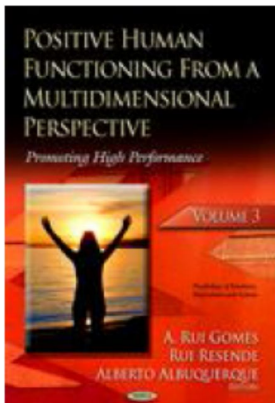


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*Chapter 8***LEADERSHIP AND POSITIVE HUMAN FUNCTIONING:  
A TRIPHASIC PROPOSAL***A. Rui Gomes*Department of Applied Psychology, School of Psychology,  
University of Minho, Portugal**ABSTRACT**

This chapter addresses the topic of leadership by proposing the Triphasic Model of Leadership Efficacy. The model explains leadership efficacy by suggesting that the best results achieved by the leaders result from a congruent hypothesis that congregates a conceptual cycle of leadership (that includes the elements of leadership philosophy, leadership practice, and leadership criteria) and a practical cycle of leadership (that includes the elements of leadership philosophy, leadership in practice, and leadership criteria). The model also reinforces the importance of considering the antecedent factors of leadership (e.g., situational, leader, and members' characteristics) as possible mediators of the leadership process (which includes the conceptual and practical cycles). The advantages of using the triphasic process of action instead of a tripartite process of leadership that use erratic and non-linear forms of relationships between the leadership philosophy, the leadership in practice, and the leadership criteria are also discussed. Finally, the chapter presents possibilities of testing the triphasic model and discusses implications to the training of leaders according this proposal.

**INTRODUCTION**

Assuming the role of a leader is a very fascinating and demanding task, not only given the responsibility of influencing other people towards a certain mission and goals but also because this activity is becoming more and more demanding. In the business world, it is common to have several competitors in the same market fighting for the best profit while dealing with scarce resources. In this way, the role of the leaders is a very important one because, depending

on their actions, organizations can survive and prosper or may enter a recession and sometimes go out of business.

In this way, it is interesting to know what factors can contribute to the success of leaders. This chapter addresses this topic by proposing the Triphasic Model of Leadership Efficacy that intends to explain the leaders' efficacy by considering a linear relation among three main factors: the ideas/principles/goals of the leader (leadership philosophy), the behaviors assumed by the leader in order to accomplish the valued ideas/principles/goals (leadership practice), and the indicators used by the leaders in order to evaluate the implementation of the leadership philosophy (leadership criteria). This set of factors was selected because they best represent the processes implicated in the leader's actions, establishing a relationship between what is important for them (leadership philosophy), what can be done to concretize the intended ideas/principles/goals (leadership practice), and what sources of evaluation can be defined in order to monitor the acceptance of the ideas/principles/goals by team members (leadership criteria). By acting in an integrated way, the triphasic model assumes that leaders can accomplish their mission in a better way. This will be the main idea defended in this chapter. First, the main principles of the triphasic model are presented. The discussion then progresses into an explanation of the dimensions of the model. In the final part, the differences between the triphasic and tripartite processes of leadership are discussed and implications for the promotion of leaders actuating in a triphasic process are presented.

### **TRIPHASIC MODEL OF LEADERSHIP EFFICACY**

There are some main prepositions of the triphasic model that should be described now because they will be the basis for explaining this proposal later in the chapter.

- The model is called triphasic because it proposes a linear relationship between the leadership philosophy (e.g., ideas, principles, and goals about leadership and being a leader), the leadership practice (e.g., the behaviors assumed by the leader), and the leadership criteria (e.g., indicators used by the leader to evaluate his or her leadership).
- Two interdependent cycles of leadership process are proposed: (a) the conceptual cycle where the leader defines how to act and how to evaluate their actions taking into consideration the ideas/principles/goals about leadership; and (b) the practical cycle where the leader and team members implement the conceptual cycle of leadership.
- From the conceptual cycle to the practical cycle, feedback loops of information and communication between the leader and team members occur that indicate the course of the leadership process. That is, the feedback loops give information to the leader and team members as to how they are progressing in implementing the conceptual cycle in a daily basis of working together.
- The model proposes that linear processes of leadership both at the conceptual and practical cycles correspond to higher leadership efficacy. However, the best results achieved by the leader happen when there is a relationship between the conceptual cycle ("what should be done") and the practical cycle ("what really is done"); this is called the congruence hypothesis. In simple words, the best leadership efficacy occurs

when the leader is able to integrate the leadership philosophy into the routines of team members.

- Antecedent factors related to situational characteristics, leader characteristics, and member characteristics can influence the process of leadership of the triphasic model; thus, they should assume the statute of moderator variables between the conceptual cycle of leadership and the practical cycle of leadership.
- The leadership efficacy can be measured by using subjective and objective measures of team members functioning. Both represent useful indicators of the success achieved by the leader in implementing his or her philosophy.

Figure 1 presents these central aspects of the triphasic model that will now be discussed in the chapter.

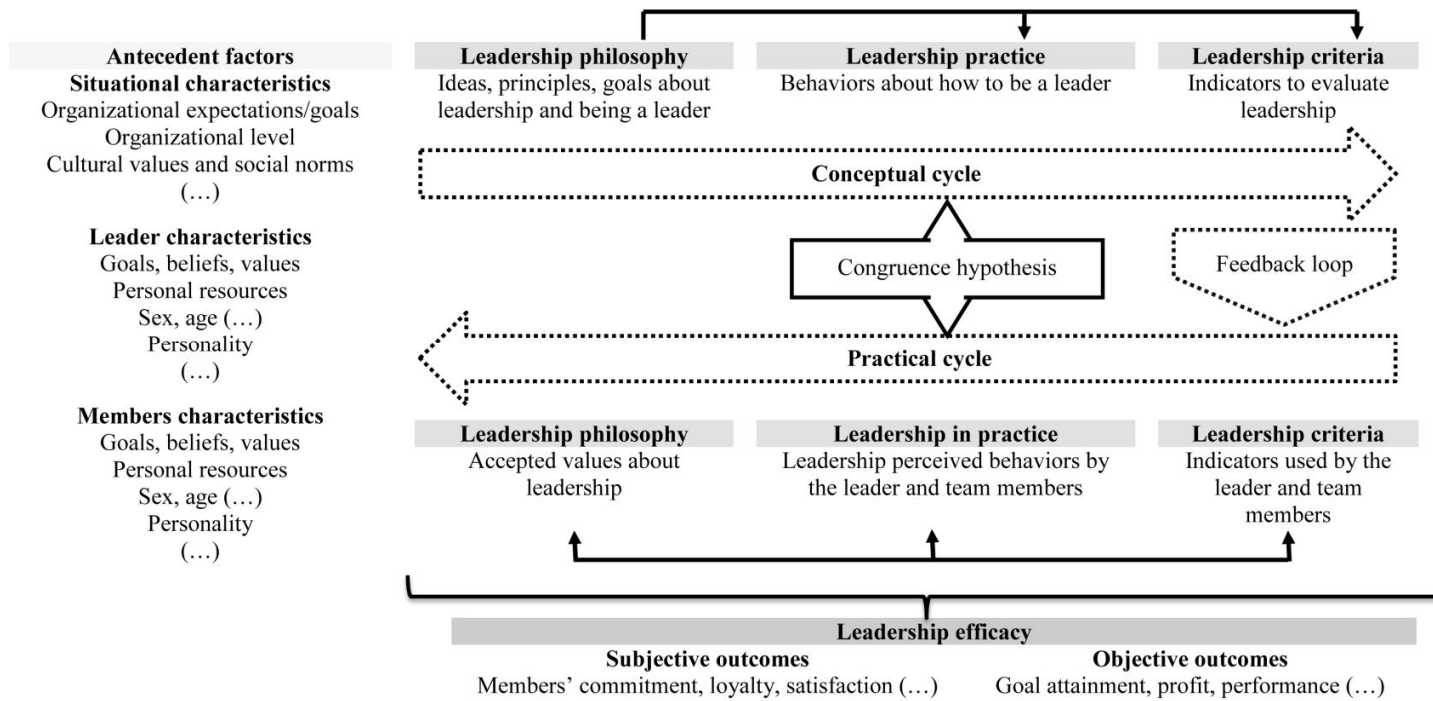


Figure 1. Triphasic model of leadership efficacy.

## **Antecedent Factors**

The most important aspect regarding antecedent factors is that the leader's behavior does not occur in a vacuum. According to the triphasic model, three factors can influence the leadership process and the actions assumed by the leader (e.g., situational, leader, and members' characteristics) (see Figure 1). Some conceptual approaches of leadership have addressed these factors, namely, the importance of leader characteristics at the intellectual, psychological, and physical levels (for a review see Vroom & Jago, 2007 and Zaccaro, 2007), the importance of congruence between the leader's styles of action and the characteristics of the subordinates and the work setting (for example see House, 1971), and the importance of the external conditions that leaders have to face by adopting task-motivated or relationship-motivated leadership styles (for example see Fiedler, 1967). In an application to sport contexts, the multidimensional model of leadership (Chelladurai, 2007), the mediational model of leadership (Smith & Smoll, 1996), and the working model of coaching effectiveness (Horn, 2008) have also recognized the importance of these factors. Together, the triphasic model posits the need to consider the situational characteristics (e.g., the organizational goals and expectations regarding the work of the leader, the level and types of demands faced by the organization where the leader operates), the personal characteristics of the leader (e.g., his or her goals, beliefs, and values as an individual, his or her personal resources), and the characteristics of the team members (e.g., sex, age, level of expertise). It is not possible to address each of these factors in this chapter (for a review see Bass, 2008), but the most important point is that they all represent aspects that can influence the leader's behaviors and, as will be explained later, they can moderate the relationship between the conceptual and practical domains of the Triphasic Model of Leadership Efficacy.

## **Conceptual Cycle of Leadership Process**

The conceptual cycle of leadership process includes mental representations of the leader in three domains: (a) the leadership philosophy (e.g., the beliefs of the leader regarding what it means to be a leader); (b) the leadership practice (e.g., the beliefs of the leader regarding how to assume the role of a leader); and (c) the leadership criteria (e.g., the beliefs of the leader regarding how to evaluate his or her role as a leader) (see Figure 1).

The leadership philosophy includes structural ideas, principles, and goals assumed by the leader regarding what describes his or her leadership practice and role as a leader. Examples of leadership philosophy include, among many others: (a) the need of compromise with hard work and high quality standards by the team members; (b) the need to value the interests of the team above individual interests; and (c) the importance of personal sacrifice in order to achieve the goals of team. The leadership philosophy is characterized by mental representations of the leader and what he or she believes to be the main principles that characterize his or her actions as a leader.

The leadership practice includes all behaviors and actions that the leader thinks can better represent the leadership philosophy. Considering the previous examples of leadership philosophy, the leadership practice could include: (a) being a role model for the team members in aspects related to giving maximum effort in the tasks to be completed; (b) defining and trying

to achieve team goals instead of individual goals; and (c) doing what is necessary to accomplish the mission of the team. The leadership practice is characterized by mental representations of the leader regarding how to implement the main ideas and principles about leadership.

The leadership criteria includes the assessment tools used by the leader in order to know if the behaviors assumed to implement the leadership philosophy are indeed producing the desired effects. Considering again the previous examples of leadership philosophy and leadership practice, the leadership criteria could include: (a) the number of tasks performed with high quality standards, (b) the number of team goals achieved by the team; and (c) the number of extra days of work performed by the team members whenever it is necessary to complete an urgent task. The leadership criteria is characterized by mental representations of the leader about the indicators that can be used in order to know if the leadership philosophy is producing the desirable effect on team members. The leadership criteria should not be confounded with the outcomes proposed in the leadership efficacy of the triphasic model; the former relates to each criteria adopted by the leader in order to evaluate the leadership philosophy and subsequent behaviors, while the latter is related to all subjective and objective outcomes observed in team members due to the actions of the leader.

### **Practical Cycle of Leadership Process**

The practical cycle of the leadership process initiates after the conceptual cycle and includes mental representations of the leader and team members in three domains: (a) the leadership philosophy (e.g., the beliefs of the leader and team members regarding what means to be a leader, which can represent accepted values about leadership); (b) the leadership in practice (e.g., the beliefs of the leader and team members regarding how to assume the role of a leader); and (c) the leadership criteria (e.g., the beliefs of the leader and team members regarding how to evaluate the role of the leader) (see Figure 1). The main difference between the conceptual and practical cycles is the fact that the first one is related to the “design” of the processes of leadership by the leader (i.e., what is leadership? How to be a leader? How to evaluate leadership?), while the second one is the “leadership in action” on a daily basis of the leader-team members relationship (i.e., what principles are enunciated by the leader to group members, and how are they perceived by group members? What actions are assumed by the leader in order to implement the principles of leadership, and how are they perceived by group members? What indicators are assumed by the leader in order to evaluate the principles and behaviors of leadership, and how are they perceived by group members?).

In practical terms, the leader enunciates his or her ideas/principles/goals to team members (e.g., leadership philosophy), how to achieve the leadership philosophy (e.g., leadership in practice), and how to evaluate the leadership philosophy (e.g., leadership criteria). This process can be formal (i.e., defined meetings, memos, and other ways to pass the message to the team members) or informal (i.e., on a daily basis by the personal contact between the leader and the members of the team). However, the main aspect is that there is an idea/principle/goal to be achieved, there is a course of action as to how to achieve the idea/principle/goal, and there is at least one indicator to evaluate the achievement of the idea/principle/goal. The practical cycle begins at the moment where both the leader and the team members assume the behaviors in order to achieve the idea/principle/goal that produces a certain result (e.g., leadership criteria). This is why in the practical cycle it is called “leadership *in practice*” while in the conceptual

cycle it is called “leadership practice”. The final result is a reflection on the leadership philosophy, meaning that if the conceptual cycle was a good one that produced a positive result (e.g., leadership criteria), then there are more chances that the idea/principle/goal will turn into an accepted value regarding how to exert the power of leadership. If this process does not succeed, then there are fewer chances of finishing the leadership cycle by accepting that form of leadership. This interrelation between the conceptual and practical cycles in the triphasic model is called the “feedback loop”, meaning that there is a relationship between what the leader thinks should be done (conceptual cycle) and what happens when trying to implement the leadership philosophy on a daily basis (practical cycle) (see Figure 1). Those processes are not totally independent; they influence each other producing feedback loops along the relationship between the leader and the team members. Figure 2 presents an example of a successful feedback loop and of a congruence hypothesis, which will be discussed now.



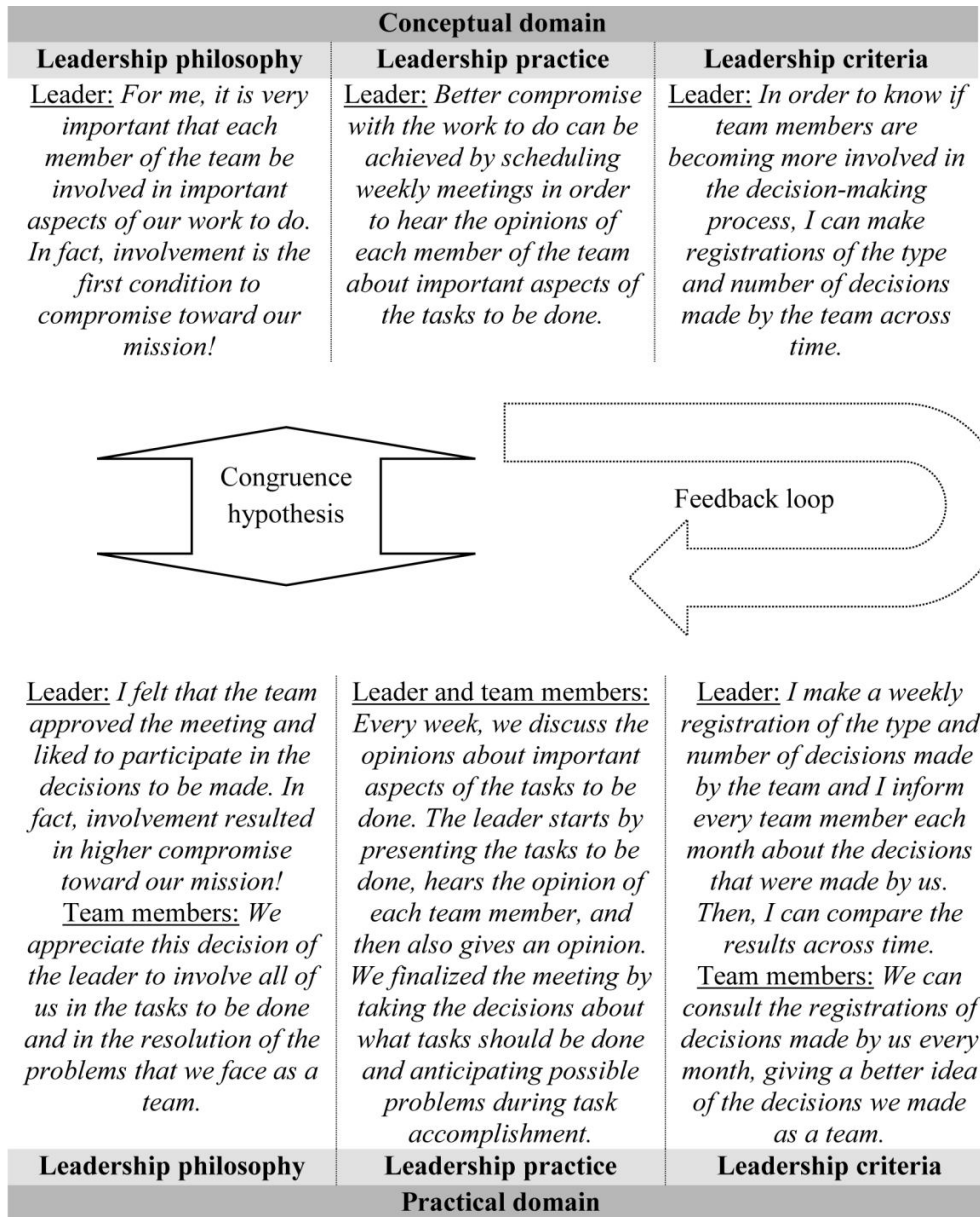


Figure 2. Example of a successful feedback loop and of a congruence hypothesis.

## The Congruence Hypothesis

The triphasic model proposes a linear relationship between the three dimensions of the conceptual cycle: the leadership philosophy will influence the leadership practice and the leadership criteria. Then, in regard to implementing the conceptual cycle, both the leadership in practice and the leadership criteria will produce certain values about leadership through the feedback loops. This is the mechanism that explains the complete process of leadership sustained in the triphasic model.

The question is whether this leadership process can be related to different results obtained by the leaders. In this case, the triphasic model advances three main propositions:

- Proposition 1: leaders will achieve higher efficacy when they adopt a conceptual cycle of leadership, connecting their philosophy of leadership TO specific behaviors and TO specific indicators to evaluate leadership. From an empirical point of view, leaders can increase efficacy when they assume a relationship between the leadership philosophy, the leadership practice, and the leadership criteria at a conceptual level.
- Proposition 2: leaders will achieve higher efficacy when they adopt a practical cycle of leadership, connecting their philosophy of leadership TO specific behaviors and TO specific indicators to evaluate leadership. From an empirical point of view, leaders can increase efficacy when they assume a relationship between the leadership philosophy, the leadership in practice, and the leadership criteria at a practical level.
- Proposition 3: the higher efficacy is achieved when there is a relationship between the conceptual and practical cycles of leadership, implying that the leader is succeeding in implementing the conceptual cycle of leadership in the practical cycle of leadership. If the leader is able to transform the philosophy of leadership into practical terms that in turn reinforce the values about leadership, then it has achieved the congruence hypothesis (see Figure 1).

## Leadership Efficacy

Studies regarding the impact of leadership have generally focused on analyzing the leaders' impact in subjective measures (e.g., follower satisfaction) and objective measures (e.g., profit and organization productivity). It is not possible to describe all results about this topic in this chapter, but it is interesting to note that more studies exist regarding the impact of leadership using subjective measures than using objective measures (for a review see Kaiser, Hogan, & Craig, 2008). Despite this aspect, in the triphasic model, the efficacy of leaders can also be measured by using subjective measures, evaluating, for example, the members' commitment and loyalty towards the mission and goals of the team/organization and by using objective measures evaluating, for example, the members' goal attainment and contributions to the profit and performance of the team/organization (see Figure 1). As discussed in the congruence hypothesis, it is proposed that the best outcomes both at subjective and objective levels are achieved when the conceptual and practical cycles are joined together in a unit that reinforces common values related to leadership.

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## Testing the Triphasic Model of Leadership Efficacy

Despite the possible interest of the triphasic model, the most important aspect is to analyze its validity in regard to explaining the efficacy of leadership. It becomes important to test the proposed propositions by using samples of leaders and team members. This can be done by using qualitative and quantitative methodologies. For example, by using interview guides directed for leaders, they can be asked to specify their philosophy as leaders (e.g., “Can you describe your most important ideas/principles/goals as a leader?”), their leadership practice (e.g., “Can you explain to me how do you implement the ideas/principles/goals that you just described?”), and their leadership criteria (“Can you refer what type of indicators you use to evaluate the achievement of your ideas/principles/goals?”). Data may then be compared with the perspective of team members by asking about the philosophy of the leader (“Can you describe the most important ideas/principles/goals of your leader?”), the leadership in practice (e.g., “Can you explain to me how your leader and team implement the ideas/principles/goals that you just described?”), and the leadership criteria (“Can you refer what type of indicators your leader and team use to evaluate the achievement of the described ideas/principles/goals?”).

One last question for both the leaders and team members concerns the accepted values related to the leadership philosophy (e.g., leader: “Do you think this way of action reinforced your leadership? How?”; team members: “Do you think this way of action reinforced the leadership of the leader? How?”). Data can be compared by observing the exercise of leadership in specific contexts and determining whether the feedback loops occur. Finally, subjective and objective measures of leadership efficacy can be used to analyze whether the occurrence of the three proposed propositions (particularly the third one, related to the congruence hypothesis) have an effect on the team members.

Quantitative methodologies can also be used to test the triphasic model; however, the lack of specific measures that evaluate the process of leadership (e.g., leadership philosophy, leadership practice, and leadership criteria) both from the perspective of leaders and team members can prove difficult at this moment to test the propositions of the model. Future research should address this aspect.

Finally, the design of studies can also include measures of the antecedent factors described in the triphasic model. It can be hypothesized that aspects related to organizational expectations/goals (i.e., situational characteristics), the personality of the leader (i.e., leader characteristics), and the sex and age of the team members (i.e., members’ characteristics), to name a few, can influence the conceptual and practical cycles of leadership. Thus, they can assume the statute of moderator variables in the study of the triphasic model. For example, a certain leader may have a set of principles related to hard work of team members in order to produce the best products on the market. However, if their organization does not have sufficient resources to accomplish this goal, it may be impossible to compete with other organizations with superior capacity to provide the necessary work conditions. Thus, the leader may have to adapt the leadership philosophy by defining other standards of achievement to the team members.

## WHAT ABOUT THE REALITY? THE TRIPARTITE MODEL

At this point, readers may question whether the reality of daily functioning of the leaders and team members is determined by the sequential occurrence of the conceptual and practical cycles. Despite the need of obtaining more data in order to confirm the triphasic model, it is quite possible that, instead of this triphasic process, there is a tripartite process in the leader-team members' relationship. In this latter case, the leadership process does not follow a linear sequence (that it is believed to leave to the best results in terms of leadership efficacy), but assumes an individualistic, erratic, and compartmentalized process between the three dimensions of leadership (e.g., philosophy, practice, and criteria). The relationship between the leadership philosophy and the leadership practice follows a reciprocal influence; it may be that the leadership practice determines the leadership philosophy (while the opposite is true in the triphasic model). The same reciprocal relationship occurs between the leadership philosophy and the leadership criteria. Again, it may be that the results achieved in the leadership criteria determine the leadership philosophy (while the opposite is true in the triphasic model).

One factor that may contribute to this tentative process of assuming leadership in the tripartite model may be related to difficulties of the leaders in reflecting on what it means to be a leader (e.g., formal knowledge) and how to transpose a certain leadership philosophy into practical terms (e.g., formal training). Given these difficulties, leaders tend to rely mainly on "trial and error" strategies of learning and action. This is not to say that leaders who typically engage in the triphasic process of leadership do not use "trial and error" strategies, as they certainly do use such strategies. In fact, we all use these strategies in our relationships with external conditions of living. The major difference may be how much the leader depends on these "trial and error" strategies. Some years ago, I was giving a training session on sport psychology to coaches. The discussion turned to the specific aspects of the coaches' philosophy in regard to training young and adult athletes. My point was to defend a scheme of coaches' actions that could include the described relationship between philosophy-practice-criteria that could be used in both contexts, after doing the necessary adaptations. At this moment, a coach interrupted me and said "well, all of that is interesting, but it's just theory! My philosophy is *if it works I will repeat; if doesn't work I will not repeat again*". For this coach, the leadership philosophy and leadership practice are determined by "trial and error" strategies; more than to discussing how the coach should be a leader and how he should behave, it matters if the result is the intended one. Thus, the leadership criteria constrain both the philosophy and the practice in this case.

In this way, what changes between the triphasic and tripartite models is the sequence and direction of the arrows that link the all process of leadership; thus, in the tripartite model, this relation tends to be bidirectional between the leadership dimensions, as explained below.

### **Leadership Philosophy ↔ Leadership Practice**

The interchange between leadership philosophy and leadership practice is visible when leaders assume that leadership is mainly a process that derives from practice. More important than reflexive processes related to the ideas/principles/goals that sustain the leadership action and formal processes of learning how to lead teams is the long and fruitful contact with the practice of leadership that will sustain and develop the philosophy of leadership. The leadership philosophy is "good" or "bad" if it can or cannot be applied with success to each organizational context. The motto is "Practice makes the leader", meaning that "trial and error" strategies are

used in the process of learning the way to exert the leadership action. The consequence is that leaders tend to resist abandoning standardized ways of thinking and acting because they were useful in the past. Sometimes it is habitual to observe in the discourse of these leaders sentences such as “I found the *magic* formula to resolve the problem” or “My feeling says that this should be the correct action”; these statements are difficult to explain and to justify why they are assumed.

### **Leadership Philosophy ↔ Leadership Criteria**

The interchange between leadership philosophy and leadership practice is visible when leaders assume that leadership is “effective” or “ineffective” depending on the final results. Again, more important than reflexive processes related to the ideas/principles/goals that sustain the leadership action and formal processes of learning how to lead teams is the results achieved by the leader and by the team members that will dictate if the leadership philosophy is the right one. The leadership philosophy is “good” or “bad” if it leads to success or failure in each organizational context. The motto is “If it works don’t fix it”, meaning that leading well or leading poorly is evaluated according to the result obtained. The leader’s performance will be evaluated according to the final result and the leadership philosophy can change suddenly as things go well or poorly for the leader and for the team members. The consequence is that leaders have a distanced perspective regarding ethical principles of how the leadership role should be assumed; thus, acceptable behaviors can be sacrificed in order to achieve the desired results.

Overall, the main difference between triphasic and tripartite processes of leadership relates to the way leadership is implemented. The triphasic model proposes that the leadership practice and leadership criteria should be defined by considering the leadership philosophy of each leader, while these processes follow a non-linear relationship in regard to the tripartite model. It is proposed that the best results are achieved in the case of leaders that use triphasic processes of leadership while leaders that use tripartite processes of leadership remain less effective due to their erratic and circumstantial forms of leading individuals and teams.

## **KEY POINTS TO PROMOTE POSITIVE HUMAN FUNCTIONING**

Due to the interest in having leaders with triphasic processes of leadership, it becomes important to discuss the practical implications of their training.

- Leaders have main advantages of comprehending how antecedent factors of leadership can be integrated in the leadership philosophy. Instead of “refusing” the influence of antecedent factors or “changing” the leadership philosophy according external demands, leaders should be encouraged to find ways of integrating both factors in a harmonious way of action.
- The leadership philosophy represents the structural dimension of the leader’s action. In this way, leaders should have sufficient knowledge regarding conceptual and technical aspects of the work, knowledge regarding values and norms of being a leader

in each specific context, and knowledge regarding what they want and desire as leaders. Instead of presenting to team members sophisticated ideas about leadership philosophy, leaders should present simple, challenging, and acceptable ideas to their team members.

- The leadership (in) practice identifies how the leader behaves in the relationship with others. The biggest challenge to leaders is how to determine specific actions in order to implement the leadership philosophy. Leaders should know how to actuate in regard to implementing each idea/principle/goal among the team members.
- The leadership criteria should be directed at evaluating the specific actions that intend to implement the leadership philosophy. Leaders should know how to define useful and realistic indicators that give each team member the feedback of how he or she is progressing along with the process of performance.
- Leaders should try to achieve the maximum relationship between what they define from a conceptual point of view and what they do from a practical point of view. This will increase the chances of obtaining the congruence hypothesis.
- Finally, leaders should use subjective and objective measures in a parsimonious way to evaluate their efficacy as leaders. Instead of relying on “feelings” of success or failure, leaders should use specific indicators of the impact produced by the leadership activity among team members.

## CONCLUSION

Leadership is a very demanding activity, not only because it implies considering a broad set of dimensions that influence the final result (e.g., the situation, the leader, and the team members) but also because leaders operate in increasingly demanding environments; thus, it is important to identify the factors that may contribute to their efficacy. The Triphasic Model of Leadership Efficacy addresses the important topic of leadership efficacy, reinforcing the need of integrating the leader’s philosophy, the leader’s behaviors, and the leader’s indicators of success into a conceptual and practical process of leadership. However, only future research can confirm the interest of this proposal, namely, the advantages that leaders may have by achieving a congruence between what they “intend to do” (conceptual cycle) and what they (and team members) really do (practical cycle).

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