role of the leader then must be to develop a culture that enables individuals to coalesce around the shared purpose of the enterprise. Listening to the needs of the followers and responding accordingly is essential, for the collective intelligence of the followers can be a crucial asset. And since leaders must try to influence the direction of the enterprise, the art of communication is equally important. Leaders inspire and motivate, often by virtue of the stories they tell about the past, present and future of the organization. They enable followers to find meaning in their work.

Critics have assailed Steve Jobs for his management style—autocratic and arrogant—and his personality—abrasive and egoistic. But Jobs, as Apple’s spiritual leader, demanded unwavering allegiance to its values, proclaimed a clear vision for the firm and built an organization that lined up behind him, as did Apple’s customers. The results speak for themselves: Apple is now the world’s most valuable publicly-traded company, with a distinctive and enduring set of competitive advantages and sustained market success.

Unfortunately, the aspiration of the leader to build a community is often handicapped and compromised by the resistance of the followers. British psychologist Wilfred Bion has contended that groups usually have hidden agendas that interfere with the overt agenda of the enterprise. [23] For example, the group may seek security and protection from the leader, or to survive by fighting or fleeing. For still other groups, the hidden agenda is to bond together to provide intellectual or emotional support to one another.

And of course the classic obstacle to building a community is always the temptation for members of the community to act in their own self-interest, producing the classic tragedy of the commons. As a result, the leader must strive to reward behavior that is consistent with collaboration and non-zero-sum behavior.

### Developing leaders

Becoming a leader is a common aspiration of managers. And the market has responded to the surging demand for instruction on how to realize this dream with entrepreneurial fervor. Many management-consulting firms have established their own academies to help corporations develop more effective leaders. Consultants with Deloitte, for example, boldly claim “leadership can be developed, that organizations can be set up to create long-term sustainable leadership capability.” I am not convinced that any coaching firm can make such a guarantee. The research support for the effectiveness of such training is meager, and there’s little evidence that leadership-academy graduates are uniquely equipped to lead. Critic Barbara Kellerman agrees: she observes that most subordinates don’t consider their leaders to be either honest or competent, and she complains that the leadership industry is “self-satisfied, self-perpetuating, and poorly policed.” [24]

Organizations that send high-potential individuals to leadership programs nonetheless are optimistic that they will become significantly better leaders.

“Leadership actually emerges or develops over time – not at a unique specific instant. It seems to appear and then disappear; it is elusive.”



However, in a contemporary analog to the Hawthorne effect (any attention paid to workers, supportive or non-supportive, can improve performance), the performance of managers may improve after the organization confers on them the status of being “promising” leadership candidates. They and their colleagues—bosses, peers and followers—likely view their selection as tacit endorsement and reward for past behavior. Moreover, those who graduate from leadership programs do acquire a vocabulary that implies leadership literacy. This allows them to act with greater authority, regardless of the merit of their decisions, and their followers may be more inclined to support new leadership initiatives.

But there’s no doubt that leadership can improve with practice. In Aristotle’s model of virtue, men become brave by performing acts of bravery. They become just by performing just acts. So we infer that men and women can become leaders by performing acts of leadership. Leadership theory and principles can be taught, but my experience—as both a leader and a follower—suggests that leadership behavior must be both learned and practiced.[25]

For several decades I have worked with organizations on management succession and leadership. Some practical advice for those charged with the responsibility to develop other leaders:

- Select the right candidates—those possessing the core traits of character creativity, and compassion.
- Design apprenticeships that offer new leadership challenges—the opportunity to gain experience in leadership roles and to learn from others.
- Provide mentoring and continuing feedback on performance.

## Conclusions

Leadership and innovation are once again the fashionable topics in the management literature this year. Given the quagmire of literature facing the seeker after leadership truth, what insights seem most credible? My conclusions, forged through relationships with many leaders and their organizations, large and small, in a range of industries can be distilled into the following:

- Good leaders require both competence and integrity.
- They must understand the culture of the enterprise and the context within which it operates.
- Leadership can manifest at many places in the organization at different times. The best leaders leverage their own limited abilities by allowing and catalyzing the leadership that is latent in the organization.
- The power of the follower is increasing in today’s world, while the power of the leader is diminishing. Good leaders help followers to develop their skills in a symbiosis that helps the organization flourish
- Leaders attend to the needs of multiple stakeholders; they balance economic and non-economic goals and they establish and monitor both short-term and long-term performance metrics.
- Although teaching leadership is still the holy grail of management education, going to school to learn how to lead is no substitute for practice; potential leaders need to learn from experience.

## What a leader can do to improve the potential for success

When the last chapter of a corporate history is written, we will usually conclude that the leader had little direct influence over its performance. Leaders usually delude themselves into believing they have great power. They often do not. However, from

their positions of authority, they can influence the culture of the organization—its beliefs, values and behavior.[26] Specifically, they can:

1. Staff with people who are motivated, principled and continuously learning.
2. Create and communicate the values and purpose of the organization both symbolically and by example. Tell stories that reinforce the meaning of the work of the enterprise.
3. Reward exemplary behaviors such as integrity and excellence in practice.
4. Encourage innovation by accepting risk and balancing change and stability.
5. Listen to other views and encourage the voicing of alternative perspectives; establish a network of peers and others who can give guidance and feedback.
6. Extol collaboration rather than competition as the dominant ethos of the enterprise.
7. Cultivate the next generation of leaders, providing them with robust opportunities to develop.
8. Develop and nurture personal awareness, the precursor to authenticity, credibility and trust.

This is no small agenda—but it's one that matters.

### Notes

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14. Thomas J. Peters and Robert H. Waterman, Jr., *In Search of Excellence*, Warner Books, 1982.
15. Donna Ladkin, *Rethinking Leadership*, Edward Elgar, 2010.
16. See, for example Jean Lipman-Blumen, *The Allure of Toxic Leaders*, Oxford University Press, 2005.

17. Eduardo Porter, *The New York Times*, July 11, 2012.
18. Robert J. Allio, "Bad Leaders: How they get that way and what to do about them," *Strategy & Leadership*, Vol. 35, No. 3, 2007.
19. As Roman statesman Seneca the Younger expressed the challenge: "Our plans miscarry because they have no aim. When a man does not know what harbor he is making for, no wind is the right wind."
20. Nevertheless, investors do appear to reward the apparent benefits of good leadership. According to Deloitte's recent survey, investment analysts accord a significant premium in valuation (over 15 percent) to firms exhibiting good leadership, as manifested by their strategic clarity (clear vision), successful execution (ability to meet objectives) and a culture of innovation (environment for ideas). Conversely, firms exhibiting poor leadership can expect almost a 20 percent reduction in valuation.
21. We can learn from history. Corporate trajectories mirror the rise and fall of the world's great powers. Portugal, Netherlands, Spain, and Great Britain each achieved virtual dominance in the Western world—but only for a short time as others displaced them from their leadership positions.
22. As French philosopher Jean-Jacques Rousseau observed in his 1762 classic on the social contract, "If Sparta and Rome perished, what State can hope to endure for ever? If we would set up a long-lived form of government, let us not even dream of making it eternal. If we are to succeed, we must not attempt the impossible, or flatter ourselves that we are endowing the work of man with a stability of which human conditions do not permit."
23. Wilfrid R. Bion, "Experiences in Groups," *Group Relations Reader*, GREX, 1975.
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25. Robert J. Allio, "Leadership Development: teaching vs. learning," *Management Decision*, Vol. 43, No. 7/8, 2005.
26. A few corporations, Google for one, have appointed Corporate Culture Officers to manage culture. But they can be stand-ins at best for the leader himself—leadership cannot be delegated.

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